

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 571476589	Statement Date: 03/22/2021 AMENDED Document ID: 2CMJ M17 X606	2020
	Kalyan kumar Chanda 29232 Silver Creek Drive 1B Perrysburg, OH 43551 RECIPIENT'S TIN: XXX-XX-7486		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2020 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5) 45.25</p> <p>1b- Qualified dividends 45.25</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d) 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>3- Nondividend distributions 50.00</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: 0.00</p> <p>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 INCOME 2020 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 7.00</p> <p>SECTION 1256 CONTRACTS 2020 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020 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>
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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)	143,658.61	147,375.02	0.00	1,955.08	-1,761.33 C
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)	2.88	28.88	0.00	0.00	-26.00
	Total Short-term	143,661.49	147,403.90	0.00	1,955.08	-1,787.33
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	143,661.49	147,403.90	0.00	1,955.08	-1,787.33
Withholding		Amount				
	Federal income tax withheld	0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2020 may require an amended tax form.

Robinhood Securities LLC

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Summary Information

2020

(continued)

03/22/2021 AMENDED

INTEREST INCOME

2020 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	36.06
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

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Account 571476589

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

03/22/2021 AMENDED

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
FB 07/24/2020 CALL \$250.00 / CUSIP: / Symbol:							
07/24/20	2.000	0.00	07/13/20	1,490.00	...	-1,490.00	Option expiration- long call
ADT INC. / CUSIP: 00090Q103 / Symbol:							
07/15/20	1.000	8.15	04/23/20	5.15	...	3.00	Sale ²⁵
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
06/02/20	8.000	44.80	05/12/20	40.80	...	4.00	Sale ²⁵
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	20.000	359.99	04/28/20	225.40	...	134.59	1 of 2 - Sale ²⁵
	10.000	179.99	05/04/20	96.50	...	83.49	2 of 2 - Sale ²⁵
06/09/20	30.000	539.98	Various	321.90	...	218.08	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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
AMERICAN SOFTWARE, INC. CLASS A COMMON STOCK / CUSIP: 029683109 / Symbol:							
2 transactions for 07/06/20. Total proceeds and cost reported to the IRS.							
	4.000	67.20	06/23/20	64.80	...	2.40	1 of 2 - Sale ²⁵
	21.000	352.80	06/23/20	340.20	...	12.60	2 of 2 - Sale ²⁵
07/06/20	25.000	420.00	Various	405.00	...	15.00	Total of 2 transactions
ASPEN GROUP INC. COMMON STOCK / CUSIP: 04530L203 / Symbol:							
2 transactions for 07/07/20. Total proceeds and cost reported to the IRS.							
	13.000	120.90	07/02/20	114.53	...	6.37	1 of 2 - Sale ²⁵
	30.000	279.00	07/02/20	264.00	...	15.00	2 of 2 - Sale ²⁵
07/07/20	43.000	399.90	Various	378.53	...	21.37	Total of 2 transactions
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
05/14/20	1.000	7.00	05/08/20	4.72	...	2.28	Sale ²⁵
AVIS BUDGET GROUP, INC. COMMON STOCK / CUSIP: 053774105 / Symbol:							
3 transactions for 06/29/20. Total proceeds and cost reported to the IRS.							
	6.000	135.60	04/28/20	99.00	...	36.60	1 of 3 - Sale ²⁵
	1.000	22.60	05/05/20	14.25	...	8.35	2 of 3 - Sale ²⁵
	2.000	45.20	05/05/20	26.65	...	18.55	3 of 3 - Sale ²⁵
06/29/20	9.000	203.40	Various	139.90	...	63.50	Total of 3 transactions
BANCO SANTANDER S.A. / CUSIP: 05964H105 / Symbol:							
05/04/20	1.000	2.11	04/30/20	2.20	0.09 W	0.00	Sale ²⁵
3 transactions for 06/02/20. Total proceeds and cost reported to the IRS.							
	49.000	118.08	04/30/20	107.80	...	10.28	1 of 3 - Sale ²⁵
	1.000	2.41	05/04/20	2.20	...	0.21	2 of 3 - Sale ²⁵
	1.000	2.41	05/04/20	2.12	...	0.29	3 of 3 - Sale ²⁵
06/02/20	51.000	122.90	Various	112.12	...	10.78	Total of 3 transactions
	Security total:	125.01		114.32	0.09 W	10.78	
BARRICK GOLD CORP. / CUSIP: 067901108 / Symbol:							
7 transactions for 08/24/20. Total proceeds and cost reported to the IRS.							
	203.000	6,035.02	08/17/20	6,096.09	...	-61.07	1 of 7 - Sale ²⁵
	40.000	1,189.17	08/17/20	1,201.20	...	-12.03	2 of 7 - Sale ²⁵

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2020 1099-B* OMB No. 1545-0715

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03/22/2021 AMENDED

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
BARRICK GOLD CORP. / CUSIP: 067901108 / Symbol: (cont'd)							
	35.000	1,040.52	08/17/20	1,051.05	...	-10.53	3 of 7 - Sale ²⁵
	10.000	297.29	08/17/20	300.30	...	-3.01	4 of 7 - Sale ²⁵
	5.000	148.65	08/17/20	150.15	...	-1.50	5 of 7 - Sale ²⁵
	5.000	148.65	08/17/20	150.15	...	-1.50	6 of 7 - Sale ²⁵
	5.000	148.65	08/17/20	150.15	...	-1.50	7 of 7 - Sale ²⁵
08/24/20	303.000	9,007.95	Various	9,099.09	...	-91.14	Total of 7 transactions
BAYTEX ENERGY CORP COMMON STOC K (CANADA) / CUSIP: 07317Q105 / Symbol:							
07/01/20	2.000	1.06	06/03/20	1.00	...	0.06	Sale ²⁵
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
05/20/20	5.000	674.98	04/28/20	672.10	...	2.88	Sale ²⁵
CALLON PETROLEUM COMPANY / CUSIP: 13123X102 / Symbol:							
06/04/20	4.000	3.20	05/22/20	2.95	...	0.25	Sale ²⁵
	2 transactions for 07/16/20. Total proceeds and cost reported to the IRS.						
	91.000	111.92	06/05/20	123.76	...	-11.84	1 of 2 - Sale ²⁵
	200.000	245.98	07/07/20	230.00	...	15.98	2 of 2 - Sale ²⁵
07/16/20	291.000	357.90	Various	353.76	...	4.14	Total of 2 transactions
	Security total:	361.10		356.71	...	4.39	
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
	3 transactions for 07/15/20. Total proceeds and cost reported to the IRS.						
	14.000	228.89	04/29/20	230.30	...	-1.41	1 of 3 - Sale ²⁵
	2.000	32.70	05/04/20	28.98	...	3.72	2 of 3 - Sale ²⁵
	20.000	326.99	07/09/20	292.00	...	34.99	3 of 3 - Sale ²⁵
07/15/20	36.000	588.58	Various	551.28	...	37.30	Total of 3 transactions
CIELO SA SPONSORED ADR (BRAZI L) / CUSIP: 171778202 / Symbol:							
	2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.						
	24.000	25.20	06/15/20	22.80	...	2.40	1 of 2 - Sale ²⁵
	76.000	79.79	06/15/20	72.20	...	7.59	2 of 2 - Sale ²⁵
06/15/20	100.000	104.99	Various	95.00	...	9.99	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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
CINEDIGM CORP., CLASS A COMMON STOCK / CUSIP: 172406209 / Symbol:							
06/03/20	103.000	113.29	06/03/20	92.70	...	20.59	Sale ²⁵
CIRCOR INTERNATIONAL, INC / CUSIP: 17273K109 / Symbol:							
2 transactions for 06/29/20. Total proceeds and cost reported to the IRS.							
	1.000	24.25	06/16/20	23.25	...	1.00	1 of 2 - Sale ²⁵
	12.000	291.00	06/16/20	279.00	...	12.00	2 of 2 - Sale ²⁵
06/29/20	13.000	315.25	Various	302.25	...	13.00	Total of 2 transactions
CISCO SYSTEMS, INC. COMMON STO CK (DE) / CUSIP: 17275R102 / Symbol:							
4 transactions for 08/17/20. Total proceeds and cost reported to the IRS.							
	95.000	3,985.15	08/10/20	5,087.35	...	-1,102.20	1 of 4 - Sale ²⁵
	5.000	209.74	08/10/20	238.75	...	-29.01	2 of 4 - Sale ²⁵
	5.000	209.74	08/10/20	238.75	...	-29.01	3 of 4 - Sale ²⁵
	5.000	209.75	08/10/20	238.75	...	-29.00	4 of 4 - Sale ²⁵
08/17/20	110.000	4,614.38	Various	5,803.60	...	-1,189.22	Total of 4 transactions
08/17/20	95.000	3,985.15	08/10/20	4,536.25	551.10 W	0.00	Sale ²⁵
	Security total:	8,599.53		10,339.85	551.10 W	-1,189.22	
CITIGROUP INC. / CUSIP: 172967424 / Symbol:							
06/25/20	5.000	262.00	04/28/20	244.20	...	17.80	Sale ²⁵
CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol:							
3 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	7.000	927.82	06/23/20	924.00	...	3.82	1 of 3 - Sale ²⁵
	13.000	1,723.24	06/23/20	1,716.00	...	7.24	2 of 3 - Sale ²⁵
	20.000	2,650.94	06/23/20	2,640.00	...	10.94	3 of 3 - Sale ²⁵
06/23/20	40.000	5,302.00	Various	5,280.00	...	22.00	Total of 3 transactions
CRONOS GROUP INC. COMMON SHARE / CUSIP: 22717L101 / Symbol:							
05/21/20	8.000	48.00	05/13/20	39.60	...	8.40	Sale ²⁵
CROWDSTRIKE HOLDINGS, INC. CLA SS A COMMON STOCK / CUSIP: 22788C105 / Symbol:							
11/30/20	6.000	926.97	10/14/20	882.00	...	44.97	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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03/22/2021 AMENDED

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)

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CULP, INC. / CUSIP: 230215105 / Symbol:							
3 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	1.000	9.40	06/30/20	9.10	...	0.30	1 of 3 - Sale ²⁵
	19.000	178.60	06/30/20	172.90	...	5.70	2 of 3 - Sale ²⁵
	20.000	188.00	06/30/20	176.00	...	12.00	3 of 3 - Sale ²⁵
07/01/20	40.000	376.00	Various	358.00	...	18.00	Total of 3 transactions
CYCLACEL PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 23254L603 / Symbol:							
4 transactions for 05/04/20. Total proceeds and cost reported to the IRS.							
	20.000	84.00	04/21/20	80.80	...	3.20	1 of 4 - Sale ²⁵
	80.000	335.99	04/21/20	323.20	...	12.79	2 of 4 - Sale ²⁵
	10.000	42.00	04/22/20	39.30	...	2.70	3 of 4 - Sale ²⁵
	10.000	42.00	04/22/20	39.10	...	2.90	4 of 4 - Sale ²⁵
05/04/20	120.000	503.99	Various	482.40	...	21.59	Total of 4 transactions
DAVE & BUSTER'S ENTERTAINMENT, INC. COMMON STOCK / CUSIP: 238337109 / Symbol:							
06/11/20	11.000	154.00	06/03/20	149.60	...	4.40	Sale ²⁵
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.							
	1.000	29.70	06/03/20	28.63	...	1.07	1 of 2 - Sale ²⁵
	9.000	267.30	06/03/20	257.67	...	9.63	2 of 2 - Sale ²⁵
07/01/20	10.000	297.00	Various	286.30	...	10.70	Total of 2 transactions
DENBURY RESOURCES, INC. / CUSIP: 247916208 / Symbol:							
06/08/20	345.000	206.96	06/05/20	127.27	...	79.69	Sale ²⁵
DIREXION DAILY FINANCIAL BULL 3X SHARES / CUSIP: 25459Y694 / Symbol:							
2 transactions for 07/14/20. Total proceeds and cost reported to the IRS.							
	33.000	1,061.25	07/09/20	1,014.75	...	46.50	1 of 2 - Sale ²⁵
	67.000	2,153.99	07/09/20	2,060.25	...	93.74	2 of 2 - Sale ²⁵
07/14/20	100.000	3,215.24	Various	3,075.00	...	140.24	Total of 2 transactions

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Robinhood Securities LLC

Account 571476589

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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DIREXION DAILY S&P OIL & GAS E XP. & PROD. BEAR 2X SHARES / CUSIP: 25460E174 / Symbol:							
07/13/20	100.000	614.97	07/10/20	595.00	...	19.97	Sale ²⁵
	6 transactions for 08/27/20. Total proceeds and cost reported to the IRS.						
	200.000	1,019.95	07/14/20	1,170.00	...	-150.05	1 of 6 - Sale ²⁵
	200.000	1,019.95	07/14/20	1,130.00	...	-110.05	2 of 6 - Sale ²⁵
	200.000	1,019.95	07/14/20	1,120.00	...	-100.05	3 of 6 - Sale ²⁵
	100.000	509.97	07/14/20	585.00	...	-75.03	4 of 6 - Sale ²⁵
	100.000	509.98	07/14/20	585.00	...	-75.02	5 of 6 - Sale ²⁵
	100.000	509.98	07/14/20	585.00	...	-75.02	6 of 6 - Sale ²⁵
08/27/20	900.000	4,589.78	Various	5,175.00	...	-585.22	Total of 6 transactions
	Security total:	5,204.75		5,770.00	...	-565.25	
DIREXION DAILY AEROSPACE & DEF ENSE BULL 3X SHARES / CUSIP: 25460E661 / Symbol:							
	2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.						
	1.000	10.43	06/15/20	14.00	...	-3.57	1 of 2 - Sale ²⁵
	2.000	20.86	07/09/20	22.60	...	-1.74	2 of 2 - Sale ²⁵
08/03/20	3.000	31.29	Various	36.60	...	-5.31	Total of 2 transactions
DIREXION DAILY S&P 500 BEAR 3X SHARES / CUSIP: 25460E885 / Symbol:							
	2 transactions for 07/24/20. Total proceeds and cost reported to the IRS.						
	100.000	697.97	07/16/20	691.00	...	6.97	1 of 2 - Sale ²⁵
	100.000	697.97	07/17/20	680.00	...	17.97	2 of 2 - Sale ²⁵
07/24/20	200.000	1,395.94	Various	1,371.00	...	24.94	Total of 2 transactions
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
	2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.						
	7.000	232.04	06/24/20	234.50	...	-2.46	1 of 2 - Sale ²⁵
	100.000	3,314.92	07/09/20	2,880.00	...	434.92	2 of 2 - Sale ²⁵
07/15/20	107.000	3,546.96	Various	3,114.50	...	432.46	Total of 2 transactions
	14 transactions for 07/15/20. Total proceeds and cost reported to the IRS.						
	1.000	33.15	06/12/20	42.70	9.55 W	0.00	1 of 14 - Sale ²⁵
	5.000	165.75	06/12/20	200.00	34.25 W	0.00	2 of 14 - Sale ²⁵
	10.000	331.49	06/15/20	385.00	53.51 W	0.00	3 of 14 - Sale ²⁵
	10.000	331.49	06/15/20	380.00	48.51 W	0.00	4 of 14 - Sale ²⁵

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Account 571476589

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2020 1099-B* OMB No. 1545-0715

(continued)

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DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol: (cont'd)							
	10.000	331.49	06/15/20	375.00	43.51 W	0.00	5 of 14 - Sale ²⁵
	3.000	99.45	06/22/20	113.10	13.65 W	0.00	6 of 14 - Sale ²⁵
	1.000	33.15	06/22/20	47.25	14.10 W	0.00	7 of 14 - Sale ²⁵
	5.000	165.75	06/22/20	222.75	57.00 W	0.00	8 of 14 - Sale ²⁵
	10.000	331.49	06/22/20	430.51	99.02 W	0.00	9 of 14 - Sale ²⁵
	10.000	331.49	06/22/20	425.51	94.02 W	0.00	10 of 14 - Sale ²⁵
	10.000	331.49	06/22/20	420.51	89.02 W	0.00	11 of 14 - Sale ²⁵
	6.000	198.89	06/22/20	226.20	27.31 W	0.00	12 of 14 - Sale ²⁵
	7.000	232.04	06/24/20	232.75	0.51 W	-0.20	13 of 14 - Sale ²⁵
	3.000	99.45	06/24/20	113.40	13.95 W	0.00	14 of 14 - Sale ²⁵
07/15/20	91.000	3,016.57	Various	3,614.68	597.91 W	-0.20	Total of 14 transactions
	8 transactions for 07/21/20. Total proceeds and cost reported to the IRS.						
	10.000	341.99	07/17/20	424.02	...	-82.03	1 of 8 - Sale ²⁵
	10.000	341.99	07/17/20	419.02	...	-77.03	2 of 8 - Sale ²⁵
	10.000	341.99	07/17/20	414.02	...	-72.03	3 of 8 - Sale ²⁵
	5.000	171.00	07/17/20	219.50	...	-48.50	4 of 8 - Sale ²⁵
	6.000	205.19	07/17/20	222.31	...	-17.12	5 of 8 - Sale ²⁵
	1.000	34.20	07/17/20	46.60	...	-12.40	6 of 8 - Sale ²⁵
	3.000	102.60	07/17/20	111.45	...	-8.85	7 of 8 - Sale ²⁵
	5.000	171.00	07/17/20	163.01	...	7.99	8 of 8 - Sale ²⁵
07/21/20	50.000	1,709.96	Various	2,019.93	...	-309.97	Total of 8 transactions
	Security total:	8,273.49		8,749.11	597.91 W	122.29	
DIVERSIFIED HEALTHCARE TRUST C OMMON SHARES OF BENEFICIAL INT EREST / CUSIP: 25525P107 / Symbol:							
	3 transactions for 06/05/20. Total proceeds and cost reported to the IRS.						
	3.000	17.70	06/03/20	12.90	...	4.80	1 of 3 - Sale ²⁵
	3.000	17.70	06/03/20	12.90	...	4.80	2 of 3 - Sale ²⁵
	15.000	88.50	06/03/20	64.50	...	24.00	3 of 3 - Sale ²⁵
06/05/20	21.000	123.90	Various	90.30	...	33.60	Total of 3 transactions
	5 transactions for 07/01/20. Total proceeds and cost reported to the IRS.						
	21.000	96.60	06/03/20	90.30	...	6.30	1 of 5 - Sale ²⁵
	79.000	363.38	06/03/20	339.70	...	23.68	2 of 5 - Sale ²⁵
	79.000	363.39	06/03/20	339.70	...	23.69	3 of 5 - Sale ²⁵
	21.000	96.59	06/04/20	113.40	...	-16.81	4 of 5 - Sale ²⁵

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Account 571476589

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2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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DIVERSIFIED HEALTHCARE TRUST C OMMON SHARES OF BENEFICIAL INT EREST / CUSIP: 25525P107 / Symbol: (cont'd)							
	100.000	459.98	06/12/20	425.00	...	34.98	5 of 5 - Sale ²⁵
07/01/20	300.000	1,379.94	Various	1,308.10	...	71.84	Total of 5 transactions
	Security total:	1,503.84		1,398.40	...	105.44	
ERICSSON AMERICAN DEPOSITARY S HARES / CUSIP: 294821608 / Symbol:							
3 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	12.000	109.44	06/02/20	111.60	...	-2.16	1 of 3 - Sale ²⁵
	1.000	9.12	06/12/20	8.90	...	0.22	2 of 3 - Sale ²⁵
	10.000	91.20	06/15/20	88.50	...	2.70	3 of 3 - Sale ²⁵
06/25/20	23.000	209.76	Various	209.00	...	0.76	Total of 3 transactions
EVOFEM BIOSCIENCES, INC. COMMO N STOCK / CUSIP: 30048L104 / Symbol:							
4 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	100.000	298.98	06/12/20	290.00	...	8.98	1 of 4 - Sale ²⁵
	100.000	298.98	06/15/20	295.00	...	3.98	2 of 4 - Sale ²⁵
	100.000	298.98	06/15/20	290.00	...	8.98	3 of 4 - Sale ²⁵
	400.000	1,195.93	06/15/20	1,180.00	...	15.93	4 of 4 - Sale ²⁵
06/25/20	700.000	2,092.87	Various	2,055.00	...	37.87	Total of 4 transactions
06/25/20	50.000	149.49	06/05/20	170.00	20.51 W	0.00	Sale ²⁵
07/01/20	50.000	149.99	06/26/20	145.00	...	4.99	Sale ²⁵
07/01/20	50.000	150.00	06/26/20	165.51	15.51 W	0.00	Sale ²⁵
5 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	50.000	159.99	07/10/20	155.00	...	4.99	1 of 5 - Sale ²⁵
	100.000	319.99	07/10/20	310.00	...	9.99	2 of 5 - Sale ²⁵
	200.000	639.96	07/10/20	620.00	...	19.96	3 of 5 - Sale ²⁵
	50.000	156.99	07/22/20	155.51	...	1.48	4 of 5 - Sale ²⁵
	150.000	470.97	07/22/20	435.00	...	35.97	5 of 5 - Sale ²⁵
07/30/20	550.000	1,747.90	Various	1,675.51	...	72.39	Total of 5 transactions
07/30/20	50.000	160.00	07/10/20	170.51	10.51 W	0.00	Sale ²⁵
	Security total:	4,450.25		4,381.53	46.53 W	115.25	

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FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
2 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	1.000	251.99	07/15/20	239.50	...	12.49	1 of 2 - Sale ²⁵
	9.000	2,267.95	07/15/20	2,155.50	...	112.45	2 of 2 - Sale ²⁵
07/30/20	10.000	2,519.94	Various	2,395.00	...	124.94	Total of 2 transactions
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
2 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	10.000	60.00	04/22/20	47.67	...	12.33	1 of 2 - Sale ²⁵
	1.000	6.00	05/13/20	4.98	...	1.02	2 of 2 - Sale ²⁵
06/25/20	11.000	66.00	Various	52.65	...	13.35	Total of 2 transactions
FORUM MERGER II CORPORATION CL ASS A COMMON STOCK / CUSIP: 34986F103 / Symbol:							
06/03/20	7.000	80.50	06/01/20	89.60	...	-9.10	Sale ²⁵
FOSSIL GROUP, INC. COMMON STOC K / CUSIP: 34988V106 / Symbol:							
06/03/20	81.000	308.60	06/03/20	315.90	...	-7.30	Sale ²⁵
06/30/20	50.000	230.00	06/03/20	195.00	...	35.00	Sale ²⁵
	Security total:	538.60		510.90	...	27.70	
THE GAP, INC. / CUSIP: 364760108 / Symbol:							
2 transactions for 06/03/20. Total proceeds and cost reported to the IRS.							
	19.000	226.10	04/30/20	166.44	...	59.66	1 of 2 - Sale ²⁵
	2.000	23.80	05/01/20	15.16	...	8.64	2 of 2 - Sale ²⁵
06/03/20	21.000	249.90	Various	181.60	...	68.30	Total of 2 transactions
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
2 transactions for 07/02/20. Total proceeds and cost reported to the IRS.							
	5.000	13.45	07/01/20	11.25	...	2.20	1 of 2 - Sale ²⁵
	95.000	255.53	07/01/20	213.75	...	41.78	2 of 2 - Sale ²⁵
07/02/20	100.000	268.98	Various	225.00	...	43.98	Total of 2 transactions
7 transactions for 07/02/20. Total proceeds and cost reported to the IRS.							
	20.000	53.80	06/16/20	77.60	23.80 W	0.00	1 of 7 - Sale ²⁵
	10.000	26.90	06/16/20	37.50	10.60 W	0.00	2 of 7 - Sale ²⁵
	20.000	53.79	06/16/20	74.00	20.21 W	0.00	3 of 7 - Sale ²⁵

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GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol: (cont'd)							
	10.000	26.90	07/01/20	33.10	6.20 W	0.00	4 of 7 - Sale ²⁵
	15.000	40.35	07/01/20	48.91	8.56 W	0.00	5 of 7 - Sale ²⁵
	20.000	53.80	07/01/20	68.80	15.00 W	0.00	6 of 7 - Sale ²⁵
	5.000	13.45	07/01/20	16.30	2.85 W	0.00	7 of 7 - Sale ²⁵
07/02/20	100.000	268.99	Various	356.21	87.22 W	0.00	Total of 7 transactions
	7 transactions for 09/01/20. Total proceeds and cost reported to the IRS.						
	65.000	72.14	07/10/20	165.10	...	-92.96	1 of 7 - Sale ²⁵
	50.000	55.49	07/10/20	127.00	...	-71.51	2 of 7 - Sale ²⁵
	35.000	38.84	07/10/20	88.90	...	-50.06	3 of 7 - Sale ²⁵
	20.000	22.20	07/10/20	65.80	...	-43.60	4 of 7 - Sale ²⁵
	15.000	16.65	07/10/20	46.66	...	-30.01	5 of 7 - Sale ²⁵
	10.000	11.10	07/10/20	31.60	...	-20.50	6 of 7 - Sale ²⁵
	5.000	5.55	07/10/20	15.55	...	-10.00	7 of 7 - Sale ²⁵
09/01/20	200.000	221.97	Various	540.61	...	-318.64	Total of 7 transactions
	Security total:	759.94		1,121.82	87.22 W	-274.66	
HERTZ GLOBAL HOLDINGS, INC. CO MMON STOCK / CUSIP: 42806J106 / Symbol:							
04/29/20	20.000	90.80	04/28/20	97.60	...	-6.80	Sale ²⁵
06/15/20	30.000	81.00	06/12/20	75.00	...	6.00	Sale ²⁵
	Security total:	171.80		172.60	...	-0.80	
IBIO, INC. / CUSIP: 451033203 / Symbol:							
	2 transactions for 07/15/20. Total proceeds and cost reported to the IRS.						
	100.000	253.99	07/14/20	249.00	...	4.99	1 of 2 - Sale ²⁵
	100.000	253.99	07/14/20	249.00	...	4.99	2 of 2 - Sale ²⁵
07/15/20	200.000	507.98	Various	498.00	...	9.98	Total of 2 transactions
IHEARTMEDIA, INC. CLASS A COMM ON STOCK / CUSIP: 45174J509 / Symbol:							
06/02/20	13.000	115.70	05/28/20	113.10	...	2.60	Sale ²⁵

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INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
2 transactions for 05/04/20. Total proceeds and cost reported to the IRS.							
	1.000	11.10	05/04/20	11.00	...	0.10	1 of 2 - Sale ²⁵
	2.000	22.20	05/04/20	22.00	...	0.20	2 of 2 - Sale ²⁵
05/04/20	3.000	33.30	Various	33.00	...	0.30	Total of 2 transactions
05/11/20	23.000	256.91	05/05/20	244.49	...	12.42	Sale ²⁵
05/26/20	5.000	75.00	05/21/20	72.50	...	2.50	Sale ²⁵
	Security total:	365.21		349.99	...	15.22	
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
06/03/20	50.000	150.00	05/21/20	142.00	...	8.00	Sale ²⁵
10 transactions for 10/30/20. Total proceeds and cost reported to the IRS.							
	100.000	270.99	06/05/20	425.00	...	-154.01	1 of 10 - Sale ²⁵ C
	65.000	176.14	06/05/20	276.25	...	-100.11	2 of 10 - Sale ²⁵ C
	45.000	121.94	06/05/20	191.25	...	-69.31	3 of 10 - Sale ²⁵ C
	35.000	94.85	06/05/20	148.75	...	-53.90	4 of 10 - Sale ²⁵ C
	5.000	13.55	06/05/20	21.25	...	-7.70	5 of 10 - Sale ²⁵ C
	100.000	270.98	06/26/20	360.00	...	-89.02	6 of 10 - Sale ²⁵ C
	100.000	270.98	07/02/20	345.00	...	-74.02	7 of 10 - Sale ²⁵ C
	400.000	1,083.93	08/21/20	1,180.00	...	-96.07	8 of 10 - Sale ²⁵ C
	102.000	276.41	08/21/20	296.82	...	-20.41	9 of 10 - Sale ²⁵ C
	48.000	130.07	08/21/20	139.68	...	-9.61	10 of 10 - Sale ²⁵ C
10/30/20	1,000.000	2,709.84	Various	3,384.00	...	-674.16	Total of 10 transactions
	Security total:	2,859.84		3,526.00	...	-666.16	
KKR & CO. INC. / CUSIP: 48251W104 / Symbol:							
06/02/20	13.000	377.00	05/22/20	346.45	...	30.55	Sale ²⁵
06/18/20	32.000	1,017.57	06/15/20	971.20	...	46.37	Sale ²⁵
06/19/20	30.000	958.47	06/15/20	910.50	...	47.97	Sale ²⁵
	Security total:	2,353.04		2,228.15	...	124.89	
KOHL'S CORPORATION / CUSIP: 500255104 / Symbol:							
06/03/20	9.000	198.00	04/27/20	145.26	...	52.74	Sale ²⁵
8 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	20.000	380.39	07/30/20	509.01	...	-128.62	1 of 8 - Sale ²⁵

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Robinhood Securities LLC

Account 571476589

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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KOHL'S CORPORATION / CUSIP: 500255104 / Symbol: (cont'd)							
	9.000	171.17	07/30/20	209.71	...	-38.54	2 of 8 - Sale ²⁵
	2.000	38.04	07/30/20	48.90	...	-10.86	3 of 8 - Sale ²⁵
	1.000	19.02	07/30/20	23.30	...	-4.28	4 of 8 - Sale ²⁵
	9.000	171.17	07/31/20	206.46	...	-35.29	5 of 8 - Sale ²⁵
	1.000	19.02	07/31/20	18.86	...	0.16	6 of 8 - Sale ²⁵
	7.000	133.14	07/31/20	132.03	...	1.11	7 of 8 - Sale ²⁵
	23.000	437.44	07/31/20	431.48	...	5.96	8 of 8 - Sale ²⁵
08/03/20	72.000	1,369.39	Various	1,579.75	...	-210.36	Total of 8 transactions
	5 transactions for 08/03/20. Total proceeds and cost reported to the IRS.						
	20.000	380.39	06/16/20	507.00	126.61 W	0.00	1 of 5 - Sale ²⁵
	2.000	38.04	06/16/20	48.70	10.66 W	0.00	2 of 5 - Sale ²⁵
	1.000	19.02	06/19/20	23.20	4.18 W	0.00	3 of 5 - Sale ²⁵
	18.000	342.35	06/19/20	417.60	75.25 W	0.00	4 of 5 - Sale ²⁵
	8.000	152.15	07/30/20	152.96	0.81 W	0.00	5 of 5 - Sale ²⁵
08/03/20	49.000	931.95	Various	1,149.46	217.51 W	0.00	Total of 5 transactions
	Security total:	2,499.34		2,874.47	217.51 W	-157.62	
KURA ONCOLOGY, INC. COMMON STO CK / CUSIP: 50127T109 / Symbol:							
	11 transactions for 07/13/20. Total proceeds and cost reported to the IRS.						
	5.000	91.00	06/26/20	84.00	...	7.00	1 of 11 - Sale ²⁵
	11.000	200.19	06/26/20	190.96	...	9.23	2 of 11 - Sale ²⁵
	12.000	218.39	06/26/20	208.32	...	10.07	3 of 11 - Sale ²⁵
	32.000	582.38	06/26/20	555.52	...	26.86	4 of 11 - Sale ²⁵
	20.000	363.99	06/26/20	336.00	...	27.99	5 of 11 - Sale ²⁵
	45.000	818.97	06/26/20	781.20	...	37.77	6 of 11 - Sale ²⁵
	6.000	109.20	06/29/20	99.90	...	9.30	7 of 11 - Sale ²⁵
	9.000	163.79	06/29/20	149.85	...	13.94	8 of 11 - Sale ²⁵
	15.000	272.99	06/29/20	249.75	...	23.24	9 of 11 - Sale ²⁵
	70.000	1,273.96	06/29/20	1,165.50	...	108.46	10 of 11 - Sale ²⁵
	30.000	545.98	07/02/20	489.00	...	56.98	11 of 11 - Sale ²⁵
07/13/20	255.000	4,640.84	Various	4,310.00	...	330.84	Total of 11 transactions
	5 transactions for 07/27/20. Total proceeds and cost reported to the IRS.						
	50.000	874.98	07/17/20	872.50	...	2.48	1 of 5 - Sale ²⁵
	20.000	350.00	07/22/20	332.00	...	18.00	2 of 5 - Sale ²⁵

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Account 571476589

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2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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KURA ONCOLOGY, INC. COMMON STO CK / CUSIP: 50127T109 / Symbol: (cont'd)							
	50.000	874.97	07/22/20	835.00	...	39.97	3 of 5 - Sale ²⁵
	50.000	874.98	07/22/20	835.00	...	39.98	4 of 5 - Sale ²⁵
	50.000	874.98	07/22/20	832.50	...	42.48	5 of 5 - Sale ²⁵
07/27/20	220.000	3,849.91	Various	3,707.00	...	142.91	Total of 5 transactions
	5 transactions for 08/04/20. Total proceeds and cost reported to the IRS.						
	3.000	51.00	07/29/20	50.10	...	0.90	1 of 5 - Sale ²⁵
	4.000	68.00	07/29/20	66.80	...	1.20	2 of 5 - Sale ²⁵
	6.000	102.00	07/29/20	100.20	...	1.80	3 of 5 - Sale ²⁵
	40.000	679.98	07/29/20	668.00	...	11.98	4 of 5 - Sale ²⁵
	147.000	2,498.92	07/29/20	2,454.90	...	44.02	5 of 5 - Sale ²⁵
08/04/20	200.000	3,399.90	Various	3,340.00	...	59.90	Total of 5 transactions
	Security total:	11,890.65		11,357.00	...	533.65	
LEVI STRAUSS & CO. CLASS A COM MON STOCK / CUSIP: 52736R102 / Symbol:							
	4 transactions for 08/03/20. Total proceeds and cost reported to the IRS.						
	50.000	608.98	07/09/20	622.50	...	-13.52	1 of 4 - Sale ²⁵
	45.000	548.08	07/20/20	606.17	...	-58.09	2 of 4 - Sale ²⁵
	4.000	48.72	07/20/20	53.88	...	-5.16	3 of 4 - Sale ²⁵
	51.000	621.15	07/20/20	622.20	...	-1.05	4 of 4 - Sale ²⁵
08/03/20	150.000	1,826.93	Various	1,904.75	...	-77.82	Total of 4 transactions
	2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.						
	5.000	60.90	07/02/20	67.25	5.08 W	-1.27	1 of 2 - Sale ²⁵
	45.000	548.08	07/02/20	605.25	57.17 W	0.00	2 of 2 - Sale ²⁵
08/03/20	50.000	608.98	Various	672.50	62.25 W	-1.27	Total of 2 transactions
	Security total:	2,435.91		2,577.25	62.25 W	-79.09	
LEXICON PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 528872302 / Symbol:							
	2 transactions for 09/01/20. Total proceeds and cost reported to the IRS.						
	200.000	350.44	07/21/20	562.00	...	-211.56	1 of 2 - Sale ²⁵
	20.000	35.04	07/21/20	56.80	...	-21.76	2 of 2 - Sale ²⁵
09/01/20	220.000	385.48	Various	618.80	...	-233.32	Total of 2 transactions

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Account 571476589

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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LUCKIN COFFEE INC AMERICAN DEP OSITARY SHARES - SPONSORED / CUSIP: 54951L109 / Symbol:							
<i>9 transactions for 06/22/20. Total proceeds and cost reported to the IRS.</i>							
	21.000	71.40	06/04/20	56.28	...	15.12	1 of 9 - Sale ²⁵
	80.000	271.98	06/05/20	456.00	...	-184.02	2 of 9 - Sale ²⁵
	50.000	169.99	06/12/20	192.00	...	-22.01	3 of 9 - Sale ²⁵
	50.000	169.99	06/12/20	185.00	...	-15.01	4 of 9 - Sale ²⁵
	30.000	101.99	06/12/20	115.50	...	-13.51	5 of 9 - Sale ²⁵
	100.000	339.97	06/15/20	390.00	...	-50.03	6 of 9 - Sale ²⁵
	20.000	68.00	06/15/20	81.00	...	-13.00	7 of 9 - Sale ²⁵
	50.000	169.99	06/16/20	197.50	...	-27.51	8 of 9 - Sale ²⁵
	1.000	3.40	06/16/20	3.90	...	-0.50	9 of 9 - Sale ²⁵
06/22/20	402.000	1,366.71	Various	1,677.18	...	-310.47	Total of 9 transactions
MFA FINANCIAL, INC / CUSIP: 55272X102 / Symbol:							
<i>4 transactions for 06/03/20. Total proceeds and cost reported to the IRS.</i>							
	3.000	5.70	05/01/20	5.10	...	0.60	1 of 4 - Sale ²⁵
	5.000	9.50	05/01/20	8.55	...	0.95	2 of 4 - Sale ²⁵
	5.000	9.50	05/01/20	8.38	...	1.12	3 of 4 - Sale ²⁵
	50.000	94.99	05/04/20	82.50	...	12.49	4 of 4 - Sale ²⁵
06/03/20	63.000	119.69	Various	104.53	...	15.16	Total of 4 transactions
06/03/20	100.000	189.99	04/29/20	192.00	1.00 W	-1.01	Sale ²⁵
	Security total:	309.68		296.53	1.00 W	14.15	
MARATHON OIL CORPORATION / CUSIP: 565849106 / Symbol:							
<i>3 transactions for 06/04/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	6.15	04/23/20	4.50	...	1.65	1 of 3 - Sale ²⁵
	10.000	61.50	04/24/20	50.00	...	11.50	2 of 3 - Sale ²⁵
	1.000	6.15	04/30/20	6.56	...	-0.41	3 of 3 - Sale ²⁵
06/04/20	12.000	73.80	Various	61.06	...	12.74	Total of 3 transactions
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
08/31/20	40.000	9,045.20	08/26/20	8,800.00	...	245.20	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

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NORTHERN OIL AND GAS, INC. COM MON STOCK / CUSIP: 665531109 / Symbol:							
05/18/20	10.000	9.50	05/15/20	8.30	...	1.20	Sale ²⁵
06/25/20	100.000	86.98	05/21/20	85.60	...	1.38	Sale ²⁵
	Security total:	96.48		93.90	...	2.58	
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
<i>8 transactions for 07/06/20. Total proceeds and cost reported to the IRS.</i>							
	22.000	11.88	06/16/20	16.28	...	-4.40	1 of 8 - Sale ²⁵
	10.000	5.40	06/16/20	6.40	...	-1.00	2 of 8 - Sale ²⁵
	5.000	2.70	06/16/20	3.15	...	-0.45	3 of 8 - Sale ²⁵
	10.000	5.40	06/16/20	5.70	...	-0.30	4 of 8 - Sale ²⁵
	1.000	0.54	06/16/20	0.72	...	-0.18	5 of 8 - Sale ²⁵
	1.000	0.54	06/16/20	0.66	...	-0.12	6 of 8 - Sale ²⁵
	1.000	0.54	06/16/20	0.65	...	-0.11	7 of 8 - Sale ²⁵
	100.000	53.98	06/30/20	46.50	...	7.48	8 of 8 - Sale ²⁵
07/06/20	150.000	80.98	Various	80.06	...	0.92	Total of 8 transactions
OCCIDENTAL PETROLEUM CORPORATI ON / CUSIP: 674599105 / Symbol:							
06/16/20	83.000	1,664.10	06/15/20	1,597.75	...	66.35	Sale ²⁵
<i>2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.</i>							
	84.000	1,321.28	06/15/20	1,617.00	295.72 W	0.00	1 of 2 - Sale ²⁵
	16.000	251.67	06/17/20	304.96	53.29 W	0.00	2 of 2 - Sale ²⁵
08/03/20	100.000	1,572.95	Various	1,921.96	349.01 W	0.00	Total of 2 transactions
<i>4 transactions for 08/28/20. Total proceeds and cost reported to the IRS.</i>							
	4.000	52.80	06/17/20	76.24	...	-23.44	1 of 4 - Sale ²⁵
	20.000	263.99	07/01/20	350.00	...	-86.01	2 of 4 - Sale ²⁵
	84.000	1,108.77	07/31/20	1,593.52	...	-484.75	3 of 4 - Sale ²⁵
	16.000	211.19	07/31/20	300.49	...	-89.30	4 of 4 - Sale ²⁵
08/28/20	124.000	1,636.75	Various	2,320.25	...	-683.50	Total of 4 transactions
	Security total:	4,873.80		5,839.96	349.01 W	-617.15	
OCCIDENTAL PETROLEUM CORPORATI ON WARRANTS TO PURCHASE COMMON STOCK / CUSIP: 674599162 / Symbol:							
08/10/20	15.000	64.95	07/02/20	84.75	...	-19.80	Sale ²⁵

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(continued)

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OVINTIV INC. / CUSIP: 69047Q102 / Symbol:							
06/01/20	1.000	8.50	04/20/20	4.00	...	4.50	Sale ²⁵
PG&E CORPORATION / CUSIP: 69331C108 / Symbol:							
08/27/20	6.000	55.20	08/21/20	54.00	...	1.20	Sale ²⁵
PANASONIC CORPORATION COMMON S TOCK / CUSIP: 69832A205 / Symbol:							
07/13/20	20.000	186.00	06/17/20	185.60	...	0.40	Sale ²⁵
PARTY CITY HOLDCO INC. / CUSIP: 702149105 / Symbol:							
6 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	9.000	11.61	06/01/20	10.35	...	1.26	1 of 6 - Sale ²⁵
	20.000	25.80	06/01/20	23.00	...	2.80	2 of 6 - Sale ²⁵
	62.000	79.97	06/01/20	71.31	...	8.66	3 of 6 - Sale ²⁵
	15.000	19.35	06/02/20	18.45	...	0.90	4 of 6 - Sale ²⁵
	23.000	29.66	06/02/20	28.29	...	1.37	5 of 6 - Sale ²⁵
	102.000	131.57	06/02/20	125.48	...	6.09	6 of 6 - Sale ²⁵
06/25/20	231.000	297.96	Various	276.88	...	21.08	Total of 6 transactions
4 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	336.000	433.39	05/29/20	450.24	5.12 W	-11.73	1 of 4 - Sale ²⁵
	20.000	25.80	05/29/20	26.80	1.00 W	0.00	2 of 4 - Sale ²⁵
	9.000	11.61	05/29/20	12.06	0.45 W	0.00	3 of 4 - Sale ²⁵
	100.000	128.99	05/29/20	134.00	5.01 W	0.00	4 of 4 - Sale ²⁵
06/25/20	465.000	599.79	Various	623.10	11.58 W	-11.73	Total of 4 transactions
	Security total:	897.75		899.98	11.58 W	9.35	
PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
07/15/20	200.000	1,805.94	07/15/20	1,760.00	...	45.94	Sale ²⁵
RTW RETAILWINDS INC COMMON STO CK / CUSIP: 74980D100 / Symbol:							
06/19/20	200.000	62.98	06/04/20	44.00	...	18.98	Sale ²⁵
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
05/19/20	100.000	189.99	05/13/20	170.00	...	19.99	Sale ²⁵
5 transactions for 07/02/20. Total proceeds and cost reported to the IRS.							
	20.000	47.80	06/16/20	51.60	...	-3.80	1 of 5 - Sale ²⁵

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REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol: (cont'd)							
	100.000	238.98	07/01/20	226.00	...	12.98	2 of 5 - Sale ²⁵
	100.000	238.98	07/01/20	226.00	...	12.98	3 of 5 - Sale ²⁵
	100.000	238.98	07/01/20	226.00	...	12.98	4 of 5 - Sale ²⁵
	100.000	238.98	07/01/20	226.00	...	12.98	5 of 5 - Sale ²⁵
07/02/20	420.000	1,003.72	Various	955.60	...	48.12	Total of 5 transactions
	Security total:	1,193.71		1,125.60	...	68.11	
SVMK INC. COMMON STOCK / CUSIP: 78489X103 / Symbol:							
2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	10.000	230.00	06/16/20	220.00	...	10.00	1 of 2 - Sale ²⁵
	10.000	230.00	06/18/20	216.00	...	14.00	2 of 2 - Sale ²⁵
06/24/20	20.000	460.00	Various	436.00	...	24.00	Total of 2 transactions
SABRE CORPORATION COMMON STOCK / CUSIP: 78573M104 / Symbol:							
06/23/20	1.000	8.49	05/04/20	7.00	...	1.49	Sale ²⁵
SCHLUMBERGER LIMITED / CUSIP: 806857108 / Symbol:							
06/16/20	5.000	101.40	04/27/20	78.75	...	22.65	Sale ²⁵
SEAWORLD ENTERTAINMENT INC / CUSIP: 81282V100 / Symbol:							
12 transactions for 07/15/20. Total proceeds and cost reported to the IRS.							
	15.000	243.74	06/05/20	300.00	...	-56.26	1 of 12 - Sale ²⁵
	5.000	81.25	06/12/20	87.50	...	-6.25	2 of 12 - Sale ²⁵
	2.000	32.50	06/12/20	33.70	...	-1.20	3 of 12 - Sale ²⁵
	1.000	16.25	06/12/20	17.40	...	-1.15	4 of 12 - Sale ²⁵
	1.000	16.25	06/12/20	16.90	...	-0.65	5 of 12 - Sale ²⁵
	30.000	487.48	06/15/20	525.00	...	-37.52	6 of 12 - Sale ²⁵
	10.000	162.50	06/15/20	166.50	...	-4.00	7 of 12 - Sale ²⁵
	80.000	1,299.96	06/19/20	1,340.00	...	-40.04	8 of 12 - Sale ²⁵
	20.000	324.99	06/19/20	335.00	...	-10.01	9 of 12 - Sale ²⁵
	50.000	812.48	06/19/20	817.50	...	-5.02	10 of 12 - Sale ²⁵
	30.000	487.48	06/30/20	430.50	...	56.98	11 of 12 - Sale ²⁵
	100.000	1,624.95	07/13/20	1,505.00	...	119.95	12 of 12 - Sale ²⁵
07/15/20	344.000	5,589.83	Various	5,575.00	...	14.83	Total of 12 transactions

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Account 571476589

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

(continued)

03/22/2021 AMENDED

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SIRIUS XM HOLDINGS INC. COMMON STOCK / CUSIP: 82968B103 / Symbol:							
06/01/20	1.000	5.90	04/30/20	5.97	...	-0.07	Sale ²⁵
SLACK TECHNOLOGIES, INC. / CUSIP: 83088V102 / Symbol:							
3 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	20.000	649.98	06/05/20	649.00	...	0.98	1 of 3 - Sale ²⁵
	5.000	162.50	06/12/20	155.00	...	7.50	2 of 3 - Sale ²⁵
	30.000	974.97	06/16/20	924.00	...	50.97	3 of 3 - Sale ²⁵
06/25/20	55.000	1,787.45	Various	1,728.00	...	59.45	Total of 3 transactions
2 transactions for 10/07/20. Total proceeds and cost reported to the IRS.							
	11.000	330.00	09/08/20	309.98	...	20.02	1 of 2 - Sale ²⁵
	19.000	569.98	09/08/20	535.42	...	34.56	2 of 2 - Sale ²⁵
10/07/20	30.000	899.98	Various	845.40	...	54.58	Total of 2 transactions
	Security total:	2,687.43		2,573.40	...	114.03	
SMILEDIRECTCLUB, INC. CLASS A COMMON STOCK / CUSIP: 83192H106 / Symbol:							
05/27/20	50.000	400.00	04/29/20	337.00	...	63.00	Sale ²⁵
2 transactions for 07/21/20. Total proceeds and cost reported to the IRS.							
	50.000	452.50	07/16/20	425.00	...	27.50	1 of 2 - Sale ²⁵
	100.000	904.96	07/16/20	850.00	...	54.96	2 of 2 - Sale ²⁵
07/21/20	150.000	1,357.46	Various	1,275.00	...	82.46	Total of 2 transactions
	Security total:	1,757.46		1,612.00	...	145.46	
SMARTSHEET INC. / CUSIP: 83200N103 / Symbol:							
06/04/20	94.000	4,288.17	06/04/20	4,360.66	...	-72.49	Sale ²⁵
2 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	5.000	228.09	06/04/20	230.00	1.91 W	0.00	1 of 2 - Sale ²⁵
	1.000	45.62	06/04/20	46.00	0.38 W	0.00	2 of 2 - Sale ²⁵
06/04/20	6.000	273.71	Various	276.00	2.29 W	0.00	Total of 2 transactions
2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	1.000	53.00	06/04/20	46.77	...	6.23	1 of 2 - Sale ²⁵
	5.000	265.00	06/04/20	233.86	...	31.14	2 of 2 - Sale ²⁵
06/24/20	6.000	318.00	Various	280.63	...	37.37	Total of 2 transactions
	Security total:	4,879.88		4,917.29	2.29 W	-35.12	

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(continued)

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SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
2 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	1.000	12.50	04/23/20	11.89	...	0.61	1 of 2 - Sale ²⁵
	10.000	125.00	04/23/20	120.00	...	5.00	2 of 2 - Sale ²⁵
05/26/20	11.000	137.50	Various	131.89	...	5.61	Total of 2 transactions
STEIN MART INC COMMON STOCK / CUSIP: 858375108 / Symbol:							
8 transactions for 06/30/20. Total proceeds and cost reported to the IRS.							
	14.000	6.17	05/28/20	6.16	...	0.01	1 of 8 - Sale ²⁵
	124.000	54.67	05/28/20	54.56	...	0.11	2 of 8 - Sale ²⁵
	600.000	264.53	05/28/20	264.00	...	0.53	3 of 8 - Sale ²⁵
	250.000	110.22	05/28/20	100.00	...	10.22	4 of 8 - Sale ²⁵
	21.000	9.26	05/29/20	8.08	...	1.18	5 of 8 - Sale ²⁵
	22.000	9.70	06/29/20	7.26	...	2.44	6 of 8 - Sale ²⁵
	478.000	210.74	06/29/20	157.79	...	52.95	7 of 8 - Sale ²⁵
	500.000	220.44	06/29/20	165.00	...	55.44	8 of 8 - Sale ²⁵
06/30/20	2,009.000	885.73	Various	762.85	...	122.88	Total of 8 transactions
SYNCHRONY FINANCIAL / CUSIP: 87165B103 / Symbol:							
2 transactions for 06/02/20. Total proceeds and cost reported to the IRS.							
	1.000	22.00	04/27/20	17.17	...	4.83	1 of 2 - Sale ²⁵
	9.000	198.00	04/27/20	154.53	...	43.47	2 of 2 - Sale ²⁵
06/02/20	10.000	220.00	Various	171.70	...	48.30	Total of 2 transactions
TELLURIAN INC. COMMON STOCK / CUSIP: 87968A104 / Symbol:							
4 transactions for 07/21/20. Total proceeds and cost reported to the IRS.							
	100.000	146.99	07/02/20	110.00	...	36.99	1 of 4 - Sale ²⁵
	100.000	146.99	07/02/20	110.00	...	36.99	2 of 4 - Sale ²⁵
	100.000	146.99	07/02/20	110.00	...	36.99	3 of 4 - Sale ²⁵
	200.000	293.98	07/02/20	220.00	...	73.98	4 of 4 - Sale ²⁵
07/21/20	500.000	734.95	Various	550.00	...	184.95	Total of 4 transactions
4 transactions for 09/01/20. Total proceeds and cost reported to the IRS.							
	551.000	504.42	07/24/20	567.53	...	-63.11	1 of 4 - Sale ²⁵
	400.000	366.18	07/24/20	412.00	...	-45.82	2 of 4 - Sale ²⁵
	400.000	366.18	07/24/20	412.00	...	-45.82	3 of 4 - Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B* OMB No. 1545-0715

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03/22/2021 AMENDED

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TELLURIAN INC. COMMON STOCK / CUSIP: 87968A104 / Symbol: (cont'd)							
	400.000	366.19	07/24/20	412.00	...	-45.81	4 of 4 - Sale ²⁵
09/01/20	1,751.000	1,602.97	Various	1,803.53	...	-200.56	Total of 4 transactions
	Security total:	2,337.92		2,353.53	...	-15.61	
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
08/03/20	5.000	7,429.83	08/03/20	7,425.00	...	4.83	Sale ²⁵
TETRAPHASE PHARMACEUTICALS, IN C. COMMON STOCK / CUSIP: 88165N204 / Symbol:							
06/09/20	10.000	25.00	06/05/20	23.70	...	1.30	Sale ²⁵
TITAN MEDICAL INC. ORDINARY SH ARES / CUSIP: 88830X819 / Symbol:							
06/05/20	1.000	1.25	06/04/20	0.60	...	0.65	Sale ²⁵
TITAN PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 888314507 / Symbol:							
06/24/20	100.000	39.99	06/16/20	34.00	...	5.99	Sale ²⁵
TRAVELZOO COMMON STOCK / CUSIP: 89421Q205 / Symbol:							
06/25/20	13.000	76.05	05/26/20	72.80	...	3.25	Sale ²⁵
T2 BIOSYSTEMS, INC. COMMON STOCK / CUSIP: 89853L104 / Symbol:							
05/28/20	14.000	11.90	05/20/20	11.48	...	0.42	Sale ²⁵
TWITTER, INC. / CUSIP: 90184L102 / Symbol:							
05/20/20	10.000	315.00	04/22/20	273.00	...	42.00	Sale ²⁵
	11 transactions for 07/08/20. Total proceeds and cost reported to the IRS.						
	10.000	349.99	06/12/20	330.00	...	19.99	1 of 11 - Sale ²⁵
	1.000	35.00	06/23/20	32.90	...	2.10	2 of 11 - Sale ²⁵
	1.000	35.00	06/23/20	32.90	...	2.10	3 of 11 - Sale ²⁵
	1.000	35.00	06/23/20	32.90	...	2.10	4 of 11 - Sale ²⁵
	1.000	35.00	06/23/20	32.90	...	2.10	5 of 11 - Sale ²⁵
	1.000	35.00	06/23/20	32.90	...	2.10	6 of 11 - Sale ²⁵
	2.000	70.00	06/23/20	65.80	...	4.20	7 of 11 - Sale ²⁵
	2.000	70.00	06/23/20	65.80	...	4.20	8 of 11 - Sale ²⁵
	6.000	209.99	06/23/20	197.40	...	12.59	9 of 11 - Sale ²⁵
	6.000	210.00	06/23/20	197.40	...	12.60	10 of 11 - Sale ²⁵

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(continued)

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TWITTER, INC. / CUSIP: 90184L102 / Symbol: (cont'd)							
	300.000	10,499.72	06/23/20	9,870.00	...	629.72	11 of 11 - Sale ²⁵
07/08/20	331.000	11,584.70	Various	10,890.90	...	693.80	Total of 11 transactions
	Security total:	11,899.70		11,163.90	...	735.80	
UBER TECHNOLOGIES, INC. / CUSIP: 90353T100 / Symbol:							
4 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	5.000	167.49	04/28/20	155.00	...	12.49	1 of 4 - Sale ²⁵
	1.000	33.50	05/04/20	27.50	...	6.00	2 of 4 - Sale ²⁵
	4.000	134.00	05/04/20	110.00	...	24.00	3 of 4 - Sale ²⁵
	5.000	167.49	05/04/20	135.50	...	31.99	4 of 4 - Sale ²⁵
05/18/20	15.000	502.48	Various	428.00	...	74.48	Total of 4 transactions
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
06/09/20	10.000	435.00	04/28/20	280.40	...	154.60	Sale ²⁵
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
2 transactions for 06/25/20. Total proceeds and cost reported to the IRS.							
	1.000	27.80	05/22/20	25.60	...	2.20	1 of 2 - Sale ²⁵
	2.000	55.60	05/22/20	51.20	...	4.40	2 of 2 - Sale ²⁵
06/25/20	3.000	83.40	Various	76.80	...	6.60	Total of 2 transactions
VIKING THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 92686J106 / Symbol:							
06/23/20	1.000	8.00	06/12/20	7.00	...	1.00	Sale ²⁵
VIRGIN GALACTIC HOLDINGS, INC. / CUSIP: 92766K106 / Symbol:							
06/08/20	10.000	165.00	05/20/20	150.00	...	15.00	Sale ²⁵
3 transactions for 06/15/20. Total proceeds and cost reported to the IRS.							
	1.000	14.45	06/12/20	14.85	0.40 W	0.00	1 of 3 - Sale ²⁵
	1.000	14.45	06/12/20	14.70	0.25 W	0.00	2 of 3 - Sale ²⁵
	15.000	216.75	06/12/20	219.00	2.25 W	0.00	3 of 3 - Sale ²⁵
06/15/20	17.000	245.65	Various	248.55	2.90 W	0.00	Total of 3 transactions
5 transactions for 06/22/20. Total proceeds and cost reported to the IRS.							
	1.000	17.71	06/12/20	15.00	...	2.71	1 of 5 - Sale ²⁵
	1.000	17.71	06/12/20	14.85	...	2.86	2 of 5 - Sale ²⁵

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VIRGIN GALACTIC HOLDINGS, INC. / CUSIP: 92766K106 / Symbol: (cont'd)							
	3.000	53.13	06/12/20	43.80	...	9.33	3 of 5 - Sale ²⁵
	5.000	88.55	06/12/20	73.25	...	15.30	4 of 5 - Sale ²⁵
	10.000	177.10	06/15/20	144.50	...	32.60	5 of 5 - Sale ²⁵
06/22/20	20.000	354.20	Various	291.40	...	62.80	Total of 5 transactions
	Security total:	764.85		689.95	2.90 W	77.80	
VISLINK TECHNOLOGIES, INC. COM MON STOCK / CUSIP: 92836Y201 / Symbol:							
06/03/20	28.000	11.76	06/01/20	10.36	...	1.40	Sale ²⁵
ZYNERBA PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 98986X109 / Symbol:							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	1.000	5.50	06/15/20	5.05	...	0.45	1 of 2 - Sale ²⁵
	49.000	269.99	06/15/20	247.45	...	22.54	2 of 2 - Sale ²⁵
06/16/20	50.000	275.49	Various	252.50	...	22.99	Total of 2 transactions
06/18/20	50.000	293.00	06/15/20	252.50	...	40.50	Sale ²⁵
	Security total:	568.49		505.00	...	63.49	
AURIS MEDICAL HOLDING LTD. COM MON SHARES 0.01 SF (BERMUDA) / CUSIP: G07025201 / Symbol:							
2 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	14.000	14.28	05/22/20	14.98	...	-0.70	1 of 2 - Sale ²⁵
	20.000	20.40	06/15/20	18.00	...	2.40	2 of 2 - Sale ²⁵
06/17/20	34.000	34.68	Various	32.98	...	1.70	Total of 2 transactions
NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol:							
05/05/20	20.000	231.43	04/28/20	261.80	...	-30.37	Sale ²⁵
TRANSATLANTIC PETROLEUM LTD. / CUSIP: G89982113 / Symbol:							
2 transactions for 06/17/20. Total proceeds and cost reported to the IRS.							
	100.000	35.99	06/16/20	35.94	...	0.05	1 of 2 - Sale ²⁵
	100.000	35.99	06/17/20	34.20	...	1.79	2 of 2 - Sale ²⁵
06/17/20	200.000	71.98	Various	70.14	...	1.84	Total of 2 transactions

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PLAYA HOTELS & RESORTS N.V. OR DINARY SHARES / CUSIP: N70544106 / Symbol:							
06/19/20	5.000	19.25	06/03/20	17.45	...	1.80	Sale ²⁵
06/25/20	2.000	7.17	06/03/20	6.98	...	0.19	Sale ²⁵
	Security total:	26.42		24.43	...	1.99	
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y164 / Symbol:							
<i>5 transactions for 06/04/20. Total proceeds and cost reported to the IRS.</i>							
	24.000	3.12	05/12/20	4.80	1.68 W	0.00	1 of 5 - Sale ²⁵
	9.000	1.17	05/13/20	1.76	0.59 W	0.00	2 of 5 - Sale ²⁵
	1,000.000	129.88	05/20/20	145.00	15.12 W	0.00	3 of 5 - Sale ²⁵
	500.000	64.94	05/21/20	71.50	6.56 W	0.00	4 of 5 - Sale ²⁵
	13.000	1.69	05/26/20	1.81	0.12 W	0.00	5 of 5 - Sale ²⁵
06/04/20	1,546.000	200.80	Various	224.87	24.07 W	0.00	Total of 5 transactions
06/09/20	267.000	54.70	06/05/20	53.43	...	1.27	Sale ²⁵
<i>2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.</i>							
	24.000	4.92	06/05/20	6.12	1.20 W	0.00	1 of 2 - Sale ²⁵
	9.000	1.84	06/05/20	2.26	0.42 W	0.00	2 of 2 - Sale ²⁵
06/09/20	33.000	6.76	Various	8.38	1.62 W	0.00	Total of 2 transactions
<i>7 transactions for 08/03/20. Total proceeds and cost reported to the IRS.</i>							
	1,771.000	176.89	07/02/20	233.07	...	-56.18	1 of 7 - Sale ²⁵
	720.000	71.91	07/02/20	105.63	...	-33.72	2 of 7 - Sale ²⁵
	500.000	49.94	07/02/20	72.36	...	-22.42	3 of 7 - Sale ²⁵
	24.000	2.40	07/02/20	4.36	...	-1.96	4 of 7 - Sale ²⁵
	9.000	0.90	07/02/20	1.60	...	-0.70	5 of 7 - Sale ²⁵
	13.000	1.30	07/02/20	1.91	...	-0.61	6 of 7 - Sale ²⁵
	13.000	1.30	07/02/20	1.83	...	-0.53	7 of 7 - Sale ²⁵
08/03/20	3,050.000	304.64	Various	420.76	...	-116.12	Total of 7 transactions
	Security total:	566.90		707.44	25.69 W	-114.85	
Totals :		143,658.61		147,375.02	1,955.08 W	-1,761.33	

* 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).

Robinhood Securities LLC

Account 571476589

Proceeds Not Reported to the IRS

2020

03/22/2021 AMENDED

This section of your tax information statement provides proceeds transactions that are not reported to the IRS, but may have a tax impact. They are grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

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.

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, sales of collectibles, noted as "3 - Proceeds from Collectibles [X]" are handled distinctly under the tax code. 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.

SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]

Report on Form 8949, Part I, with Box C checked.

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
DENBURY INC NEW WARRANT EXP 09 /18/2023 / CUSIP: 24790A127 / Symbol: 10/05/20	0.147	0.42	06/12/20	26.05	...	-25.63	Gain or loss
OCCIDENTAL PETROLEUM CORPORATI ON WARRANTS TO PURCHASE COMMON STOCK / CUSIP: 674599162 / Symbol: 08/10/20	0.500	2.46	07/02/20	2.83	...	-0.37	Gain or loss
Totals:		2.88		28.88	...	-26.00	

Robinhood Securities LLC

Account 571476589

Detail for Dividends and Distributions

2020

03/22/2021 AMENDED

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, Section 199A dividends, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.

Federal, state and foreign tax withheld and investment expenses are presented as negative amounts but do not net against the reportable income totals. All amounts are grouped by security, with the transactions listed in chronological order. Subtotals for each security are provided. For situations in which the tax character of a distribution (or part thereof) is different than at the time it was paid, endnotes are provided for further explanation.

Note that a payment characterized as a "Qualified dividend" is only issuer-qualified.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
ADT INC.	00090Q103		07/02/20	0.04	Qualified dividend	
APPLE INC. COMMON STOCK	037833100		11/12/20	21.53	Qualified dividend	
ASTRAZENECA PLC AMERICAN DEPOSITORY SHARES	046353108		09/14/20	17.55	Qualified dividend	
CITIGROUP INC.	172967424		05/22/20	2.55	Qualified dividend	
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES	25460G500		06/30/20	0.74	Qualified dividend	
INVESCO MORTGAGE CAPITAL INC.	46131B100		10/27/20	50.00	Nondividend distribution	03
SCHLUMBERGER LIMITED	806857108		07/09/20	0.63	Qualified dividend	
SIRIUS XM HOLDINGS INC. COMMON STOCK	82968B103		05/29/20	0.01	Qualified dividend	
SYNCHRONY FINANCIAL	87165B103		05/14/20	2.20	Qualified dividend	
				95.25	Total Dividends & distributions	

Robinhood Securities LLC

Account 571476589

Detail for Miscellaneous Income

2020

03/22/2021 AMENDED

<u>Security description</u>	<u>CUSIP and/or symbol</u>	<u>Date</u>	<u>Amount</u>	<u>Transaction type</u>	<u>Notes</u>
INVESCO MORTGAGE CAPITAL INC.	46131B100	07/28/20	7.00	Substitute payment	
			7.00	Total Miscellaneous income	

Robinhood Securities LLC

Account 571476589

Fees and Expenses

2020

03/22/2021 AMENDED

This section of your tax information statement may contain the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

These amounts are provided here to facilitate an accounting of all amounts received during the year and are totaled in the Reconciliations, Fees, Expenses and Expenditures found in the Summary Information at the beginning of the statement.

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		05/27/20	-5.00	Margin interest paid	
		06/26/20	-1.38	Margin interest paid	
		06/26/20	-5.00	Margin interest paid	
		07/27/20	-5.00	Margin interest paid	
		07/27/20	-14.68	Margin interest paid	
		08/25/20	-5.00	Margin interest paid	
			-36.06	Total Margin interest paid	
			-36.06	Total Margin interest paid	

Robinhood Securities LLC

Account 571476589

Foreign Income and Taxes Summary

2020

03/22/2021 AMENDED

This schedule lists all income and foreign tax by country. Mutual Funds and Unit Investment Trusts (UITs) structured as Regulated Investment Companies (RICs) are listed separately with a country designation of "RIC."

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
UK	ASTRAZENECA PLC AMERICAN DEPOSITARY SHARES	046353108	0.00	17.55		0.00	17.55	0.00
Total UNITED KINGDOM			0.00	17.55		0.00	17.55	0.00
Grand Total	Total Foreign Source Income*			17.55				
	Qualified Foreign Source Income**			17.55				
	Foreign Tax			0.00				

* Total Foreign Source Income utilizes the "Total" column for RICs which may not always be supplied.

** Qualified Foreign Source Income utilizes the "Qualified" column for RICs which may not always be supplied.

Robinhood Securities LLC

Account 571476589

Non-Reportable Actions

2020

03/22/2021 AMENDED

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
DENBURY INC NEW WARRANT EXP 09 /18/2023	24790A127	09/21/20	1.00	0.00	Merger	
DENBURY RESOURCES, INC.	247916208	09/21/20	-442.00	0.00	Merger	
OCCIDENTAL PETROLEUM CORPORATI ON WARRANTS TO PURCHASE COMMON STOCK	674599162	08/03/20	15.00	0.00	Stock spinoff	

- 03 The tax character of the distribution has been allocated based on information provided by the security issuer.

 - 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-DIV 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.

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

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

Line 1a. Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also, report it on Schedule B (Form 1040 or 1040-SR), if required.

Line 1b. Shows the portion of the amount in line 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report. The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

Line 2a. Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040 or 1040-SR). But, if no amount is shown in lines 2c and 2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in line 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Forms 1040 and 1040-SR.

Line 2b. Shows the portion of the amount in line 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

Line 2c. Shows the portion of the amount in line 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040 or 1040-SR) instructions.

Line 2d. Shows 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040 or 1040-SR).

Line 3. Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

Line 4. Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9, Request for Taxpayer Identification Number and Certification, for information on backup withholding. Include this amount on your income tax return as tax withheld.

Line 5. Shows the portion of the amount in line 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the instructions for Form 8995 and Form 8995-A.

Instructions for Recipient

Line 6. Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in line 1a.

Line 7. Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Forms 1040 and 1040-SR.

Line 8. This line should be left blank if a RIC reported the foreign tax shown in line 7.

Lines 9 and 10. Show cash and noncash liquidation distributions.

Line 11. Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See line 4 above.

Line 12. Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in line 11. See the Instructions for Form 6251.

Lines 13-15. State income tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file Form 1099-DIV (with a Form 1096) with the IRS for each of the other owners to show their share of the income, and you must furnish a Form 1099-DIV to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2020 General Instructions for Certain Information Returns. Future developments. For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099DIV.

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.

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.

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

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

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 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.

Box 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.

1099-INT Instructions for Recipient

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

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.

Instructions for Recipient

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

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

Line 1. Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2020 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

Line 2. Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction. **Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

Line 5. Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

Line 6. Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

Line 7. Shows the country or U.S. possession to which the foreign tax was paid.

Line 8. Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 9. Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in line 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

Line 10. For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Forms 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

Line 11. For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4). **Line 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

Line 13. For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this line, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this line for a tax-exempt covered security acquired at a

premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

Line 14. Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s). **Lines 15-17.** State tax withheld reporting lines. Nominees. If this form includes amounts belonging to another person(s), you are considered a nominee recipient. Complete a Form 1099-INT for each of the other owners showing the income allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner(s) as the "recipient." File Form(s) 1099-INT with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. Future developments. For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099INT.

1099-MISC Instructions for Recipient

Line 2. Report royalties from oil, gas, or mineral properties, copyrights, and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the box 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

Line 3. Generally, report this amount on the "Other income" line on Form 1040 (or Form 1040NR) and identify the payment. The amount shown may be payments received as the beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

Line 4. See "Backup Withholding" section.

Line 8. Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other income" line of Schedule 1 (Form 1040) (or Form 1040NR).

Lines 16-18. Show state or local income tax withheld from the payments.