

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 899744379	Statement Date: 02/11/2022 Document ID: G14P 826 9430	2021
	Prerak Silwal 1236 S 13th Ave Unit B Phoenix, AZ 85007 RECIPIENT'S TIN: XXX-XX-3438		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2021 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e) 89.64</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)	71,337.68	70,328.49	0.00	1,409.63	2,418.82
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	71,337.68	70,328.49	0.00	1,409.63	2,418.82
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	71,337.68	70,328.49	0.00	1,409.63	2,418.82
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

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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	55.00
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

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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 05/21/2021 CALL \$23.00 / CUSIP: / Symbol:							
05/21/21	1.000	0.00	05/19/21	30.00	...	-30.00	Option expiration- long call
AAPL 02/19/2021 CALL \$133.00 / CUSIP: / Symbol:							
02/01/21	1.000	509.97	01/29/21	540.00	...	-30.03	Option sale to close-call ²⁵
AAPL 03/12/2021 PUT \$116.00 / CUSIP: / Symbol:							
03/12/21	1.000	0.00	03/09/21	50.00	...	-50.00	Option expiration- long put
AFRM 08/20/2021 CALL \$75.00 / CUSIP: / Symbol:							
08/05/21	1.000	269.98	08/03/21	265.00	...	4.98	Option sale to close-call ²⁵
AHT 06/18/2021 CALL \$5.00 / CUSIP: / Symbol:							
06/04/21	1.000	114.98	06/03/21	115.00	...	-0.02	Option sale to close-call ²⁵

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Account 899744379

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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"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
AHT 09/17/2021 PUT \$15.00 / CUSIP: / Symbol:							
09/02/21	1.000	119.98	08/31/21	110.00	...	9.98	Option sale to close-put ²⁵
AHT 10/01/2021 PUT \$14.00 / CUSIP: / Symbol:							
09/30/21	2.000	19.98	09/24/21	24.00	...	-4.02	Option sale to close-put ²⁵
AMC 01/29/2021 CALL \$4.50 / CUSIP: / Symbol:							
2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	1.000	1,099.96	01/25/21	112.00	...	987.96	1 of 2 - Option sale to close-call ²⁵
	1.000	1,199.96	01/25/21	112.00	...	1,087.96	2 of 2 - Option sale to close-call ²⁵
01/27/21	2.000	2,299.92	Various	224.00	...	2,075.92	Total of 2 transactions
AMC 02/05/2021 CALL \$9.00 / CUSIP: / Symbol:							
02/05/21	1.000	0.00	02/02/21	110.00	...	-110.00	Option expiration- long call
AMC 06/04/2021 CALL \$20.00 / CUSIP: / Symbol:							
05/26/21	1.000	309.98	05/25/21	95.00	...	214.98	Option sale to close-call ²⁵
APPS 08/13/2021 CALL \$67.00 / CUSIP: / Symbol:							
08/05/21	1.000	369.98	07/29/21	370.00	...	-0.02	Option sale to close-call ²⁵
APPS 09/03/2021 CALL \$62.00 / CUSIP: / Symbol:							
08/31/21	1.000	114.98	08/11/21	495.02	...	-380.04	Option sale to close-call ²⁵
08/31/21	1.000	54.98	08/10/21	350.00	295.02 W	0.00	Option sale to close-call ²⁵
	Security total:	169.96		845.02	295.02 W	-380.04	
APPS 12/31/2021 CALL \$65.00 / CUSIP: / Symbol:							
12/30/21	1.000	69.98	12/28/21	70.00	...	-0.02	Option sale to close-call ²⁵
ASTR 08/20/2021 PUT \$10.00 / CUSIP: / Symbol:							
08/05/21	1.000	104.98	08/05/21	65.00	...	39.98	Option sale to close-put ²⁵
BABA 11/19/2021 CALL \$148.00 / CUSIP: / Symbol:							
11/19/21	1.000	0.00	11/18/21	200.00	...	-200.00	Option expiration- long call
BABA 11/26/2021 CALL \$175.00 / CUSIP: / Symbol:							
11/10/21	1.000	297.98	11/05/21	305.00	...	-7.02	Option sale to close-call ²⁵

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2021 1099-B* OMB No. 1545-0715

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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
BIGC 02/19/2021 CALL \$75.00 / CUSIP: / Symbol: 02/19/21	1.000	0.00	02/18/21	50.00	...	-50.00	Option expiration- long call
CCIV 03/19/2021 CALL \$35.00 / CUSIP: / Symbol: 01/25/21	1.000	516.97	01/19/21	240.00	...	276.97	Option sale to close-call ²⁵
CEI 10/15/2021 CALL \$2.00 / CUSIP: / Symbol: 10/07/21	1.000	44.98	10/06/21	20.00	...	24.98	Option sale to close-call ²⁵
CLOV 03/19/2021 CALL \$25.00 / CUSIP: / Symbol: 03/19/21	3.000	0.00	01/12/21	390.00	...	-390.00	Option expiration- long call
CLOV 03/19/2021 CALL \$30.00 / CUSIP: / Symbol: 5 transactions for 03/19/21. Total proceeds and cost reported to the IRS.	50.000 10.000 10.000 9.000 1.000	0.00 0.00 0.00 0.00 0.00	02/04/21 02/04/21 02/04/21 02/24/21 02/24/21	2,000.00 430.00 430.00 45.00 5.00	-2,000.00 -430.00 -430.00 -45.00 -5.00	1 of 5 - Option expiration- long call 2 of 5 - Option expiration- long call 3 of 5 - Option expiration- long call 4 of 5 - Option expiration- long call 5 of 5 - Option expiration- long call
03/19/21	80.000	0.00	Various	2,910.00	...	-2,910.00	Total of 5 transactions
CLOV 05/21/2021 CALL \$30.00 / CUSIP: / Symbol: 05/21/21	1.000	0.00	04/19/21	28.00	...	-28.00	Option expiration- long call
CLOV 05/21/2021 PUT \$5.00 / CUSIP: / Symbol: 04/19/21	1.000	5.98	04/16/21	10.00	...	-4.02	Option sale to close-put ²⁵
CLOV 06/18/2021 CALL \$12.00 / CUSIP: / Symbol: 06/04/21	1.000	40.98	05/17/21	20.00	...	20.98	Option sale to close-call ²⁵
CLOV 06/18/2021 CALL \$22.00 / CUSIP: / Symbol: 06/18/21	1.000	0.00	06/09/21	290.00	...	-290.00	Option expiration- long call
CLOV 08/20/2021 CALL \$30.00 / CUSIP: / Symbol: 04/16/21	1.000	24.98	04/09/21	10.00	...	14.98	Option sale to close-call ²⁵
CLOV 10/15/2021 CALL \$8.00 / CUSIP: / Symbol: 10/15/21	1.000	0.00	10/08/21	50.00	...	-50.00	Option expiration- long call

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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
CLSK 06/18/2021 CALL \$60.00 / CUSIP: / Symbol:							
06/18/21	1.000	0.00	04/16/21	30.00	...	-30.00	Option expiration- long call
CLSK 08/20/2021 CALL \$15.00 / CUSIP: / Symbol:							
07/15/21	1.000	147.98	07/14/21	160.00	...	-12.02	Option sale to close-call ²⁵
CPSH 06/18/2021 CALL \$7.50 / CUSIP: / Symbol:							
05/21/21	1.000	34.98	05/20/21	59.00	...	-24.02	Option sale to close-call ²⁵
DKNG 07/02/2021 CALL \$55.00 / CUSIP: / Symbol:							
	<i>2 transactions for 06/30/21. Total proceeds and cost reported to the IRS.</i>						
	1.000	13.99	06/23/21	35.00	...	-21.01	1 of 2 - Option sale to close-call ²⁵
	1.000	13.99	06/23/21	35.00	...	-21.01	2 of 2 - Option sale to close-call ²⁵
06/30/21	2.000	27.98	Various	70.00	...	-42.02	Total of 2 transactions
FB 01/22/2021 CALL \$272.50 / CUSIP: / Symbol:							
01/21/21	1.000	184.98	01/21/21	140.00	...	44.98	Option sale to close-call ²⁵
FIT 01/21/2022 CALL \$7.00 / CUSIP: / Symbol:							
02/19/21	2.000	0.00	12/17/20	114.00	...	-114.00	Option expiration- long call
GEVO 06/18/2021 CALL \$7.50 / CUSIP: / Symbol:							
04/27/21	1.000	88.98	04/22/21	65.00	...	23.98	Option sale to close-call ²⁵
GME 02/26/2021 CALL \$720.00 / CUSIP: / Symbol:							
02/26/21	1.000	0.00	02/25/21	305.00	...	-305.00	Option expiration- long call
HAE 05/21/2021 CALL \$120.00 / CUSIP: / Symbol:							
05/21/21	1.000	0.00	04/19/21	75.00	...	-75.00	Option expiration- long call
IDEX 06/18/2021 CALL \$3.50 / CUSIP: / Symbol:							
	<i>2 transactions for 06/18/21. Total proceeds and cost reported to the IRS.</i>						
	5.000	0.00	06/11/21	75.00	...	-75.00	1 of 2 - Option expiration- long call
	1.000	0.00	06/11/21	15.00	...	-15.00	2 of 2 - Option expiration- long call
06/18/21	6.000	0.00	Various	90.00	...	-90.00	Total of 2 transactions
IMMR 03/19/2021 CALL \$15.00 / CUSIP: / Symbol:							
03/19/21	1.000	0.00	03/12/21	8.00	...	-8.00	Option expiration- long call

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2021 1099-B* OMB No. 1545-0715

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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
IQ 06/25/2021 CALL \$18.00 / CUSIP: / Symbol:							
06/25/21	5.000	0.00	06/10/21	100.00	...	-100.00	Option expiration- long call
IVR 06/18/2021 CALL \$5.00 / CUSIP: / Symbol:							
06/18/21	5.000	0.00	06/11/21	75.00	...	-75.00	Option expiration- long call
KERN 04/16/2021 CALL \$7.50 / CUSIP: / Symbol:							
02/10/21	1.000	379.98	01/14/21	230.00	...	149.98	Option sale to close-call ²⁵
LOTZ 10/15/2021 CALL \$5.00 / CUSIP: / Symbol:							
10/15/21	2.000	0.00	08/10/21	80.00	...	-80.00	Option expiration- long call
MARA 04/16/2021 CALL \$60.00 / CUSIP: / Symbol:							
04/16/21	1.000	0.00	04/14/21	16.00	...	-16.00	Option expiration- long call
MARA 04/30/2021 CALL \$35.50 / CUSIP: / Symbol:							
04/26/21	1.000	149.98	04/23/21	150.00	...	-0.02	Option sale to close-call ²⁵
MARA 05/14/2021 CALL \$32.50 / CUSIP: / Symbol:							
05/14/21	1.000	0.00	05/07/21	195.00	...	-195.00	Option expiration- long call
MSFT 04/30/2021 PUT \$237.50 / CUSIP: / Symbol:							
04/28/21	1.000	8.98	04/27/21	15.00	...	-6.02	Option sale to close-put ²⁵
NEWR 08/20/2021 PUT \$70.00 / CUSIP: / Symbol:							
08/10/21	1.000	14.98	08/05/21	25.00	...	-10.02	Option sale to close-put ²⁵
NIO 01/22/2021 CALL \$57.00 / CUSIP: / Symbol:							
01/19/21	1.000	229.98	01/15/21	299.00	...	-69.02	Option sale to close-call ²⁵
NIO 04/16/2021 CALL \$41.00 / CUSIP: / Symbol:							
04/16/21	1.000	0.00	04/13/21	20.00	...	-20.00	Option expiration- long call
NIO 04/30/2021 CALL \$51.00 / CUSIP: / Symbol:							
04/30/21	1.000	0.00	04/27/21	5.00	...	-5.00	Option expiration- long call
NIO 04/30/2021 CALL \$56.00 / CUSIP: / Symbol:							
04/30/21	1.000	0.00	04/27/21	2.00	...	-2.00	Option expiration- long call

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Robinhood Securities LLC

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

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NIO 05/07/2021 CALL \$55.00 / CUSIP: / Symbol:							
04/26/21	1.000	19.98	04/22/21	10.00	...	9.98	Option sale to close-call ²⁵
NNDM 03/19/2021 CALL \$10.00 / CUSIP: / Symbol:							
03/12/21	1.000	119.98	03/11/21	70.00	...	49.98	Option sale to close-call ²⁵
NNDM 05/21/2021 CALL \$10.00 / CUSIP: / Symbol:							
04/20/21	1.000	29.98	04/16/21	24.00	...	5.98	Option sale to close-call ²⁵
NVDA 08/13/2021 PUT \$200.00 / CUSIP: / Symbol:							
08/10/21	1.000	294.98	08/09/21	175.02	...	119.96	Option sale to close-put ²⁵
08/10/21	1.000	179.98	08/06/21	195.00	15.02 W	0.00	Option sale to close-put ²⁵
	Security total:	474.96		370.02	15.02 W	119.96	
ONEM 08/20/2021 CALL \$30.00 / CUSIP: / Symbol:							
08/02/21	1.000	94.98	08/02/21	80.00	...	14.98	Option sale to close-call ²⁵
PLTR 05/14/2021 CALL \$18.50 / CUSIP: / Symbol:							
05/14/21	1.000	69.98	05/13/21	30.00	...	39.98	Option sale to close-call ²⁵
RMO 02/19/2021 CALL \$20.00 / CUSIP: / Symbol:							
02/05/21	1.000	136.98	01/26/21	285.00	...	-148.02	Option sale to close-call ²⁵
RMO 04/16/2021 CALL \$17.50 / CUSIP: / Symbol:							
03/12/21	1.000	94.98	02/23/21	94.00	...	0.98	Option sale to close-call ²⁵
RMO 04/16/2021 PUT \$7.50 / CUSIP: / Symbol:							
04/16/21	1.000	0.00	04/06/21	13.00	...	-13.00	Option expiration- long put
SNAP 11/05/2021 CALL \$55.00 / CUSIP: / Symbol:							
11/02/21	1.000	39.98	11/02/21	42.00	2.02 W	0.00	Option sale to close-call ²⁵
11/03/21	1.000	20.98	11/02/21	33.02	...	-12.04	Option sale to close-call ²⁵
	Security total:	60.96		75.02	2.02 W	-12.04	
SNDL 05/28/2021 CALL \$1.00 / CUSIP: / Symbol:							
05/28/21	1.000	0.00	05/27/21	2.00	...	-2.00	Option expiration- long call

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SNDL 06/11/2021 CALL \$1.00 / CUSIP: / Symbol:							
06/10/21	1.000	14.98	06/04/21	24.00	...	-9.02	Option sale to close-call ²⁵
SNDL 09/03/2021 CALL \$0.50 / CUSIP: / Symbol:							
08/30/21	2.000	51.98	08/24/21	56.00	...	-4.02	Option sale to close-call ²⁵
09/03/21	3.000	77.98	08/24/21	84.00	...	-6.02	Option sale to close-call ²⁵
	Security total:	129.96		140.00	...	-10.04	
SPCE 05/21/2021 PUT \$17.00 / CUSIP: / Symbol:							
05/19/21	1.000	121.98	05/18/21	36.00	...	85.98	Option sale to close-put ²⁵
SSRM 05/21/2021 CALL \$19.00 / CUSIP: / Symbol:							
05/20/21	1.000	14.98	05/19/21	10.02	...	4.96	Option sale to close-call ²⁵
05/20/21	1.000	14.98	05/19/21	15.00	0.02 W	0.00	Option sale to close-call ²⁵
	Security total:	29.96		25.02	0.02 W	4.96	
TSLA 12/31/2021 PUT \$985.00 / CUSIP: / Symbol:							
12/29/21	1.000	199.98	12/28/21	150.00	...	49.98	Option sale to close-put ²⁵
UPST 12/31/2021 PUT \$143.00 / CUSIP: / Symbol:							
12/31/21	1.000	0.00	12/30/21	35.00	...	-35.00	Option expiration- long put
UVXY1 05/28/2021 CALL \$4.00 / CUSIP: / Symbol:							
05/28/21	1.000	0.00	05/25/21	20.00	...	-20.00	Option expiration- long call
UVXY1 05/28/2021 CALL \$4.50 / CUSIP: / Symbol:							
05/28/21	1.000	0.00	05/25/21	9.00	...	-9.00	Option expiration- long call
VGAC 03/19/2021 CALL \$15.00 / CUSIP: / Symbol:							
01/22/21	1.000	164.98	01/22/21	165.00	...	-0.02	Option sale to close-call ²⁵
VNO 06/18/2021 CALL \$110.00 / CUSIP: / Symbol:							
06/18/21	10.000	0.00	06/11/21	30.00	...	-30.00	Option expiration- long call
WISH 10/15/2021 CALL \$12.50 / CUSIP: / Symbol:							
07/21/21	1.000	129.98	07/16/21	115.00	...	14.98	Option sale to close-call ²⁵

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WISH 11/12/2021 PUT \$5.00 / CUSIP: / Symbol:							
11/12/21	2.000	0.00	11/10/21	116.00	...	-116.00	Option expiration- long put
WISH 12/23/2021 PUT \$3.00 / CUSIP: / Symbol:							
12/23/21	1.000	0.00	12/21/21	3.00	...	-3.00	Option expiration- long put
ZNTE 07/16/2021 CALL \$15.00 / CUSIP: / Symbol:							
07/16/21	1.000	0.00	02/12/21	300.00	...	-300.00	Option expiration- long call
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	100.000	1,599.95	01/27/21	1,650.00	...	-50.05	1 of 2 - Sale ²⁵
	40.000	639.98	01/27/21	660.00	...	-20.02	2 of 2 - Sale ²⁵
01/27/21	140.000	2,239.93	Various	2,310.00	...	-70.07	Total of 2 transactions
05/27/21	10.000	253.60	01/27/21	165.00	...	88.60	Sale ²⁵
	Security total:	2,493.53		2,475.00	...	18.53	
ARK SPACE EXPLORATION & INNOVA TION ETF / CUSIP: 00214Q807 / Symbol:							
05/20/21	2.000	39.58	03/30/21	40.36	...	-0.78	Sale ²⁵
ACAMAR PARTNERS ACQUISITION CO RP. CLASS A COMMON STOCK / CUSIP: 004285102 / Symbol:							
3 transactions for 01/06/21. Total proceeds and cost reported to the IRS.							
	25.629	279.91	12/28/20	288.15	...	-8.24	1 of 3 - Sale ²⁵
	0.001	0.01	12/28/20	0.01	...	0.00	2 of 3 - Sale ²⁵
	0.008	0.08	12/28/20	0.08	...	0.00	3 of 3 - Sale ²⁵
01/06/21	25.638	280.00	Various	288.24	...	-8.24	Total of 3 transactions
01/12/21	63.308	744.15	12/28/20	711.76	...	32.39	Sale ²⁵
	Security total:	1,024.15		1,000.00	...	24.15	
ADVAXIS INC COMMON STOCK / CUSIP: 007624307 / Symbol:							
09/15/21	1,500.000	796.16	09/10/21	891.00	...	-94.84	Sale ²⁵
3 transactions for 09/16/21. Total proceeds and cost reported to the IRS.							
	100.000	50.74	09/10/21	59.40	...	-8.66	1 of 3 - Sale ²⁵
	100.000	50.74	09/10/21	59.40	...	-8.66	2 of 3 - Sale ²⁵
	50.000	25.38	09/10/21	29.70	...	-4.32	3 of 3 - Sale ²⁵
09/16/21	250.000	126.86	Various	148.50	...	-21.64	Total of 3 transactions

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Proceeds from Broker and Barter Exchange Transactions

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(continued)

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ADVAXIS INC COMMON STOCK / CUSIP: 007624307 / Symbol: (cont'd)							
Security total:		923.02		1,039.50	...	-116.48	
AQUA METALS, INC. COMMON STOCK / CUSIP: 03837J101 / Symbol:							
5 transactions for 01/28/21. Total proceeds and cost reported to the IRS.							
	99.682	620.99	01/27/21	676.86	...	-55.87	1 of 5 - Sale ²⁵
	110.159	686.26	01/27/21	722.65	...	-36.39	2 of 5 - Sale ²⁵
	47.000	292.80	01/27/21	308.32	...	-15.52	3 of 5 - Sale ²⁵
	37.200	231.75	01/27/21	244.03	...	-12.28	4 of 5 - Sale ²⁵
	0.159	0.99	01/27/21	1.07	...	-0.08	5 of 5 - Sale ²⁵
01/28/21	294.200	1,832.79	Various	1,952.93	...	-120.14	Total of 5 transactions
3 transactions for 01/28/21. Total proceeds and cost reported to the IRS.							
	54.800	341.39	01/27/21	354.01	3.64 W	-8.98	1 of 3 - Sale ²⁵
	99.841	621.98	01/27/21	644.97	22.95 W	-0.04	2 of 3 - Sale ²⁵
	0.159	0.99	01/27/21	1.02	0.03 W	0.00	3 of 3 - Sale ²⁵
01/28/21	154.800	964.36	Various	1,000.00	26.62 W	-9.02	Total of 3 transactions
Security total:		2,797.15		2,952.93	26.62 W	-129.16	
ASHFORD HOSPITALITY TRUST, INC. / CUSIP: 044103877 / Symbol:							
6 transactions for 06/09/21. Total proceeds and cost reported to the IRS.							
	2.000	14.02	06/02/21	11.96	...	2.06	1 of 6 - Sale ²⁵
	98.000	686.96	06/02/21	586.04	...	100.92	2 of 6 - Sale ²⁵
	100.000	700.98	06/02/21	510.50	...	190.48	3 of 6 - Sale ²⁵
	100.000	700.99	06/02/21	506.00	...	194.99	4 of 6 - Sale ²⁵
	200.000	1,401.97	06/02/21	1,196.00	...	205.97	5 of 6 - Sale ²⁵
	200.000	1,401.97	06/02/21	1,196.00	...	205.97	6 of 6 - Sale ²⁵
06/09/21	700.000	4,906.89	Various	4,006.50	...	900.39	Total of 6 transactions
BEYOND MEAT, INC. COMMON STOCK / CUSIP: 08862E109 / Symbol:							
01/20/21	15.000	2,042.20	11/18/20	2,014.58	...	27.62	Sale ²⁵
BLACKBERRY LIMITED / CUSIP: 09228F103 / Symbol:							
01/26/21	50.000	882.48	01/25/21	1,007.00	...	-124.52	Sale ²⁵

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BRIACELL THERAPEUTICS CORP. CO MMON SHARES / CUSIP: 10778Y302 / Symbol:							
08/05/21	4.000	18.73	08/04/21	24.18	...	-5.45	Sale ²⁵
CALLAWAY GOLF COMPANY / CUSIP: 131193104 / Symbol:							
06/17/21	24.000	807.03	06/11/21	810.72	0.92 W	-2.77	Sale ²⁵
	4 transactions for 09/09/21. Total proceeds and cost reported to the IRS.						
	4.000	114.53	06/18/21	128.02	...	-13.49	1 of 4 - Sale ²⁵
	1.000	28.63	06/18/21	32.00	...	-3.37	2 of 4 - Sale ²⁵
	5.000	143.16	08/10/21	158.20	...	-15.04	3 of 4 - Sale ²⁵
	73.000	2,090.08	09/07/21	2,084.81	...	5.27	4 of 4 - Sale ²⁵
09/09/21	83.000	2,376.40	Various	2,403.03	...	-26.63	Total of 4 transactions
	2 transactions for 09/09/21. Total proceeds and cost reported to the IRS.						
	6.000	171.79	06/11/21	202.68	30.89 W	0.00	1 of 2 - Sale ²⁵
	1.000	28.63	06/18/21	31.99	3.36 W	0.00	2 of 2 - Sale ²⁵
09/09/21	7.000	200.42	Various	234.67	34.25 W	0.00	Total of 2 transactions
	2 transactions for 09/15/21. Total proceeds and cost reported to the IRS.						
	6.000	176.89	09/07/21	202.24	...	-25.35	1 of 2 - Sale ²⁵
	1.000	29.48	09/07/21	31.92	...	-2.44	2 of 2 - Sale ²⁵
09/15/21	7.000	206.37	Various	234.16	...	-27.79	Total of 2 transactions
	Security total:	3,590.22		3,682.58	35.17 W	-57.19	
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol:							
	14 transactions for 09/03/21. Total proceeds and cost reported to the IRS.						
	500.000	402.69	08/27/21	258.50	...	144.19	1 of 14 - Sale ²⁵
	800.000	644.30	08/27/21	415.92	...	228.38	2 of 14 - Sale ²⁵
	1,000.000	805.37	08/27/21	516.90	...	288.47	3 of 14 - Sale ²⁵
	490.000	394.64	08/30/21	269.36	...	125.28	4 of 14 - Sale ²⁵
	360.000	327.55	08/30/21	197.89	...	129.66	5 of 14 - Sale ²⁵
	30.000	26.29	09/02/21	20.58	...	5.71	6 of 14 - Sale ²⁵
	100.000	87.49	09/02/21	68.60	...	18.89	7 of 14 - Sale ²⁵
	100.000	87.58	09/02/21	68.60	...	18.98	8 of 14 - Sale ²⁵
	100.000	87.59	09/02/21	68.60	...	18.99	9 of 14 - Sale ²⁵
	100.000	87.62	09/02/21	68.60	...	19.02	10 of 14 - Sale ²⁵
	200.000	175.25	09/02/21	137.20	...	38.05	11 of 14 - Sale ²⁵

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CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol: (cont'd)							
	200.000	181.98	09/02/21	137.20	...	44.78	12 of 14 - Sale ²⁵
	300.000	262.89	09/02/21	205.80	...	57.09	13 of 14 - Sale ²⁵
	370.000	336.65	09/02/21	253.82	...	82.83	14 of 14 - Sale ²⁵
09/03/21	4,650.000	3,907.89	Various	2,687.57	...	1,220.32	Total of 14 transactions
	7 transactions for 09/09/21. Total proceeds and cost reported to the IRS.						
	100.000	122.99	09/09/21	122.91	...	0.08	1 of 7 - Sale ²⁵
	400.000	491.95	09/09/21	491.64	...	0.31	2 of 7 - Sale ²⁵
	400.000	491.95	09/09/21	491.64	...	0.31	3 of 7 - Sale ²⁵
	600.000	737.92	09/09/21	737.46	...	0.46	4 of 7 - Sale ²⁵
	100.000	122.99	09/09/21	118.94	...	4.05	5 of 7 - Sale ²⁵
	100.000	122.99	09/09/21	118.94	...	4.05	6 of 7 - Sale ²⁵
	300.000	368.96	09/09/21	356.82	...	12.14	7 of 7 - Sale ²⁵
09/09/21	2,000.000	2,459.75	Various	2,438.35	...	21.40	Total of 7 transactions
	8 transactions for 09/23/21. Total proceeds and cost reported to the IRS.						
	150.000	272.98	09/14/21	242.25	...	30.73	1 of 8 - Sale ²⁵
	195.000	354.88	09/14/21	314.93	...	39.95	2 of 8 - Sale ²⁵
	200.000	363.98	09/14/21	323.00	...	40.98	3 of 8 - Sale ²⁵
	300.000	545.96	09/14/21	484.50	...	61.46	4 of 8 - Sale ²⁵
	405.000	737.05	09/14/21	654.07	...	82.98	5 of 8 - Sale ²⁵
	700.000	1,273.91	09/14/21	1,130.50	...	143.41	6 of 8 - Sale ²⁵
	72.000	131.03	09/16/21	110.88	...	20.15	7 of 8 - Sale ²⁵
	674.000	1,327.69	09/16/21	1,037.96	...	289.73	8 of 8 - Sale ²⁵
09/23/21	2,696.000	5,007.48	Various	4,298.09	...	709.39	Total of 8 transactions
	3 transactions for 09/27/21. Total proceeds and cost reported to the IRS.						
	254.000	726.41	09/16/21	391.16	...	335.25	1 of 3 - Sale ²⁵
	3.000	8.49	09/20/21	4.35	...	4.14	2 of 3 - Sale ²⁵
	417.000	1,192.56	09/20/21	604.65	...	587.91	3 of 3 - Sale ²⁵
09/27/21	674.000	1,927.46	Various	1,000.16	...	927.30	Total of 3 transactions
	Security total:	13,302.58		10,424.17	...	2,878.41	
CARLOTZ, INC. CLASS A COMMON S TOCK / CUSIP: 142552108 / Symbol:							
01/22/21	50.000	594.98	01/22/21	595.00	...	-0.02	Sale ²⁵

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Robinhood Securities LLC

Account 899744379

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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CHEMBIO DIAGNOSTICS, INC. COMM ON STOCK / CUSIP: 163572209 / Symbol:							
07/23/21	10.000	31.02	07/22/21	60.37	...	-29.35	Sale ²⁵
CHEWY, INC. / CUSIP: 16679L109 / Symbol:							
11/22/21	16.000	1,055.74	10/04/21	1,035.54	...	20.20	Sale ²⁵
CLEANSPARK, INC. COMMON STOCK / CUSIP: 18452B209 / Symbol:							
08/23/21	20.000	256.83	08/20/21	216.89	...	39.94	Sale ²⁵
08/24/21	5.000	67.01	08/20/21	54.22	...	12.79	Sale ²⁵
	Security total:	323.84		271.11	...	52.73	
CLOVER HEALTH INVESTMENTS, COR P. CLASS A COMMON STOCK / CUSIP: 18914F103 / Symbol:							
	2 transactions for 02/25/21. Total proceeds and cost reported to the IRS.						
	0.078	0.76	12/28/20	1.30	0.54 W	0.00	1 of 2 - Sale ²⁵
	49.922	483.74	12/28/20	833.70	349.96 W	0.00	2 of 2 - Sale ²⁵
02/25/21	50.000	484.50	Various	835.00	350.50 W	0.00	Total of 2 transactions
	7 transactions for 06/07/21. Total proceeds and cost reported to the IRS.						
	9.881	108.68	12/28/20	165.00	56.32 W	0.00	1 of 7 - Sale ²⁵
	0.020	0.22	01/05/21	0.30	0.08 W	0.00	2 of 7 - Sale ²⁵
	0.320	3.52	01/05/21	4.78	1.26 W	0.00	3 of 7 - Sale ²⁵
	32.000	352.00	01/05/21	477.92	125.92 W	0.00	4 of 7 - Sale ²⁵
	9.948	109.43	01/06/21	146.89	37.46 W	0.00	5 of 7 - Sale ²⁵
	57.779	635.56	01/06/21	853.11	217.55 W	0.00	6 of 7 - Sale ²⁵
	40.052	440.56	01/13/21	556.32	115.76 W	0.00	7 of 7 - Sale ²⁵
06/07/21	150.000	1,649.97	Various	2,204.32	554.35 W	0.00	Total of 7 transactions
	6 transactions for 06/08/21. Total proceeds and cost reported to the IRS.						
	9.948	169.12	01/13/21	138.18	...	30.94	1 of 6 - Sale ²⁵
	40.000	679.99	02/04/21	506.00	...	173.99	2 of 6 - Sale ²⁵
	40.000	679.99	02/05/21	460.00	...	219.99	3 of 6 - Sale ²⁵
	0.320	5.45	06/02/21	4.20	...	1.25	4 of 6 - Sale ²⁵
	9.881	167.96	06/02/21	146.92	...	21.04	5 of 6 - Sale ²⁵
	9.851	167.46	06/02/21	129.09	...	38.37	6 of 6 - Sale ²⁵
06/08/21	110.000	1,869.97	Various	1,384.39	...	485.58	Total of 6 transactions

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2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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CLOVER HEALTH INVESTMENTS, COR P. CLASS A COMMON STOCK / CUSIP: 18914F103 / Symbol: (cont'd)							
2 transactions for 06/08/21. Total proceeds and cost reported to the IRS.							
	49.922	848.66	02/04/21	981.47	79.60 W	-53.21	1 of 2 - Sale ²⁵
	0.078	1.33	02/04/21	1.53	0.20 W	0.00	2 of 2 - Sale ²⁵
06/08/21	50.000	849.99	Various	983.00	79.80 W	-53.21	Total of 2 transactions
6 transactions for 06/09/21. Total proceeds and cost reported to the IRS.							
	0.020	0.53	06/02/21	0.26	...	0.27	1 of 6 - Sale ²⁵
	0.078	2.09	06/02/21	0.92	...	1.17	2 of 6 - Sale ²⁵
	4.922	131.91	06/02/21	58.23	...	73.68	3 of 6 - Sale ²⁵
	22.149	593.59	06/02/21	290.27	...	303.32	4 of 6 - Sale ²⁵
	26.831	719.06	06/02/21	347.07	...	371.99	5 of 6 - Sale ²⁵
	25.000	669.99	06/02/21	295.75	...	374.24	6 of 6 - Sale ²⁵
06/09/21	79.000	2,117.17	Various	992.50	...	1,124.67	Total of 6 transactions
5 transactions for 06/22/21. Total proceeds and cost reported to the IRS.							
	30.948	378.18	06/02/21	400.32	...	-22.14	1 of 5 - Sale ²⁵
	9.948	121.57	06/02/21	128.69	...	-7.12	2 of 5 - Sale ²⁵
	1.000	12.22	06/02/21	12.06	...	0.16	3 of 5 - Sale ²⁵
	2.000	24.44	06/02/21	24.12	...	0.32	4 of 5 - Sale ²⁵
	31.103	380.07	06/02/21	375.11	...	4.96	5 of 5 - Sale ²⁵
06/22/21	75.000	916.48	Various	940.30	...	-23.82	Total of 5 transactions
08/11/21	9.052	77.21	07/23/21	75.40	...	1.81	Sale ²⁵
08/11/21	5.948	50.74	06/02/21	71.74	3.35 W	-17.65	Sale ²⁵
	Security total:	8,016.03		7,486.65	988.00 W	1,517.38	
DRAFTKINGS INC. CLASS A COMMON STOCK / CUSIP: 26142R104 / Symbol:							
06/15/21	5.000	240.75	05/24/21	229.95	...	10.80	Sale ²⁵
ENSYSCE BIOSCIENCES, INC. COMM ON STOCK / CUSIP: 293602108 / Symbol:							
3 transactions for 08/04/21. Total proceeds and cost reported to the IRS.							
	28.000	134.12	08/03/21	139.76	...	-5.64	1 of 3 - Sale ²⁵
	16.000	76.64	08/03/21	79.86	...	-3.22	2 of 3 - Sale ²⁵
	1.000	4.79	08/03/21	4.99	...	-0.20	3 of 3 - Sale ²⁵
08/04/21	45.000	215.55	Various	224.61	...	-9.06	Total of 3 transactions
08/05/21	5.000	27.80	08/03/21	24.96	...	2.84	Sale ²⁵

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Account 899744379

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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ENSYSCE BIOSCIENCES, INC. COMM ON STOCK / CUSIP: 293602108 / Symbol: (cont'd)							
Security total:		243.35		249.57	...	-6.22	
FASTLY, INC. / CUSIP: 31188V100 / Symbol:							
06/29/21	1.000	59.90	05/05/21	48.40	...	11.50	Sale ²⁵
<i>2 transactions for 08/05/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	41.66	08/04/21	36.40	...	5.26	1 of 2 - Sale ²⁵
	1.000	41.66	08/04/21	36.26	...	5.40	2 of 2 - Sale ²⁵
08/05/21	2.000	83.32	Various	72.66	...	10.66	Total of 2 transactions
Security total:		143.22		121.06	...	22.16	
FUBOTV INC. / CUSIP: 35953D104 / Symbol:							
01/29/21	25.000	1,104.97	01/28/21	1,154.25	...	-49.28	Sale ²⁵
GAMESTOP CORP. CLASS A / CUSIP: 36467W109 / Symbol:							
12/13/21	1.000	136.98	12/10/21	152.17	...	-15.19	Sale ²⁵
GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol:							
<i>2 transactions for 01/25/21. Total proceeds and cost reported to the IRS.</i>							
	50.000	676.48	01/20/21	452.45	...	224.03	1 of 2 - Sale ²⁵
	100.000	1,352.96	01/20/21	904.89	...	448.07	2 of 2 - Sale ²⁵
01/25/21	150.000	2,029.44	Various	1,357.34	...	672.10	Total of 2 transactions
HAEMONETICS CORPORATION / CUSIP: 405024100 / Symbol:							
04/20/21	2.000	139.56	04/19/21	152.16	...	-12.60	Sale ²⁵
IRHYTHM TECHNOLOGIES, INC. COM MON STOCK / CUSIP: 450056106 / Symbol:							
02/01/21	1.000	182.00	01/29/21	171.50	...	10.50	Sale ²⁵
IMMUNOPRECISE ANTIBODIES LTD. COMMON STOCK / CUSIP: 45257F200 / Symbol:							
<i>2 transactions for 07/22/21. Total proceeds and cost reported to the IRS.</i>							
	2.000	26.48	07/22/21	16.05	...	10.43	1 of 2 - Sale ²⁵
	6.000	64.50	07/22/21	48.15	...	16.35	2 of 2 - Sale ²⁵
07/22/21	8.000	90.98	Various	64.20	...	26.78	Total of 2 transactions

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KNOWBE4, INC. CLASS A COMMON S TOCK / CUSIP: 49926T104 / Symbol:							
04/23/21	4.000	88.78	04/22/21	94.04	...	-5.26	Sale ²⁵
04/23/21	1.000	22.20	04/22/21	23.51	1.31 W	0.00	Sale ²⁵
06/17/21	1.000	28.01	04/22/21	24.82	...	3.19	Sale ²⁵
	Security total:	138.99		142.37	1.31 W	-2.07	
KULR TECHNOLOGY GROUP, INC. / CUSIP: 50125G109 / Symbol:							
06/17/21	13.000	31.07	06/17/21	33.41	...	-2.34	Sale ²⁵
	2 transactions for 06/17/21. Total proceeds and cost reported to the IRS.						
	30.000	71.70	06/17/21	77.10	2.34 W	-3.06	1 of 2 - Sale ²⁵
	107.000	255.72	06/17/21	274.99	19.27 W	0.00	2 of 2 - Sale ²⁵
06/17/21	137.000	327.42	Various	352.09	21.61 W	-3.06	Total of 2 transactions
	5 transactions for 06/22/21. Total proceeds and cost reported to the IRS.						
	50.000	117.99	06/17/21	128.50	...	-10.51	1 of 5 - Sale ²⁵
	87.000	205.31	06/17/21	213.87	...	-8.56	2 of 5 - Sale ²⁵
	20.000	47.20	06/17/21	50.20	...	-3.00	3 of 5 - Sale ²⁵
	13.000	30.68	06/17/21	31.96	...	-1.28	4 of 5 - Sale ²⁵
	230.000	542.76	06/17/21	535.90	...	6.86	5 of 5 - Sale ²⁵
06/22/21	400.000	943.94	Various	960.43	...	-16.49	Total of 5 transactions
	Security total:	1,302.43		1,345.93	21.61 W	-21.89	
MP MATERIALS CORP. / CUSIP: 553368101 / Symbol:							
	2 transactions for 07/29/21. Total proceeds and cost reported to the IRS.						
	1.000	38.83	04/19/21	29.57	...	9.26	1 of 2 - Sale ²⁵
	1.000	38.83	04/19/21	29.57	...	9.26	2 of 2 - Sale ²⁵
07/29/21	2.000	77.66	Various	59.14	...	18.52	Total of 2 transactions
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
06/14/21	1.000	46.54	03/30/21	35.00	...	11.54	Sale ²⁵
NANO DIMENSION LTD. AMERICAN D EPOSITARY SHARES / CUSIP: 63008G203 / Symbol:							
	4 transactions for 02/01/21. Total proceeds and cost reported to the IRS.						
	50.000	671.98	01/28/21	700.00	...	-28.02	1 of 4 - Sale ²⁵
	50.000	671.98	01/28/21	700.00	...	-28.02	2 of 4 - Sale ²⁵

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NANO DIMENSION LTD. AMERICAN D EPOSITARY SHARES / CUSIP: 63008G203 / Symbol: (cont'd)							
	40.000	537.59	01/28/21	560.00	...	-22.41	3 of 4 - Sale ²⁵
	40.000	537.59	01/28/21	548.00	...	-10.41	4 of 4 - Sale ²⁵
02/01/21	180.000	2,419.14	Various	2,508.00	...	-88.86	Total of 4 transactions
NEUROPACE, INC. COMMON STOCK / CUSIP: 641288105 / Symbol:							
05/05/21	4.000	84.80	04/22/21	94.68	...	-9.88	Sale ²⁵
05/20/21	1.000	23.11	04/22/21	23.67	...	-0.56	Sale ²⁵
	Security total:	107.91		118.35	...	-10.44	
PHARMACYTE BIOTECH, INC. COMMON STOCK / CUSIP: 71715X203 / Symbol:							
2 transactions for 08/18/21. Total proceeds and cost reported to the IRS.							
	6.000	41.64	08/18/21	45.47	...	-3.83	1 of 2 - Sale ²⁵
	2.000	13.90	08/18/21	15.16	...	-1.26	2 of 2 - Sale ²⁵
08/18/21	8.000	55.54	Various	60.63	...	-5.09	Total of 2 transactions
PHUNWARE, INC. COMMON STOCK / CUSIP: 71948P100 / Symbol:							
3 transactions for 10/26/21. Total proceeds and cost reported to the IRS.							
	8.751	36.75	10/22/21	75.87	...	-39.12	1 of 3 - Sale ²⁵
	0.228	0.96	10/22/21	2.99	...	-2.03	2 of 3 - Sale ²⁵
	0.021	0.09	10/22/21	0.18	...	-0.09	3 of 3 - Sale ²⁵
10/26/21	9.000	37.80	Various	79.04	...	-41.24	Total of 3 transactions
10/26/21	0.228	0.96	10/22/21	1.97	1.01 W	0.00	Sale ²⁵
	Security total:	38.76		81.01	1.01 W	-41.24	
ROBINHOOD MARKETS, INC. CLASS A COMMON STOCK / CUSIP: 770700102 / Symbol:							
2 transactions for 09/15/21. Total proceeds and cost reported to the IRS.							
	5.000	209.20	09/13/21	202.90	...	6.30	1 of 2 - Sale ²⁵
	45.000	1,846.34	09/13/21	1,826.10	...	20.24	2 of 2 - Sale ²⁵
09/15/21	50.000	2,055.54	Various	2,029.00	...	26.54	Total of 2 transactions

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ROMEO POWER, INC. / CUSIP: 776153108 / Symbol:							
3 transactions for 02/02/21. Total proceeds and cost reported to the IRS.							
	0.062	1.06	02/01/21	1.10	...	-0.04	1 of 3 - Sale ²⁵
	53.000	975.86	02/01/21	948.16	...	27.70	2 of 3 - Sale ²⁵
	146.328	2,708.78	02/01/21	2,617.80	...	90.98	3 of 3 - Sale ²⁵
02/02/21	199.390	3,685.70	Various	3,567.06	...	118.64	Total of 3 transactions
SESEN BIO, INC. COMMON STOCK / CUSIP: 817763105 / Symbol:							
3 transactions for 01/20/21. Total proceeds and cost reported to the IRS.							
	0.190	0.30	01/07/21	0.29	...	0.01	1 of 3 - Sale ²⁵
	0.162	0.26	01/07/21	0.24	...	0.02	2 of 3 - Sale ²⁵
	61.000	99.42	01/07/21	92.11	...	7.31	3 of 3 - Sale ²⁵
01/20/21	61.352	99.98	Various	92.64	...	7.34	Total of 3 transactions
3 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	0.323	0.52	01/07/21	0.49	...	0.03	1 of 3 - Sale ²⁵
	37.000	59.61	01/07/21	55.87	...	3.74	2 of 3 - Sale ²⁵
	100.000	161.09	01/07/21	151.00	...	10.09	3 of 3 - Sale ²⁵
01/22/21	137.323	221.22	Various	207.36	...	13.86	Total of 3 transactions
	Security total:	321.20		300.00	...	21.20	
SNOW LAKE RESOURCES LTD. COMMO N SHARES / CUSIP: 83336J208 / Symbol:							
2 transactions for 11/19/21. Total proceeds and cost reported to the IRS.							
	1.000	12.96	11/19/21	15.66	...	-2.70	1 of 2 - Sale ²⁵
	1.000	12.96	11/19/21	14.05	...	-1.09	2 of 2 - Sale ²⁵
11/19/21	2.000	25.92	Various	29.71	...	-3.79	Total of 2 transactions
2 transactions for 11/19/21. Total proceeds and cost reported to the IRS.							
	1.000	12.96	11/19/21	14.57	1.61 W	0.00	1 of 2 - Sale ²⁵
	9.000	116.64	11/19/21	131.10	14.46 W	0.00	2 of 2 - Sale ²⁵
11/19/21	10.000	129.60	Various	145.67	16.07 W	0.00	Total of 2 transactions
	Security total:	155.52		175.38	16.07 W	-3.79	

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"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
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
01/28/21	200.000	153.98	01/27/21	154.00	...	-0.02	Sale ²⁵
	3 transactions for 05/27/21. Total proceeds and cost reported to the IRS.						
	200.000	166.81	05/26/21	155.96	...	10.85	1 of 3 - Sale ²⁵
	200.000	166.82	05/26/21	155.96	...	10.86	2 of 3 - Sale ²⁵
	1,200.000	1,000.89	05/26/21	928.08	...	72.81	3 of 3 - Sale ²⁵
05/27/21	1,600.000	1,334.52	Various	1,240.00	...	94.52	Total of 3 transactions
08/26/21	450.000	338.26	08/24/21	346.05	7.76 W	-0.03	Sale ²⁵
	2 transactions for 08/27/21. Total proceeds and cost reported to the IRS.						
	448.000	341.83	08/24/21	354.02	...	-12.19	1 of 2 - Sale ²⁵
	50.000	38.15	08/24/21	38.45	...	-0.30	2 of 2 - Sale ²⁵
08/27/21	498.000	379.98	Various	392.47	...	-12.49	Total of 2 transactions
	5 transactions for 11/12/21. Total proceeds and cost reported to the IRS.						
	21.000	18.83	10/21/21	14.85	...	3.98	1 of 5 - Sale ²⁵
	200.000	179.32	10/21/21	141.42	...	37.90	2 of 5 - Sale ²⁵
	200.000	179.32	10/21/21	141.42	...	37.90	3 of 5 - Sale ²⁵
	229.000	205.31	10/21/21	161.93	...	43.38	4 of 5 - Sale ²⁵
	300.000	268.97	10/21/21	212.13	...	56.84	5 of 5 - Sale ²⁵
11/12/21	950.000	851.75	Various	671.75	...	180.00	Total of 5 transactions
11/15/21	200.000	179.68	10/21/21	141.42	...	38.26	Sale ²⁵
11/17/21	265.000	218.30	10/21/21	187.38	...	30.92	Sale ²⁵
	Security total:	3,456.47		3,133.07	7.76 W	331.16	
SUNRUN INC. COMMON STOCK / CUSIP: 86771W105 / Symbol:							
06/18/21	2.000	103.80	04/27/21	114.56	...	-10.76	Sale ²⁵
TATTOOED CHEF, INC CLASS A COM MON STOCK / CUSIP: 87663X102 / Symbol:							
05/20/21	10.000	198.00	04/26/21	176.38	...	21.62	Sale ²⁵
UNICYCIVE THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 90466Y103 / Symbol:							
07/14/21	9.000	39.69	07/13/21	47.79	...	-8.10	Sale ²⁵
E-HOME HOUSEHOLD SERVICE HOLDI NGS LIMITED ORDINARY SHARES / CUSIP: G2952X104 / Symbol:							
08/03/21	5.000	41.20	08/03/21	37.42	...	3.78	Sale ²⁵

* 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 899744379

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
LIANLUO SMART LIMITED CLASS A COMMON STOCK / CUSIP: G5478K118 / Symbol:							
01/29/21	90.000	701.97	01/28/21	987.30	...	-285.33	Sale ²⁵
02/01/21	10.000	71.81	01/28/21	109.70	...	-37.89	Sale ²⁵
	Security total:	773.78		1,097.00	...	-323.22	
POP CULTURE GROUP CO., LTD CLA SS A ORDINARY SHARES / CUSIP: G71700101 / Symbol:							
07/21/21	29.000	234.90	07/20/21	213.15	...	21.75	Sale ²⁵
	3 transactions for 07/22/21. Total proceeds and cost reported to the IRS.						
	2.000	15.60	07/20/21	14.70	...	0.90	1 of 3 - Sale ²⁵
	4.000	30.76	07/20/21	29.40	...	1.36	2 of 3 - Sale ²⁵
	34.000	265.20	07/20/21	249.90	...	15.30	3 of 3 - Sale ²⁵
07/22/21	40.000	311.56	Various	294.00	...	17.56	Total of 3 transactions
	Security total:	546.46		507.15	...	39.31	
THUNDER BRIDGE ACQUISITION II, LTD. CLASS A ORDINARY SHARES / CUSIP: G8857S116 / Symbol:							
	4 transactions for 01/06/21. Total proceeds and cost reported to the IRS.						
	1.000	12.75	12/28/20	13.91	...	-1.16	1 of 4 - Sale ²⁵
	0.454	5.83	12/28/20	6.32	...	-0.49	2 of 4 - Sale ²⁵
	0.103	1.33	12/28/20	1.44	...	-0.11	3 of 4 - Sale ²⁵
	0.007	0.09	12/28/20	0.10	...	-0.01	4 of 4 - Sale ²⁵
01/06/21	1.565	20.00	Various	21.77	...	-1.77	Total of 4 transactions
01/13/21	70.000	912.76	12/28/20	974.05	...	-61.29	Sale ²⁵
01/15/21	0.301	3.85	12/28/20	4.18	...	-0.33	Sale ²⁵
	Security total:	936.61		1,000.00	...	-63.39	
PAINREFORM LTD. ORDINARY SHARE S / CUSIP: M77798102 / Symbol:							
08/11/21	10.000	28.39	07/23/21	40.50	...	-12.11	Sale ²⁵
Totals :		71,337.68		70,328.49	1,409.63 W	2,418.82	

* 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 899744379

Detail for Dividends and Distributions

2021

02/11/2022

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. There is also a holder level criteria for a dividend to be treated as Qualified. If the payment is from a common stock you are required to have held it for more than 60 days during the 121-day period that begins 60 days before the ex-dividend date of the dividend. If the dividend is from preferred shares and covers a period greater than 366 days, you must have held the preferred stock for more than 90 days during the 181-day period that begins 90 days before the ex-dividend date of the dividend.

Amounts presented in Box 2e as Section 897 Ordinary Dividends or Box 2f as Section 897 Capital Gains apply only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. If you are a US citizen, you should disregard this.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
VALE S.A.	91912E105		10/08/21	89.64	Nonqualified dividend	
				89.64	Total Dividends & distributions	

Robinhood Securities LLC

Account 899744379

Fees and Expenses

2021

02/11/2022

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 tax 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
		01/25/21	-5.00	Margin interest paid	
		02/23/21	-5.00	Margin interest paid	
		03/25/21	-5.00	Margin interest paid	
		06/02/21	-5.00	Margin interest paid	
		07/02/21	-5.00	Margin interest paid	
		08/02/21	-5.00	Margin interest paid	
			-30.00	Total Margin interest paid	
Margin charge		08/31/21	-5.00	Margin interest paid	
		09/30/21	-5.00	Margin interest paid	
		11/01/21	-5.00	Margin interest paid	
		11/29/21	-5.00	Margin interest paid	
		12/29/21	-5.00	Margin interest paid	
			-25.00	Total Margin interest paid	
			-55.00	Total Margin interest paid	

Robinhood Securities LLC

Account 899744379

Foreign Income and Taxes Summary

2021

02/11/2022

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				
BR	VALE S.A.	91912E105	89.64	0.00	0.00	89.64	0.00	
Total BRAZIL			89.64	0.00	0.00	89.64	0.00	
Grand Total	Total Foreign Source Income*			89.64				
	Qualified Foreign Source Income**			0.00				
	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 899744379

Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
CLOVER HEALTH INVESTMENTS, COR P. CLASS A COMMON STOCK	18914F103	01/08/21	159.95	0.00	Exchange	
FIT 01/21/2022 CALL \$7.00	FIT 01/21/22 C 7.000	01/15/21 01/15/21	2.00 -2.00	0.00 0.00	Merger Merger	
SOCIAL CAPITAL HEDOSOPHIA HOLD INGS CORP. III	G8251K107	01/08/21	-159.95	0.00	Exchange	
UVXY 05/28/2021 CALL \$4.00	UVXY 05/28/21 C 4.000	05/26/21	-1.00	0.00	Merger	
UVXY 05/28/2021 CALL \$4.50	UVXY 05/28/21 C 4.500	05/26/21	-1.00	0.00	Merger	
UVXY1 05/28/2021 CALL \$4.00	UVXY1 05/28/21 C 4.000	05/26/21	1.00	0.00	Merger	
UVXY1 05/28/2021 CALL \$4.50	UVXY1 05/28/21 C 4.500	05/26/21	1.00	0.00	Merger	

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

Instructions for Recipient

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 ORD) 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

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), 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). But, if no amount is shown in Lines 2b, 2c, 2d, and 2f 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).

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) instructions.

Line 2d. Shows the portion of the amount in Line 2a that is 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).

Line 2e. Shows the portion of the amount in Line 1a that is section 897 gain attributable to disposition of U.S. real property interests (USRPI).

Line 2f. Shows the portion of the amount in Line 2a that is section 897 gain attributable to disposition of USRPI.

Note: Lines 2e and 2f apply only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States. See the instructions for your tax return.

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 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.

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 1040SR.

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 1040SR 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.

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.

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.

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 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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