

Robinhood Securities LLC 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700 PAYER'S TIN: 38-4019216	Tax Information Account 972587265	Statement Date: 02/11/2022 Document ID: 38QW 5VV 85M1	2021
	Anil Thapa 1480 E Pecos Rd 2100 Gilbert, AZ 85295 RECIPIENT'S TIN: XXX-XX-0033		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2021 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e) 0.00</p> <p>1b- Qualified dividends 0.00</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f) 0.00</p> <p>2b- Unrecaptured Section 1250 gain 0.00</p> <p>2c- Section 1202 gain 0.00</p> <p>2d- Collectibles (28%) gain 0.00</p> <p>2e- Section 897 ordinary dividends 0.00</p> <p>2f- Section 897 capital gain 0.00</p> <p>3- Nondividend distributions 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 0.00</p> <p>6- Investment expenses 0.00</p> <p>8- Foreign country or US possession: 7- Foreign tax paid: 0.00</p> <p>9- Cash liquidation distributions 0.00</p> <p>10- Noncash liquidation distributions 0.00</p> <p>11- Exempt-interest dividends (includes line 12) 0.00</p> <p>12- Specified private activity bond interest dividends (AMT) 0.00</p>	<p>MISCELLANEOUS INFORMATION 2021 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p>SECTION 1256 CONTRACTS 2021 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2021 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2020 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2021 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p> <p>* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.</p>
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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	91,153.20	105,286.52	0.00	523.36	-13,609.96
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	91,153.20	105,286.52	0.00	523.36	-13,609.96
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	91,153.20	105,286.52	0.00	523.36	-13,609.96
Withholding		Amount				
	Federal income tax withheld	0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2021 may require an amended tax form.

Robinhood Securities LLC

Account 972587265

Summary Information

2021

(continued)

02/11/2022

INTEREST INCOME

2021 1099-INT

OMB No. 1545-0112

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1- Interest income (not included in line 3)	0.00
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	

The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

STATE TAX WITHHELD

Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	0.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

Robinhood Securities LLC

Account 972587265

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

02/11/2022

Sales transactions are organized into sections according to term (long, short or undetermined) and covered status (covered or noncovered). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase. The Box 12, basis is reported to the IRS indicator checkmark, is reflected as being checked in the title of the covered securities pages of Forms 1099-B, short-term and long-term. The title pages of the noncovered securities pages for Forms 1099-B reflect that Box 12 is not being checked, as these securities are not being reported to the IRS.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued market discount and wash sale loss disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used. The change in control condition is reported to the IRS for covered lots. Neither the disallowance of loss due to a corporate action nor the amount of gain or loss is reported to the IRS in any instance.

Some tax lots may have notations in the column of Additional Information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, lots noted as "3 - [X] Collectible" are handled distinctly under the tax code. These conditions are reported to the IRS. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios. With further regard to Box 3, there is also a checkmark to indicate the proceeds of sale are from a Qualified Opportunity Zone Fund investment - a QOF. If the proceeds are from a QOF the Additional Information column will reflect the following - "3 - [X] Proceeds from QOF." The tax treatment for QOF investments can be complex and you may wish to consult your tax advisor about such sales.

Closing of written options is presented in a distinct manner in accordance with IRS regulation. For these transactions the Cost or other basis (column 1e) is always presented as \$0.00 and the Proceeds (column 1d) is the net of the amount received when the option was written and the cost to close the position.

FATCA filing requirement []

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAL 01/15/2021 CALL \$17.00 / CUSIP: / Symbol:							
2 transactions for 01/15/21. Total proceeds and cost reported to the IRS.							
	8.000	0.00	12/14/20	1,480.00	...	-1,480.00	1 of 2 - Option expiration- long call
	1.000	0.00	12/14/20	185.00	...	-185.00	2 of 2 - Option expiration- long call
01/15/21	9.000	0.00	Various	1,665.00	...	-1,665.00	Total of 2 transactions
AAL 01/22/2021 CALL \$16.00 / CUSIP: / Symbol:							
01/22/21	1.000	0.98	12/18/20	186.00	...	-185.02	Option sale to close-call ²⁵
AAPL 03/05/2021 CALL \$126.00 / CUSIP: / Symbol:							
03/05/21	1.000	0.00	02/23/21	310.00	...	-310.00	Option expiration- long call
AAPL 06/18/2021 CALL \$122.50 / CUSIP: / Symbol:							
03/03/21	1.000	939.98	02/26/21	1,015.00	...	-75.02	Option sale to close-call ²⁵

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Account 972587265

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMC 03/19/2021 CALL \$8.00 / CUSIP: / Symbol:							
2 transactions for 02/08/21. Total proceeds and cost reported to the IRS.							
	2.000	239.98	02/02/21	670.00	...	-430.02	1 of 2 - Option sale to close-call ²⁵
	1.000	119.98	02/02/21	335.00	...	-215.02	2 of 2 - Option sale to close-call ²⁵
02/08/21	3.000	359.96	Various	1,005.00	...	-645.04	Total of 2 transactions
AMC 06/18/2021 CALL \$4.00 / CUSIP: / Symbol:							
2 transactions for 02/02/21. Total proceeds and cost reported to the IRS.							
	1.000	454.98	01/26/21	248.00	...	206.98	1 of 2 - Option sale to close-call ²⁵
	1.000	454.98	01/26/21	248.00	...	206.98	2 of 2 - Option sale to close-call ²⁵
02/02/21	2.000	909.96	Various	496.00	...	413.96	Total of 2 transactions
AMC 06/18/2021 CALL \$8.00 / CUSIP: / Symbol:							
02/04/21	2.000	639.97	02/02/21	780.00	...	-140.03	Option sale to close-call ²⁵
BABA 01/22/2021 CALL \$232.50 / CUSIP: / Symbol:							
01/04/21	1.000	534.97	12/31/20	800.00	...	-265.03	Option sale to close-call ²⁵
BB 06/18/2021 CALL \$15.00 / CUSIP: / Symbol:							
02/08/21	1.000	349.98	01/26/21	795.00	...	-445.02	Option sale to close-call ²⁵
BNGO 03/19/2021 CALL \$13.00 / CUSIP: / Symbol:							
02/19/21	1.000	274.98	02/18/21	270.00	...	4.98	Option sale to close-call ²⁵
CBAT 04/16/2021 CALL \$7.50 / CUSIP: / Symbol:							
01/08/21	1.000	193.98	01/07/21	245.00	...	-51.02	Option sale to close-call ²⁵
CCIV 05/21/2021 CALL \$17.50 / CUSIP: / Symbol:							
01/19/21	1.000	609.97	01/15/21	700.00	...	-90.03	Option sale to close-call ²⁵
CCIV 08/20/2021 CALL \$17.50 / CUSIP: / Symbol:							
2 transactions for 01/21/21. Total proceeds and cost reported to the IRS.							
	1.000	689.97	01/20/21	730.00	...	-40.03	1 of 2 - Option sale to close-call ²⁵
	1.000	689.98	01/20/21	730.00	...	-40.02	2 of 2 - Option sale to close-call ²⁵
01/21/21	2.000	1,379.95	Various	1,460.00	...	-80.05	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

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02/11/2022

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CLOV 02/19/2021 CALL \$12.50 / CUSIP: / Symbol:							
02/04/21	3.000	434.98	02/04/21	495.00	...	-60.02	Option sale to close-call ²⁵
CLSD 08/20/2021 CALL \$5.00 / CUSIP: / Symbol:							
08/11/21	1.000	34.98	07/06/21	160.00	...	-125.02	Option sale to close-call ²⁵
CLVS 07/16/2021 CALL \$7.00 / CUSIP: / Symbol:							
04/19/21	3.000	212.98	03/19/21	708.00	...	-495.02	Option sale to close-call ²⁵
CNET 02/19/2021 CALL \$3.00 / CUSIP: / Symbol:							
01/20/21	1.000	27.98	01/08/21	190.00	...	-162.02	Option sale to close-call ²⁵
COIN 08/20/2021 CALL \$280.00 / CUSIP: / Symbol:							
08/20/21	1.000	0.00	08/11/21	1,390.00	...	-1,390.00	Option expiration- long call
CURO 01/15/2021 CALL \$12.50 / CUSIP: / Symbol:							
01/07/21	1.000	99.98	12/18/20	637.00	...	-537.02	Option sale to close-call ²⁵
DIS 02/12/2021 CALL \$182.50 / CUSIP: / Symbol:							
02/05/21	1.000	429.98	02/04/21	420.00	...	9.98	Option sale to close-call ²⁵
EBON 02/19/2021 CALL \$5.00 / CUSIP: / Symbol:							
02/08/21	1.000	144.98	02/05/21	175.00	...	-30.02	Option sale to close-call ²⁵
EBON 03/19/2021 CALL \$5.00 / CUSIP: / Symbol:							
02/05/21	1.000	194.98	02/04/21	200.00	...	-5.02	Option sale to close-call ²⁵
EBON 07/16/2021 CALL \$5.00 / CUSIP: / Symbol:							
02/23/21	1.000	309.98	02/23/21	370.00	...	-60.02	Option sale to close-call ²⁵
FCEL 01/15/2021 CALL \$12.00 / CUSIP: / Symbol:							
01/05/21	1.000	76.98	12/24/20	222.00	...	-145.02	Option sale to close-call ²⁵
GEVO 02/19/2021 CALL \$12.50 / CUSIP: / Symbol:							
		3 transactions for 02/11/21. Total proceeds and cost reported to the IRS.					
	1.000	234.99	02/09/21	295.02	...	-60.03	1 of 3 - Option sale to close-call ²⁵
	1.000	234.99	02/09/21	265.00	...	-30.01	2 of 3 - Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
GEVO 02/19/2021 CALL \$12.50 / CUSIP: / Symbol: (cont'd)							
	3.000	704.98	02/09/21	600.00	...	104.98	3 of 3 - Option sale to close-call ²⁵
02/11/21	5.000	1,174.96	Various	1,160.02	...	14.94	Total of 3 transactions
02/11/21	1.000	234.98	02/09/21	265.00	30.02 W	0.00	Option sale to close-call ²⁵
	Security total:	1,409.94		1,425.02	30.02 W	14.94	
GNUS 04/16/2021 CALL \$2.00 / CUSIP: / Symbol:							
02/10/21	1.000	75.98	02/09/21	84.00	...	-8.02	Option sale to close-call ²⁵
GSAT 04/16/2021 CALL \$2.00 / CUSIP: / Symbol:							
2 transactions for 02/18/21. Total proceeds and cost reported to the IRS.							
	2.000	159.98	02/11/21	180.00	...	-20.02	1 of 2 - Option sale to close-call ²⁵
	1.000	79.98	02/11/21	90.00	...	-10.02	2 of 2 - Option sale to close-call ²⁵
02/18/21	3.000	239.96	Various	270.00	...	-30.04	Total of 2 transactions
GSAT 04/16/2021 CALL \$2.50 / CUSIP: / Symbol:							
2 transactions for 02/19/21. Total proceeds and cost reported to the IRS.							
	3.000	140.98	02/10/21	252.00	...	-111.02	1 of 2 - Option sale to close-call ²⁵
	2.000	93.98	02/10/21	168.00	...	-74.02	2 of 2 - Option sale to close-call ²⁵
02/19/21	5.000	234.96	Various	420.00	...	-185.04	Total of 2 transactions
GSAT 07/16/2021 CALL \$1.00 / CUSIP: / Symbol:							
2 transactions for 01/21/21. Total proceeds and cost reported to the IRS.							
	5.000	299.98	01/20/21	310.00	...	-10.02	1 of 2 - Option sale to close-call ²⁵
	1.000	59.98	01/20/21	62.00	...	-2.02	2 of 2 - Option sale to close-call ²⁵
01/21/21	6.000	359.96	Various	372.00	...	-12.04	Total of 2 transactions
GSM 02/19/2021 CALL \$4.00 / CUSIP: / Symbol:							
02/10/21	1.000	14.98	02/02/21	85.00	...	-70.02	Option sale to close-call ²⁵
GSM 03/19/2021 CALL \$4.00 / CUSIP: / Symbol:							
2 transactions for 02/05/21. Total proceeds and cost reported to the IRS.							
	3.000	134.98	02/02/21	360.00	...	-225.02	1 of 2 - Option sale to close-call ²⁵
	1.000	45.00	02/02/21	195.02	...	-150.02	2 of 2 - Option sale to close-call ²⁵
02/05/21	4.000	179.98	Various	555.02	...	-375.04	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
GSM 03/19/2021 CALL \$4.00 / CUSIP: / Symbol: (cont'd)							
02/05/21	1.000	44.98	02/02/21	120.00	75.02 W	0.00	Option sale to close-call ²⁵
Security total:		224.96		675.02	75.02 W	-375.04	
GTE 05/21/2021 CALL \$2.50 / CUSIP: / Symbol:							
2 transactions for 01/29/21. Total proceeds and cost reported to the IRS.							
	4.000	99.98	01/28/21	160.00	...	-60.02	1 of 2 - Option sale to close-call ²⁵
	3.000	74.98	01/28/21	120.00	...	-45.02	2 of 2 - Option sale to close-call ²⁵
01/29/21	7.000	174.96	Various	280.00	...	-105.04	Total of 2 transactions
JMIA 02/12/2021 CALL \$62.00 / CUSIP: / Symbol:							
02/03/21	1.000	624.97	02/02/21	625.00	...	-0.03	Option sale to close-call ²⁵
LGVW 02/19/2021 CALL \$20.00 / CUSIP: / Symbol:							
01/04/21	1.000	330.98	12/31/20	330.00	...	0.98	Option sale to close-call ²⁵
NAK 03/19/2021 CALL \$0.50 / CUSIP: / Symbol:							
4 transactions for 03/19/21. Total proceeds and cost reported to the IRS.							
	20.000	399.95	02/17/21	860.00	...	-460.05	1 of 4 - Option sale to close-call ²⁵
	9.000	179.98	02/17/21	387.00	...	-207.02	2 of 4 - Option sale to close-call ²⁵
	2.000	39.99	02/17/21	86.00	...	-46.01	3 of 4 - Option sale to close-call ²⁵
	1.000	20.00	02/17/21	43.00	...	-23.00	4 of 4 - Option sale to close-call ²⁵
03/19/21	32.000	639.92	Various	1,376.00	...	-736.08	Total of 4 transactions
NAK 05/21/2021 CALL \$0.50 / CUSIP: / Symbol:							
2 transactions for 04/15/21. Total proceeds and cost reported to the IRS.							
	1.000	14.99	02/17/21	53.00	...	-38.01	1 of 2 - Option sale to close-call ²⁵
	1.000	14.99	02/17/21	53.00	...	-38.01	2 of 2 - Option sale to close-call ²⁵
04/15/21	2.000	29.98	Various	106.00	...	-76.02	Total of 2 transactions
NAK 08/20/2021 CALL \$0.50 / CUSIP: / Symbol:							
04/19/21	6.000	95.98	02/17/21	366.00	...	-270.02	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 972587265

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NEOS 03/19/2021 CALL \$2.50 / CUSIP: / Symbol:							
5 transactions for 03/19/21. Total proceeds and cost reported to the IRS.							
	16.000	0.00	01/20/21	320.00	...	-320.00	1 of 5 - Option expiration- long call
	12.000	0.00	01/20/21	240.00	...	-240.00	2 of 5 - Option expiration- long call
	10.000	0.00	01/20/21	200.00	...	-200.00	3 of 5 - Option expiration- long call
	7.000	0.00	01/20/21	140.00	...	-140.00	4 of 5 - Option expiration- long call
	5.000	0.00	01/20/21	100.00	...	-100.00	5 of 5 - Option expiration- long call
03/19/21	50.000	0.00	Various	1,000.00	...	-1,000.00	Total of 5 transactions
NGL 02/19/2021 CALL \$2.50 / CUSIP: / Symbol:							
2 transactions for 01/25/21. Total proceeds and cost reported to the IRS.							
	1.000	51.98	01/21/21	160.00	...	-108.02	1 of 2 - Option sale to close-call ²⁵
	1.000	51.98	01/21/21	160.00	...	-108.02	2 of 2 - Option sale to close-call ²⁵
01/25/21	2.000	103.96	Various	320.00	...	-216.04	Total of 2 transactions
NGL 03/19/2021 CALL \$2.50 / CUSIP: / Symbol:							
01/26/21	1.000	59.98	01/21/21	110.00	...	-50.02	Option sale to close-call ²⁵
NIO 02/12/2021 CALL \$53.00 / CUSIP: / Symbol:							
01/07/21	1.000	724.97	01/04/21	780.00	...	-55.03	Option sale to close-call ²⁵
NIO 02/26/2021 CALL \$57.50 / CUSIP: / Symbol:							
01/26/21	1.000	769.97	01/15/21	780.00	...	-10.03	Option sale to close-call ²⁵
NIO 03/19/2021 CALL \$55.00 / CUSIP: / Symbol:							
01/15/21	1.000	1,169.96	01/08/21	1,125.00	...	44.96	Option sale to close-call ²⁵
NOK 03/05/2021 CALL \$4.00 / CUSIP: / Symbol:							
03/05/21	1.000	0.00	02/24/21	29.00	...	-29.00	Option expiration- long call
NOK 06/18/2021 CALL \$6.00 / CUSIP: / Symbol:							
04/19/21	2.000	7.98	01/27/21	610.00	...	-602.02	Option sale to close-call ²⁵
ORPH 08/20/2021 CALL \$5.00 / CUSIP: / Symbol:							
3 transactions for 08/11/21. Total proceeds and cost reported to the IRS.							
	8.000	1,199.97	08/10/21	1,200.00	...	-0.03	1 of 3 - Option sale to close-call ²⁵
	6.000	899.98	08/10/21	900.00	...	-0.02	2 of 3 - Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 972587265

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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ORPH 08/20/2021 CALL \$5.00 / CUSIP: / Symbol: (cont'd)							
	1.000	149.98	08/10/21	150.00	...	-0.02	3 of 3 - Option sale to close-call ²⁵
08/11/21	15.000	2,249.93	Various	2,250.00	...	-0.07	Total of 3 transactions
08/20/21	1.000	0.00	08/11/21	175.00	...	-175.00	Option expiration- long call
	Security total:	2,249.93		2,425.00	...	-175.07	
PLUG 02/05/2021 CALL \$59.00 / CUSIP: / Symbol:							
01/26/21	1.000	1,414.95	01/15/21	795.00	...	619.95	Option sale to close-call ²⁵
PYPL 01/29/2021 CALL \$230.00 / CUSIP: / Symbol:							
01/08/21	1.000	1,559.95	01/04/21	1,065.00	...	494.95	Option sale to close-call ²⁵
PYPL 01/29/2021 CALL \$242.50 / CUSIP: / Symbol:							
01/29/21	1.000	0.00	01/25/21	580.00	...	-580.00	Option expiration- long call
PYPL 02/26/2021 CALL \$237.50 / CUSIP: / Symbol:							
01/20/21	1.000	1,924.94	01/15/21	1,480.00	...	444.94	Option sale to close-call ²⁵
PYPL 03/19/2021 CALL \$240.00 / CUSIP: / Symbol:							
01/15/21	1.000	1,539.95	01/14/21	1,900.00	...	-360.05	Option sale to close-call ²⁵
QD 02/19/2021 CALL \$1.50 / CUSIP: / Symbol:							
01/15/21	3.000	134.98	01/14/21	159.00	...	-24.02	Option sale to close-call ²⁵
QS 01/15/2021 CALL \$60.00 / CUSIP: / Symbol:							
01/08/21	1.000	364.98	01/07/21	630.00	...	-265.02	Option sale to close-call ²⁵
RIDE 02/26/2021 CALL \$30.00 / CUSIP: / Symbol:							
02/11/21	1.000	237.98	02/10/21	290.00	...	-52.02	Option sale to close-call ²⁵
RMO 03/19/2021 CALL \$20.00 / CUSIP: / Symbol:							
02/10/21	1.000	274.98	02/08/21	330.00	...	-55.02	Option sale to close-call ²⁵
SENS 03/19/2021 CALL \$1.50 / CUSIP: / Symbol:							
	4 transactions for 01/15/21. Total proceeds and cost reported to the IRS.						
	6.000	419.98	01/15/21	540.00	...	-120.02	1 of 4 - Option sale to close-call ²⁵
	2.000	139.98	01/15/21	180.00	...	-40.02	2 of 4 - Option sale to close-call ²⁵

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SENS 03/19/2021 CALL \$1.50 / CUSIP: / Symbol: (cont'd)							
	1.000	69.98	01/15/21	90.00	...	-20.02	3 of 4 - Option sale to close-call ²⁵
	1.000	69.98	01/15/21	90.00	...	-20.02	4 of 4 - Option sale to close-call ²⁵
01/15/21	10.000	699.92	Various	900.00	...	-200.08	Total of 4 transactions
SENS 03/19/2021 CALL \$2.50 / CUSIP: / Symbol:							
03/19/21	2.000	109.98	03/04/21	140.00	...	-30.02	Option sale to close-call ²⁵
SI 05/21/2021 CALL \$115.00 / CUSIP: / Symbol:							
04/21/21	1.000	1,719.98	04/20/21	1,760.00	...	-40.02	Option sale to close-call ²⁵
SI 05/21/2021 CALL \$120.00 / CUSIP: / Symbol:							
04/20/21	1.000	1,689.98	04/20/21	1,390.00	...	299.98	Option sale to close-call ²⁵
SI 05/21/2021 CALL \$125.00 / CUSIP: / Symbol:							
04/21/21	1.000	1,729.98	04/21/21	1,690.00	...	39.98	Option sale to close-call ²⁵
SI 06/18/2021 PUT \$100.00 / CUSIP: / Symbol:							
06/18/21	1.000	579.98	05/19/21	1,140.00	...	-560.02	Option sale to close-put ²⁵
SI 06/18/2021 PUT \$90.00 / CUSIP: / Symbol:							
05/19/21	1.000	1,119.98	05/18/21	840.00	...	279.98	Option sale to close-put ²⁵
SI 07/16/2021 PUT \$100.00 / CUSIP: / Symbol:							
06/22/21	1.000	1,089.98	06/21/21	870.00	...	219.98	Option sale to close-put ²⁵
SI 07/16/2021 PUT \$110.00 / CUSIP: / Symbol:							
06/28/21	1.000	1,099.98	06/24/21	1,110.00	...	-10.02	Option sale to close-put ²⁵
SI 08/20/2021 CALL \$100.00 / CUSIP: / Symbol:							
2 transactions for 08/05/21. Total proceeds and cost reported to the IRS.							
	1.000	809.98	08/04/21	760.00	...	49.98	1 of 2 - Option sale to close-call ²⁵
	1.000	809.98	08/04/21	760.00	...	49.98	2 of 2 - Option sale to close-call ²⁵
08/05/21	2.000	1,619.96	Various	1,520.00	...	99.96	Total of 2 transactions
SI 08/20/2021 CALL \$115.00 / CUSIP: / Symbol:							
08/20/21	1.000	0.00	08/11/21	590.00	...	-590.00	Option expiration- long call

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SI 08/20/2021 CALL \$120.00 / CUSIP: / Symbol:							
2 transactions for 08/09/21. Total proceeds and cost reported to the IRS.							
	1.000	679.99	08/09/21	658.00	...	21.99	1 of 2 - Option sale to close-call ²⁵
	2.000	1,359.98	08/09/21	1,316.00	...	43.98	2 of 2 - Option sale to close-call ²⁵
08/09/21	3.000	2,039.97	Various	1,974.00	...	65.97	Total of 2 transactions
SI 08/20/2021 PUT \$115.00 / CUSIP: / Symbol:							
08/06/21	2.000	1,579.98	08/06/21	1,520.00	...	59.98	Option sale to close-put ²⁵
SI 08/20/2021 PUT \$120.00 / CUSIP: / Symbol:							
08/10/21	3.000	1,919.98	08/10/21	1,830.00	...	89.98	Option sale to close-put ²⁵
SNDL 01/29/2021 CALL \$0.50 / CUSIP: / Symbol:							
01/25/21	9.000	107.97	01/11/21	270.00	...	-162.03	Option sale to close-call ²⁵
SNDL 03/05/2021 CALL \$0.50 / CUSIP: / Symbol:							
01/29/21	2.000	89.98	01/27/21	80.00	...	9.98	Option sale to close-call ²⁵
SNDL 04/16/2021 CALL \$1.00 / CUSIP: / Symbol:							
2 transactions for 02/04/21. Total proceeds and cost reported to the IRS.							
	13.000	714.95	02/03/21	910.00	...	-195.05	1 of 2 - Option sale to close-call ²⁵
	7.000	384.98	02/03/21	490.00	...	-105.02	2 of 2 - Option sale to close-call ²⁵
02/04/21	20.000	1,099.93	Various	1,400.00	...	-300.07	Total of 2 transactions
SNDL 04/16/2021 CALL \$2.00 / CUSIP: / Symbol:							
3 transactions for 04/16/21. Total proceeds and cost reported to the IRS.							
	14.000	0.00	02/10/21	1,680.00	...	-1,680.00	1 of 3 - Option expiration- long call
	2.000	0.00	02/10/21	240.00	...	-240.00	2 of 3 - Option expiration- long call
	2.000	0.00	02/10/21	240.00	...	-240.00	3 of 3 - Option expiration- long call
04/16/21	18.000	0.00	Various	2,160.00	...	-2,160.00	Total of 3 transactions
SNDL 07/16/2021 CALL \$0.50 / CUSIP: / Symbol:							
4 transactions for 01/29/21. Total proceeds and cost reported to the IRS.							
	1.000	54.98	01/27/21	44.00	...	10.98	1 of 4 - Option sale to close-call ²⁵
	1.000	54.98	01/27/21	44.00	...	10.98	2 of 4 - Option sale to close-call ²⁵
	4.000	219.98	01/27/21	176.00	...	43.98	3 of 4 - Option sale to close-call ²⁵

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SNDL 07/16/2021 CALL \$0.50 / CUSIP: / Symbol: (cont'd)							
	9.000	494.96	01/27/21	396.00	...	98.96	4 of 4 - Option sale to close-call ²⁵
01/29/21	15.000	824.90	Various	660.00	...	164.90	Total of 4 transactions
02/02/21	14.000	1,119.94	02/01/21	980.00	...	139.94	Option sale to close-call ²⁵
	Security total:	1,944.84		1,640.00	...	304.84	
SNDL 07/16/2021 CALL \$1.00 / CUSIP: / Symbol:							
2 transactions for 02/10/21. Total proceeds and cost reported to the IRS.							
	1.000	169.98	02/08/21	65.00	...	104.98	1 of 2 - Option sale to close-call ²⁵
	10.000	1,699.94	02/08/21	650.00	...	1,049.94	2 of 2 - Option sale to close-call ²⁵
02/10/21	11.000	1,869.92	Various	715.00	...	1,154.92	Total of 2 transactions
SOLO 02/05/2021 CALL \$8.00 / CUSIP: / Symbol:							
01/26/21	1.000	90.98	01/25/21	89.00	...	1.98	Option sale to close-call ²⁵
SOLO 03/05/2021 CALL \$8.50 / CUSIP: / Symbol:							
01/27/21	5.000	789.97	01/26/21	860.00	...	-70.03	Option sale to close-call ²⁵
SOS 03/19/2021 CALL \$2.50 / CUSIP: / Symbol:							
02/01/21	1.000	109.98	01/29/21	145.00	...	-35.02	Option sale to close-call ²⁵
SOS 03/19/2021 CALL \$7.50 / CUSIP: / Symbol:							
03/04/21	1.000	159.98	03/03/21	253.00	...	-93.02	Option sale to close-call ²⁵
SOS 05/21/2021 CALL \$10.00 / CUSIP: / Symbol:							
2 transactions for 02/17/21. Total proceeds and cost reported to the IRS.							
	1.000	679.97	02/16/21	520.00	...	159.97	1 of 2 - Option sale to close-call ²⁵
	1.000	679.97	02/16/21	520.00	...	159.97	2 of 2 - Option sale to close-call ²⁵
02/17/21	2.000	1,359.94	Various	1,040.00	...	319.94	Total of 2 transactions
SOS 05/21/2021 CALL \$7.50 / CUSIP: / Symbol:							
04/16/21	2.000	53.98	03/03/21	680.00	...	-626.02	Option sale to close-call ²⁵
TELL 04/16/2021 CALL \$3.50 / CUSIP: / Symbol:							
01/28/21	3.000	269.98	01/25/21	480.00	...	-210.02	Option sale to close-call ²⁵

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TPX 09/17/2021 CALL \$40.00 / CUSIP: / Symbol:							
07/29/21	3.000	1,199.98	07/06/21	900.00	...	299.98	Option sale to close-call ²⁵
TTOO 02/19/2021 CALL \$2.50 / CUSIP: / Symbol:							
<i>3 transactions for 02/10/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	90.00	02/09/21	120.02	...	-30.02	1 of 3 - Option sale to close-call ²⁵
	1.000	89.99	02/09/21	105.00	...	-15.01	2 of 3 - Option sale to close-call ²⁵
	1.000	89.99	02/09/21	105.00	...	-15.01	3 of 3 - Option sale to close-call ²⁵
02/10/21	3.000	269.98	Various	330.02	...	-60.04	Total of 3 transactions
02/10/21	1.000	89.98	02/09/21	105.00	15.02 W	0.00	Option sale to close-call ²⁵
	Security total:	359.96		435.02	15.02 W	-60.04	
TTOO 03/19/2021 CALL \$2.50 / CUSIP: / Symbol:							
02/10/21	1.000	132.98	02/09/21	135.00	...	-2.02	Option sale to close-call ²⁵
TTOO 05/21/2021 CALL \$2.50 / CUSIP: / Symbol:							
<i>3 transactions for 02/10/21. Total proceeds and cost reported to the IRS.</i>							
	2.000	309.98	02/09/21	330.00	...	-20.02	1 of 3 - Option sale to close-call ²⁵
	1.000	154.98	02/09/21	165.00	...	-10.02	2 of 3 - Option sale to close-call ²⁵
	1.000	169.98	02/09/21	165.00	...	4.98	3 of 3 - Option sale to close-call ²⁵
02/10/21	4.000	634.94	Various	660.00	...	-25.06	Total of 3 transactions
TTOO 08/20/2021 CALL \$2.50 / CUSIP: / Symbol:							
<i>2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.</i>							
	3.000	344.98	01/26/21	465.00	...	-120.02	1 of 2 - Option sale to close-call ²⁵
	2.000	229.99	01/26/21	310.00	...	-80.01	2 of 2 - Option sale to close-call ²⁵
01/27/21	5.000	574.97	Various	775.00	...	-200.03	Total of 2 transactions
VRAY 02/19/2021 CALL \$6.00 / CUSIP: / Symbol:							
01/05/21	1.000	129.98	01/04/21	136.00	...	-6.02	Option sale to close-call ²⁵
VXRT 02/12/2021 CALL \$11.00 / CUSIP: / Symbol:							
02/02/21	5.000	3,574.91	01/29/21	2,100.00	...	1,474.91	Option sale to close-call ²⁵
WIMI 03/19/2021 CALL \$7.50 / CUSIP: / Symbol:							
01/25/21	3.000	824.97	01/22/21	825.00	...	-0.03	Option sale to close-call ²⁵

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Robinhood Securities LLC

Account 972587265

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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XELA 09/17/2021 CALL \$2.50 / CUSIP: / Symbol:							
2 transactions for 08/02/21. Total proceeds and cost reported to the IRS.							
	2.000	179.99	07/29/21	160.00	...	19.99	1 of 2 - Option sale to close-call ²⁵
08/02/21	13.000	1,169.97	07/29/21	1,001.00	...	168.97	2 of 2 - Option sale to close-call ²⁵
	15.000	1,349.96	Various	1,161.00	...	188.96	Total of 2 transactions
2 transactions for 08/04/21. Total proceeds and cost reported to the IRS.							
	7.000	909.98	08/02/21	630.00	...	279.98	1 of 2 - Option sale to close-call ²⁵
08/04/21	8.000	1,039.97	08/02/21	720.00	...	319.97	2 of 2 - Option sale to close-call ²⁵
	15.000	1,949.95	Various	1,350.00	...	599.95	Total of 2 transactions
	Security total:	3,299.91		2,511.00	...	788.91	
XSPA 07/16/2021 CALL \$1.00 / CUSIP: / Symbol:							
01/25/21	6.000	689.97	01/21/21	510.00	...	179.97	Option sale to close-call ²⁵
XXII 05/21/2021 CALL \$5.00 / CUSIP: / Symbol:							
05/21/21	2.000	0.00	04/26/21	180.00	...	-180.00	Option expiration- long call
ZM 01/15/2021 CALL \$375.00 / CUSIP: / Symbol:							
01/14/21	1.000	1,189.96	01/13/21	720.00	...	469.96	Option sale to close-call ²⁵
ZM 04/23/2021 CALL \$337.50 / CUSIP: / Symbol:							
4 transactions for 04/23/21. Total proceeds and cost reported to the IRS.							
	1.000	36.98	04/22/21	440.00	...	-403.02	1 of 4 - Option sale to close-call ²⁵
	1.000	36.98	04/22/21	440.00	...	-403.02	2 of 4 - Option sale to close-call ²⁵
	1.000	36.98	04/22/21	440.00	...	-403.02	3 of 4 - Option sale to close-call ²⁵
	1.000	36.98	04/22/21	440.00	...	-403.02	4 of 4 - Option sale to close-call ²⁵
04/23/21	4.000	147.92	Various	1,760.00	...	-1,612.08	Total of 4 transactions
ATA CREATIVITY GLOBAL AMERICAN DEPOSITARY SHARES / CUSIP: 00211V106 / Symbol:							
4 transactions for 02/05/21. Total proceeds and cost reported to the IRS.							
	112.000	713.66	02/04/21	1,926.40	...	-1,212.74	1 of 4 - Sale ²⁵
	80.000	509.76	02/04/21	1,018.57	...	-508.81	2 of 4 - Sale ²⁵
	8.000	50.98	02/04/21	137.60	...	-86.62	3 of 4 - Sale ²⁵
	7.000	44.60	02/04/21	85.07	...	-40.47	4 of 4 - Sale ²⁵
02/05/21	207.000	1,319.00	Various	3,167.64	...	-1,848.64	Total of 4 transactions

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Robinhood Securities LLC

Account 972587265

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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ARTELO BIOSCIENCES, INC. COMMO N STOCK / CUSIP: 04301G201 / Symbol:							
4 transactions for 02/22/21. Total proceeds and cost reported to the IRS.							
	90.000	200.70	02/19/21	210.60	...	-9.90	1 of 4 - Sale ²⁵
	110.000	245.29	02/19/21	255.08	...	-9.79	2 of 4 - Sale ²⁵
	10.000	22.30	02/19/21	23.39	...	-1.09	3 of 4 - Sale ²⁵
	9.000	20.07	02/19/21	20.87	...	-0.80	4 of 4 - Sale ²⁵
02/22/21	219.000	488.36	Various	509.94	...	-21.58	Total of 4 transactions
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
01/04/21	69.000	359.48	12/31/20	192.51	...	166.97	Sale ²⁵
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol:							
4 transactions for 01/21/21. Total proceeds and cost reported to the IRS.							
	100.000	149.49	01/21/21	145.98	...	3.51	1 of 4 - Sale ²⁵
	100.000	149.49	01/21/21	145.98	...	3.51	2 of 4 - Sale ²⁵
	350.000	521.44	01/21/21	510.93	...	10.51	3 of 4 - Sale ²⁵
	400.000	597.93	01/21/21	583.92	...	14.01	4 of 4 - Sale ²⁵
01/21/21	950.000	1,418.35	Various	1,386.81	...	31.54	Total of 4 transactions
01/27/21	9.000	11.29	01/27/21	11.70	0.41 W	0.00	Sale ²⁵
2 transactions for 02/05/21. Total proceeds and cost reported to the IRS.							
	51.000	91.54	02/04/21	93.84	...	-2.30	1 of 2 - Sale ²⁵
	9.000	16.15	02/04/21	16.97	...	-0.82	2 of 2 - Sale ²⁵
02/05/21	60.000	107.69	Various	110.81	...	-3.12	Total of 2 transactions
	Security total:	1,537.33		1,509.32	0.41 W	28.42	
GUARDION HEALTH SCIENCES, INC. COMMON STOCK / CUSIP: 40145Q203 / Symbol:							
01/29/21	150.000	129.22	01/28/21	116.97	...	12.25	Sale ²⁵
HELIUS MEDICAL TECHNOLOGIES, I NC. CLASS A COMMON STOCK (DE) / CUSIP: 42328V603 / Symbol:							
01/06/21	13.000	235.37	01/05/21	283.66	...	-48.29	Sale ²⁵

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(continued)

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INUVO, INC. / CUSIP: 46122W204 / Symbol:							
2 transactions for 01/20/21. Total proceeds and cost reported to the IRS.							
	35.000	71.43	01/19/21	50.75	...	20.68	1 of 2 - Sale ²⁵
	430.000	877.59	01/19/21	623.50	...	254.09	2 of 2 - Sale ²⁵
01/20/21	465.000	949.02	Various	674.25	...	274.77	Total of 2 transactions
INVIVO THERAPEUTICS HOLDINGS C ORP COMMON STOCK / CUSIP: 46186M506 / Symbol:							
2 transactions for 01/11/21. Total proceeds and cost reported to the IRS.							
	414.000	401.52	01/08/21	361.59	...	39.93	1 of 2 - Sale ²⁵
	430.000	417.04	01/08/21	376.29	...	40.75	2 of 2 - Sale ²⁵
01/11/21	844.000	818.56	Various	737.88	...	80.68	Total of 2 transactions
LM FUNDING AMERICA, INC. COMMO N STOCK / CUSIP: 502074305 / Symbol:							
5 transactions for 01/11/21. Total proceeds and cost reported to the IRS.							
	100.000	231.98	01/08/21	200.00	...	31.98	1 of 5 - Sale ²⁵
	100.000	231.98	01/08/21	200.00	...	31.98	2 of 5 - Sale ²⁵
	120.000	278.38	01/08/21	238.58	...	39.80	3 of 5 - Sale ²⁵
	190.000	440.77	01/08/21	364.80	...	75.97	4 of 5 - Sale ²⁵
	400.000	927.93	01/08/21	800.00	...	127.93	5 of 5 - Sale ²⁵
01/11/21	910.000	2,111.04	Various	1,803.38	...	307.66	Total of 5 transactions
LAIX INC. / CUSIP: 50736W105 / Symbol:							
2 transactions for 02/08/21. Total proceeds and cost reported to the IRS.							
	190.000	866.35	02/05/21	1,343.09	...	-476.74	1 of 2 - Sale ²⁵
	40.000	182.39	02/05/21	278.00	...	-95.61	2 of 2 - Sale ²⁵
02/08/21	230.000	1,048.74	Various	1,621.09	...	-572.35	Total of 2 transactions
NTN BUZZTIME, INC / CUSIP: 629410606 / Symbol:							
02/03/21	250.000	1,287.44	02/02/21	1,720.00	171.29 W	-261.27	Sale ²⁵
2 transactions for 02/11/21. Total proceeds and cost reported to the IRS.							
	90.000	424.01	02/10/21	604.72	...	-180.71	1 of 2 - Sale ²⁵
	9.000	42.40	02/10/21	58.75	...	-16.35	2 of 2 - Sale ²⁵
02/11/21	99.000	466.41	Various	663.47	...	-197.06	Total of 2 transactions
	Security total:	1,753.85		2,383.47	171.29 W	-458.33	

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
01/07/21	97.000	244.67	01/06/21	245.40	0.73 W	0.00	Sale ²⁵
02/03/21	83.000	239.11	02/02/21	275.38	...	-36.27	Sale ²⁵
02/03/21	97.000	279.45	02/02/21	322.55	36.88 W	-6.22	Sale ²⁵
2 transactions for 02/09/21. Total proceeds and cost reported to the IRS.							
	3.000	36.27	02/08/21	39.96	...	-3.69	1 of 2 - Sale ²⁵
	80.000	967.17	02/08/21	967.55	...	-0.38	2 of 2 - Sale ²⁵
02/09/21	83.000	1,003.44	Various	1,007.51	...	-4.07	Total of 2 transactions
	Security total:	1,766.67		1,850.84	37.61 W	-46.56	
PROFESSIONAL DIVERSITY NETWORK, INC. COMMON STOCK / CUSIP: 74312Y202 / Symbol:							
2 transactions for 01/08/21. Total proceeds and cost reported to the IRS.							
	26.000	72.28	01/07/21	59.02	...	13.26	1 of 2 - Sale ²⁵
	60.000	166.79	01/07/21	136.20	...	30.59	2 of 2 - Sale ²⁵
01/08/21	86.000	239.07	Various	195.22	...	43.85	Total of 2 transactions
VISLINK TECHNOLOGIES, INC. COM MON STOCK / CUSIP: 92836Y300 / Symbol:							
02/08/21	170.000	760.71	02/05/21	606.82	...	153.89	Sale ²⁵
ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:							
3 transactions for 01/13/21. Total proceeds and cost reported to the IRS.							
	400.000	378.06	01/11/21	353.72	...	24.34	1 of 3 - Sale ²⁵
	515.000	486.76	01/11/21	456.75	...	30.01	2 of 3 - Sale ²⁵
	2,000.000	1,890.31	01/11/21	1,847.80	...	42.51	3 of 3 - Sale ²⁵
01/13/21	2,915.000	2,755.13	Various	2,658.27	...	96.86	Total of 3 transactions
01/14/21	2,000.000	2,066.11	01/13/21	2,033.60	...	32.51	Sale ²⁵
2 transactions for 01/19/21. Total proceeds and cost reported to the IRS.							
	70.000	74.25	01/19/21	80.15	5.90 W	0.00	1 of 2 - Sale ²⁵
	550.000	583.42	01/19/21	594.00	10.58 W	0.00	2 of 2 - Sale ²⁵
01/19/21	620.000	657.67	Various	674.15	16.48 W	0.00	Total of 2 transactions
4 transactions for 01/26/21. Total proceeds and cost reported to the IRS.							
	70.000	68.31	01/25/21	80.10	11.79 W	0.00	1 of 4 - Sale ²⁵
	550.000	536.72	01/25/21	593.58	56.86 W	0.00	2 of 4 - Sale ²⁵
	40.000	39.03	01/25/21	42.40	3.37 W	0.00	3 of 4 - Sale ²⁵

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(continued)

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ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol: (cont'd)							
01/26/21	40.000	39.04	01/25/21	42.37	3.33 W	0.00	4 of 4 - Sale ²⁵
	700.000	683.10	Various	758.45	75.35 W	0.00	Total of 4 transactions
	5 transactions for 02/04/21. Total proceeds and cost reported to the IRS.						
	40.000	55.24	02/04/21	57.37	...	-2.13	1 of 5 - Sale ²⁵
	40.000	55.24	02/04/21	57.33	...	-2.09	2 of 5 - Sale ²⁵
	40.000	55.24	02/04/21	54.60	...	0.64	3 of 5 - Sale ²⁵
	215.000	296.90	02/04/21	290.25	...	6.65	4 of 5 - Sale ²⁵
	650.000	897.62	02/04/21	884.00	...	13.62	5 of 5 - Sale ²⁵
02/04/21	985.000	1,360.24	Various	1,343.55	...	16.69	Total of 5 transactions
	3 transactions for 02/04/21. Total proceeds and cost reported to the IRS.						
	505.000	697.38	02/04/21	733.96	8.18 W	-28.40	1 of 3 - Sale ²⁵
	45.000	62.14	02/04/21	63.60	1.46 W	0.00	2 of 3 - Sale ²⁵
	70.000	96.67	02/04/21	103.49	6.82 W	0.00	3 of 3 - Sale ²⁵
02/04/21	620.000	856.19	Various	901.05	16.46 W	-28.40	Total of 3 transactions
	6 transactions for 02/09/21. Total proceeds and cost reported to the IRS.						
	55.000	129.79	02/08/21	159.08	...	-29.29	1 of 6 - Sale ²⁵
	58.000	136.86	02/08/21	165.44	...	-28.58	2 of 6 - Sale ²⁵
	45.000	106.19	02/08/21	126.56	...	-20.37	3 of 6 - Sale ²⁵
	17.000	40.12	02/08/21	48.91	...	-8.79	4 of 6 - Sale ²⁵
	13.000	30.68	02/08/21	37.41	...	-6.73	5 of 6 - Sale ²⁵
	40.000	94.39	02/08/21	97.50	...	-3.11	6 of 6 - Sale ²⁵
02/09/21	228.000	538.03	Various	634.90	...	-96.87	Total of 6 transactions
	Security total:	8,916.47		9,003.97	108.29 W	20.79	
INTEGRATED MEDIA TECHNOLOGY LI MITED ORDINARY SHARES / CUSIP: Q49376108 / Symbol:							
02/02/21	17.000	88.91	02/01/21	120.36	...	-31.45	Sale ²⁵
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
	2 transactions for 02/04/21. Total proceeds and cost reported to the IRS.						
	162.000	191.13	02/04/21	218.49	...	-27.36	1 of 2 - Sale ²⁵
	200.000	235.97	02/04/21	261.78	...	-25.81	2 of 2 - Sale ²⁵
02/04/21	362.000	427.10	Various	480.27	...	-53.17	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

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NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol: (cont'd)							
4 transactions for 02/04/21. Total proceeds and cost reported to the IRS.							
	638.000	759.12	02/03/21	784.74	25.62 W	0.00	1 of 4 - Sale ²⁵
	162.000	192.81	02/03/21	199.26	6.45 W	0.00	2 of 4 - Sale ²⁵
	438.000	516.77	02/04/21	590.89	19.30 W	-54.82	3 of 4 - Sale ²⁵
	200.000	238.04	02/04/21	269.81	31.77 W	0.00	4 of 4 - Sale ²⁵
02/04/21	1,438.000	1,706.74	Various	1,844.70	83.14 W	-54.82	Total of 4 transactions
5 transactions for 02/17/21. Total proceeds and cost reported to the IRS.							
	200.000	245.97	02/11/21	445.77	...	-199.80	1 of 5 - Sale ²⁵
	55.000	67.64	02/11/21	113.81	...	-46.17	2 of 5 - Sale ²⁵
	40.000	49.20	02/11/21	89.57	...	-40.37	3 of 5 - Sale ²⁵
	18.000	22.14	02/11/21	40.13	...	-17.99	4 of 5 - Sale ²⁵
	1.000	1.23	02/11/21	2.15	...	-0.92	5 of 5 - Sale ²⁵
02/17/21	314.000	386.18	Various	691.43	...	-305.25	Total of 5 transactions
	Security total:	2,520.02		3,016.40	83.14 W	-413.24	
CASTOR MARITIME INC. COMMON SHARES / CUSIP: Y1146L109 / Symbol:							
01/22/21	2,000.000	822.16	01/21/21	824.72	2.56 W	0.00	Sale ²⁵
5 transactions for 02/09/21. Total proceeds and cost reported to the IRS.							
	80.000	83.99	02/05/21	59.34	...	24.65	1 of 5 - Sale ²⁵
	10.000	10.50	02/08/21	9.42	...	1.08	2 of 5 - Sale ²⁵
	21.000	22.05	02/08/21	20.08	...	1.97	3 of 5 - Sale ²⁵
	79.000	82.94	02/08/21	75.54	...	7.40	4 of 5 - Sale ²⁵
	1,000.000	1,049.85	02/08/21	953.18	...	96.67	5 of 5 - Sale ²⁵
02/09/21	1,190.000	1,249.33	Various	1,117.56	...	131.77	Total of 5 transactions
2 transactions for 02/16/21. Total proceeds and cost reported to the IRS.							
	810.000	1,117.68	02/11/21	1,240.26	...	-122.58	1 of 2 - Sale ²⁵
	40.000	55.19	02/11/21	61.20	...	-6.01	2 of 2 - Sale ²⁵
02/16/21	850.000	1,172.87	Various	1,301.46	...	-128.59	Total of 2 transactions
	Security total:	3,244.36		3,243.74	2.56 W	3.18	
Totals :		91,153.20		105,286.52	523.36 W	-13,609.96	

* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

25 Tax lot closed on a first in first out basis.

Common Instructions for Recipient

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

Account number. May show an account or other unique number the payer assigned to distinguish your account.

Backup Withholding. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

Nominees. If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the General Instructions for Certain Information Returns.

FATCA filing requirement. If the FATCA filing requirement box is checked, the payer is reporting on Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

Keep tax documents for your records.**1099-B Instructions for Recipient**

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

CUSIP number. Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

Applicable checkbox on Form 8949. Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

Line 1a. Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

Line 1b. This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

Line 1c. Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

Line 1d. Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

Line 1e. Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is

Instructions for Recipient

checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

Line 1f. Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

Line 1g. Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

Line 2. The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

Line 3. If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund (QOF).

Line 4. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

Line 5. If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

Line 6. If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

Line 7. If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

Line 12. If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

Line 13. Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

Lines 14-16. Show state(s)/local income tax information.

Future developments. For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099B.

Free File. Go to www.irs.gov/FreeFile to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.

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