

Robinhood Securities LLC 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700	Tax Information Account 687980417 Aseem Girdhar 333 Andover Dr 139 Burbank, CA 91504
PAYER'S TIN: 38-4019216	RECIPIENT'S TIN: XXX-XX-3492
Statement Date: 02/11/2022 Document ID: 50JS K37 57K8	
2021	

Summary Information

[I] FATCA filing requirement (see instructions)	OMB No. 1545-0110	OMB No. 1545-0115
DIVIDENDS AND DISTRIBUTIONS	2021 1099-DIV*	2021 1099-MISC*
1a- Total ordinary dividends (includes lines 1b, 5, 2e)	0.00	0.00
1b- Qualified dividends	0.00	0.00
2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)	0.00	0.00
2b- Unrecaptured Section 1250 gain	0.00	0.00
2c- Section 1202 gain	0.00	
2d- Collectibles (28%) gain	0.00	
2e- Section 897 ordinary dividends	0.00	
2f- Section 897 capital gain	0.00	
3- Nondividend distributions	115.20	
4- Federal income tax withheld	0.00	
5- Section 199A dividends	0.00	
6- Investment expenses	0.00	
8- Foreign country or US possession:		
7- Foreign tax paid:		
9- Cash liquidation distributions	0.00	
10- Noncash liquidation distributions	0.00	
11- Exempt-interest dividends (includes line 12)	0.00	
12- Specified private activity bond interest dividends (AMT)	0.00	

SECTION 1256 CONTRACTS **2021 1099-B*** **OMB No. 1545-0715**

8- Profit or (loss) realized in 2021 on closed contracts 0.00

9- Unrealized profit or (loss) on open contracts-12/31/2020 0.00

10- Unrealized profit or (loss) on open contracts-12/31/2021 0.00

11- Aggregate profit or (loss) on contracts 0.00

If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.

*** 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.**

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)	122,985.55	117,399.40	0.00	0.00	5,586.15
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	122,985.55	117,399.40	0.00	0.00	5,586.15
Long	D (basis reported to the IRS)	262.99	254.00	0.00	0.00	8.99
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	262.99	254.00	0.00	0.00	8.99
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	123,248.54	117,653.40	0.00	0.00	5,595.14

Withholding	
Federal income tax withheld	7,104.40

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

Robinhood Securities LLC

Account 687980417

2021

02/11/2022

Summary Information
(continued)

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:	0.00
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
Tax-exempt obligations (covered lots)	0.00
Tax-exempt private activity obligations (AMT, covered lots)	0.00
14- Tax-exempt and tax credit bond CUSIP number	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

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	2,072.11

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- UJT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	0.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

Robinhood Securities LLC Account 687980417
 2021 1099-B* OMB No. 1545-0715 Proceeds from Broker and Barter Exchange Transactions
 (continued) 02/11/2022

INCOME TAX WITHHELD

1a- Description of property/CUSIP/Symbol	Federal Tax Withheld	State Tax Withheld	14- State Name	15- State ID Number
1c- Date sold or disposed / CUSIP: / Symbol: (cont'd)	7,104.40	2,072.11		
4- Total Federal income tax withheld	7,104.40	2,072.11		

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	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
CHURCHILL CAPITAL CORP IV / CUSIP: 171439102 / Symbol:							
5 transactions for 02/04/21. Total proceeds and cost reported to the IRS.							
	44,000	1,225.37	01/15/21	739.20	...	486.17	1 of 5 - Sale ²⁵
	45,000	1,253.22	01/25/21	1,098.45	...	154.77	2 of 5 - Sale ²⁵
	100,000	2,784.92	01/25/21	2,441.00	...	343.92	3 of 5 - Sale ²⁵
	155,000	4,316.63	01/25/21	3,783.55	...	533.08	4 of 5 - Sale ²⁵
	200,000	5,569.85	01/25/21	4,882.00	...	687.85	5 of 5 - Sale ²⁵
02/04/21	544,000	15,149.99	Various	12,944.20	...	2,205.79	Total of 5 transactions
E2OPEN PARENT HOLDINGS, INC. / CUSIP: 29788T103 / Symbol:							
2 transactions for 06/10/21. Total proceeds and cost reported to the IRS.							
	100,000	1,366.98	01/14/21	1,150.00	...	216.98	1 of 2 - Sale ²⁵
	100,000	1,366.98	01/20/21	1,111.00	...	255.98	2 of 2 - Sale ²⁵
06/10/21	200,000	2,733.96	Various	2,261.00	...	472.96	Total of 2 transactions
LUCID GROUP, INC. COMMON STOCK / CUSIP: 549498103 / Symbol:							
	100,000	3,401.26	02/24/21	2,896.00	...	505.26	Sale ²⁵
10/28/21							
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
2 transactions for 01/25/21. Total proceeds and cost reported to the IRS.							
	200,000	559.96	05/28/20	566.00	...	-6.04	1 of 2 - Sale ²⁵
	100,000	279.98	05/28/20	283.00	...	-3.02	2 of 2 - Sale ²⁵
01/25/21	300,000	839.94	Various	849.00	...	-9.06	Total of 2 transactions
4 transactions for 12/10/21. Total proceeds and cost reported to the IRS.							
	54,000	64.79	11/30/21	62.64	...	2.15	1 of 4 - Sale ²⁵

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Robinhood Securities LLC

Account 687980417

2021 1099-B* OMB No. 1545-0715

02/11/2022

Proceeds from Broker and Barter Exchange Transactions

(continued)

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	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
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol: (cont'd)							
		89.99	11/30/21	87.00	...	2.99	2 of 4 - Sale ²⁵
		207.58	11/30/21	200.68	...	6.90	3 of 4 - Sale ²⁵
		477.55	11/30/21	461.68	...	15.87	4 of 4 - Sale ²⁵
		839.91	Various	812.00	...	27.91	Total of 4 transactions
		1,679.85		1,661.00	...	18.85	
Security total:							
SOFI TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 83406F102 / Symbol:							
		9 transactions for 10/18/21. Total proceeds and cost reported to the IRS.					
		2,236.65	01/08/21	1,998.00	...	238.65	1 of 9 - Sale ²⁵
		6,212.92	02/22/21	6,600.00	...	-387.08	2 of 9 - Sale ²⁵
		2,795.82	02/22/21	2,970.00	...	-174.18	3 of 9 - Sale ²⁵
		745.55	02/22/21	792.00	...	-46.45	4 of 9 - Sale ²⁵
		600.58	02/22/21	638.00	...	-37.42	5 of 9 - Sale ²⁵
		1,304.71	02/23/21	1,236.69	...	68.02	6 of 9 - Sale ²⁵
		9,050.17	02/23/21	8,582.68	...	467.49	7 of 9 - Sale ²⁵
		724.84	08/26/21	504.70	...	220.14	8 of 9 - Sale ²⁵
		724.84	08/26/21	504.70	...	220.14	9 of 9 - Sale ²⁵
		24,396.08	Various	23,826.77	...	569.31	Total of 9 transactions
10/18/21		8 transactions for 12/10/21. Total proceeds and cost reported to the IRS.					
		1,500.00	12/03/21	22,500.00	...	16.35	1 of 8 - Sale ²⁵
		25.000	12/10/21	374.75	...	1.00	2 of 8 - Sale ²⁵
		46.000	12/10/21	689.54	...	1.83	3 of 8 - Sale ²⁵
		54.000	12/10/21	809.46	...	2.15	4 of 8 - Sale ²⁵
		100.000	12/10/21	1,499.00	...	3.98	5 of 8 - Sale ²⁵
		400.000	12/10/21	5,996.00	...	15.91	6 of 8 - Sale ²⁵
		400.000	12/10/21	5,996.00	...	15.92	7 of 8 - Sale ²⁵
		475.000	12/10/21	7,120.25	...	18.90	8 of 8 - Sale ²⁵
		3,000.000	Various	44,985.00	...	76.04	Total of 8 transactions
12/10/21		10 transactions for 12/30/21. Total proceeds and cost reported to the IRS.					
		23.000	12/10/21	344.77	...	13.57	1 of 10 - Sale ²⁵
		69.000	12/10/21	1,034.31	...	40.69	2 of 10 - Sale ²⁵
		75.000	12/10/21	1,124.25	...	44.23	3 of 10 - Sale ²⁵
		100.000	12/10/21	1,499.00	...	58.98	4 of 10 - Sale ²⁵
		533.000	12/10/21	7,989.67	...	314.36	5 of 10 - Sale ²⁵

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Robinhood Securities LLC Account 687980417
2021 1099-B* OMB No. 1545-0715 02/11/2022
Proceeds from Broker and Barter Exchange Transactions
 (continued)

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	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
SOFI TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 83406F102 / Symbol: (cont'd)							
	700.000	10,905.86	12/10/21	10,493.00	...	412.86	6 of 10 - Sale ²⁵
	100.000	1,557.98	12/15/21	1,410.00	...	147.98	7 of 10 - Sale ²⁵
	200.000	3,115.96	12/15/21	2,820.00	...	295.96	8 of 10 - Sale ²⁵
	9.000	140.22	12/17/21	125.98	...	14.24	9 of 10 - Sale ²⁵
	91.000	1,417.76	12/17/21	1,273.85	...	143.91	10 of 10 - Sale ²⁵
12/30/21	1,900.000	29,601.61	Various	28,114.83	...	1,486.78	Total of 10 transactions
	Security total:	99,058.73		96,926.60	...	2,132.13	
VAXXINITY, INC. CLASS A COMMON STOCK / CUSIP: 92244V104 / Symbol:							
11/29/21	29.000	546.06	11/11/21	377.00	...	169.06	Sale ²⁵
NU HOLDINGS LTD. / CUSIP: G6683N103 / Symbol:							
12/10/21	29.000	333.21	12/09/21	261.00	...	72.21	Sale ²⁵
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
09/27/21	110.000	82.49	04/06/21	72.60	...	9.89	Sale ²⁵
Totals :		122,985.55		117,399.40		5,586.15	

LONG 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 II with Box D checked. Basis is provided to the IRS. (Line 12)

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

1a- Description of property/CUSIP/Symbol	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:							
09/28/21	100.000	262.99	06/05/20	254.00	...	8.99	Sale ²⁵
Totals :		262.99		254.00		8.99	

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Robinhood Securities LLC

Account 687980417

2021

02/11/2022

Detail for Dividends and Distributions

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
INVESCO MORTGAGE CAPITAL INC.	46131B100		07/27/21	57.60	Nondividend distribution	03
			10/26/21	57.60	Nondividend distribution	03
				115.20	Total Dividends & distributions	
				115.20	Total Dividends & distributions	

Robinhood Securities LLC

Account 687980417

Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
CHURCHILL CAPITAL CORP IV	171439102	07/26/21	-100.00	0.00	Exchange	
E2OPEN PARENT HOLDINGS, INC.	29788T103	02/05/21	200.00	0.00	Exchange	
INSU ACQUISITION CORP. II CLAS S A COMMON STOCK	457821106	02/10/21	-164.00	0.00	Exchange	
LUCID GROUP, INC. COMMON STOCK	549498103	07/26/21	100.00	0.00	Exchange	
METROMILE, INC. COMMON STOCK	591697107	02/10/21	164.00	0.00	Exchange	
SOFI TECHNOLOGIES, INC. COMMON STOCK	83406F102	06/01/21	1,108.00	0.00	Exchange	
CC NEUBERGER PRINCIPAL HOLDING S I	G1992Y114	02/05/21	-200.00	0.00	Exchange	
SOCIAL CAPITAL HEDOSOPHIA HOLD INGS CORP. V	G8252P105	06/01/21	-1,108.00	0.00	Exchange	

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.

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<p>Robinhood Securities LLC 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700</p> <p>PAYER'S TIN: 38-4019216</p>	<p>Tax Information Account 687980417</p> <p>Aseem Girdhar 333 Andover Dr 139 Burbank, CA 91504</p> <p>RECIPIENT'S TIN: XXX-XX-3492</p>	<p>Statement Date: 02/11/2022</p> <p>2021</p>
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California Form 592-B

RESIDENT AND NON RESIDENT WITHHOLDING TAX STATEMENT

This information is reported to the state of California. PAYER's State ID no: 38-4019216

- 1- Total income subject to withholding \$29,601.54
- 2- Total resident and/or nonresident tax withheld (excluding backup withholding) N/A
- 3- Total Backup Withholding \$2,072.11

Type of Income: Other

End of Form 592-B

Instructions for Payee

This withholding of tax does not relieve you of the requirement to file a California tax return.

You may be assessed a penalty if:

- You do not file a California tax return.
- You file your tax return late.
- The amount of withholding does not satisfy your tax liability.

How to Correct an Error

If a payee notices an error, the payee should contact the withholding agent. Only withholding agents can complete an amended Form 592-B. Upon completion, the withholding agent should provide a copy of the amended Form 592-B to the payee.

How to Claim the Withholding

Claim your withholding credit on one of the following:

- Form 540, California Resident Income Tax Return
- Form 540NR, California Nonresident or Part-Year Resident Income Tax Return
- Form 541, California Fiduciary Income Tax Return
- Form 100, California Corporation Franchise or Income Tax Return
- Form 100S, California S Corporation Franchise or Income Tax Return
- Form 109, California Exempt Organization Franchise or Income Tax Return - Water's Edge Filers
- Form 565, Partnership Return of Income
- Form 568, Limited Liability Company Return of Income

If you have backup withholding, you must contact the FTB to provide a valid TIN before filing a tax return. The following are acceptable TINs: SSN, ITIN, FEIN, CA Corp no., or CA SOS file number. Failure to provide a valid TIN will result in the denial of the backup withholding credit. Using the information provided on this page, contact the FTB as soon as you receive this form.

Report the income as required and enter the amount from Form 592-B, Part IV, line 2 on your California tax return as withholding from Form(s) 592-B or 593. Attach a copy of Form 592-B to your California tax return. If you received a composite statement from a broker, attach only the Form 592-B information. Keep a copy for a minimum of five years and provide it to the FTB upon request.

If you are an S corporation, partnership, or LLC, you may either pass through the entire amount to your shareholders, partners, or members or claim the withholding, to the extent of your outstanding tax liability, on your tax return.

If the withholding exceeds the amount of tax you owe on your tax return, you must pass through the excess to your shareholders, partners, or members.

If you do not have an outstanding balance on your tax return, you must pass through the entire amount to your shareholders, partners, or members. Use Form 592-PTE to pass the withholding to your domestic shareholders, partners, or members. Use Form 592-F to pass the withholding to your foreign (non U.S.) partners or members.

If you are an estate or trust, you must pass through the withholding to your beneficiaries if the related income was distributed. Use Form 592-PTE to pass through the withholding to your beneficiaries. If you did not distribute the income, you must claim the withholding on the fiduciary return, Form 541, California Fiduciary Income Tax Return.

The amount shown as "Total income subject to withholding" may be an estimate or may only reflect how withholding was calculated. Be sure to report your actual taxable California source income. If you are an independent contractor or receive rent, endorsement income, royalties, see your contract and/or federal Form 1099 to determine your California source income. If you are a shareholder of an S-corporation, partner in a partnership, or a member in an LLC, see your California Schedule K-1, Share of Income, Deductions, Credits, etc., issued by that entity to determine your California source income.

Additional Information**Website:**

For more information go to ftb.ca.gov and search for **nonwage**.

MyFTB offers secure online tax account information and services.

For more information, go to ftb.ca.gov and login or register for MyFTB.

Telephone:

888.792.4900 or 916.845.4900,

Withholding Services and

Compliance phone service

Fax: 916.845.9512

Mail:

WITHHOLDING SERVICES AND

COMPLIANCE MS F182 FRANCHISE TAX BOARD

PO BOX 942867 SACRAMENTO CA 94267-0651

For questions unrelated to withholding, or to download, view, and print California tax forms and publications, or to access the TTY/TDD numbers, see the information below.

Internet and Telephone Assistance**Website: ftb.ca.gov**

Telephone: 800.852.5711 from within the United States

916.845.6500 from outside the United States

TTY/TDD: 800.822.6268 for persons with hearing or speech disability

711 or 800.735.2929 California relay service.

Asistencia Por Internet y Teléfono

Sitio web: ftb.ca.gov

Teléfono: 800.852.5711 dentro de los Estados Unidos

916.845.6500 fuera de los Estados Unidos

TTY/TDD: 800.822.6268 para personas con discapacidades auditivas o de habla

711 ó 800.735.2929 servicio de relevo de California

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**

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-A 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 1040-SR.

Instructions for Recipient

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.

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/efile or www.irs.gov/FreeFile.

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) 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/efile or www.irs.gov/FreeFile.

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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