PAYER'S TIN: 38-4019216	RECIPIENT'S TIN: XXX-XX-7	567		
[ ] FATCA filing requirement (see instructions)	Summary Info	rmation		
DIVIDENDS AND DISTRIBUTIONS 2021 1099-D	IV* OMB No. 1545-0110	MISCELLANEOUS INFOR	MATION 2021 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5, 2e)	0.72	2- Royalties		0.00
1b- Qualified dividends	0.72	3- Other income		0.00
2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)	0.00	4- Federal income tax withheld		0.00
2b- Unrecaptured Section 1250 gain	0.00	8- Substitute payments in lieu of	dividends or interest	0.00
2c- Section 1202 gain	0.00			
2d- Collectibles (28%) gain	0.00	SECTION 1256 CONTRACT	S 2021 1099-B*	OMB No. 1545-0715
2e- Section 897 ordinary dividends	0.00	O Duefit au (lane) madine d in 2024		0.00
2f- Section 897 capital gain	0.00	8- Profit or (loss) realized in 2021		0.00
3- Nondividend distributions	0.00	9- Unrealized profit or (loss) on o		0.00
4- Federal income tax withheld	0.00	10- Unrealized profit or (loss) on o		0.00
5- Section 199A dividends	0.00	11- Aggregate profit or (loss) on co	ontracts	0.00
6- Investment expenses	0.00	If applicable presents from as	a transactions appear aummarized hal	low and ara
8- Foreign country or US possession: 7- Foreign tax paid:	0.00	• • • • •	le transactions appear summarized bel	ow and are
9- Cash liquidation distributions	0.00	detailed in subsequent sections		0
10- Noncash liquidation distributions		s is important tax information and is		
11- Exempt-interest dividends (includes line 12)		u are required to file a return, a negl		
12- Specified private activity bond interest dividends (AMT)	<sub>0.00</sub> you	f this income is taxable and the IRS of	etermines that it has not been repor	ted.

## 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)	6,198.16	5,485.12	0.00	0.00	713.04
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	6,198.16	5,485.12	0.00	0.00	713.04
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	6,198.16	5,485.12	0.00	0.00	713.04
Withholding		Amount				
Federal income	tax withheld	0.00				

Account 520425182

**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.

<ul><li>1- Interest income (not included in line 3)</li><li>2- Early withdrawal penalty</li></ul>	0.00 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
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	

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

#### STATE TAX WITHHELD

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

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

## ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

### RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

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

#### **Robinhood Securities LLC**

## **Proceeds from Broker and Barter Exchange Transactions**

02/11/2022

Account 520425182

2021 **1099-B\*** OMB No. 1545-0715

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

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 - IXI 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

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.

									USIP/Symbol	1a- Description of prope
al information	Additional inf	n or loss(-) & t allowed (X) reported (Z)	7- Loss not	crued mkt disc (D) & 1g- Wash sale loss disallowed (W)	r	1e- Cost or other basis	1b- Date acquired	d- Proceeds & 6- Reported G)ross or (N)et	Quantity	1c- Date sold or disposed
							l:	65C104 / Symbo	DINGS, IN C. / CUSIP:	AMC ENTERTAINMENT
						ted to the IRS.	ds and cost repo	/21. Total proceed	4 transactions for 06	
ale <sup>25</sup>	1 of 4 - Sale 25	1.72			9	25.00	06/02/21	26.72	0.459	
ale <sup>25</sup>	2 of 4 - Sale 25	2.45			4	54.64	06/02/21	57.09	0.982	
ale <sup>25</sup>	3 of 4 - Sale 25	19.04			6	445.36	06/02/21	464.40	8.000	
ale <sup>25</sup>	4 of 4 - Sale 25	26.83			9	500.00	06/02/21	526.83	10.161	
transactions	Total of 4 trans	50.04			)	1,025.00	Various	1,075.04	19.602	06/02/21
	Sale 25	14.36			3	71.28	09/29/21	85.64	2.000	10/18/21
		64.40			3	1,096.28		1,160.68	ecurity total:	
							100 / Symbol:	/ CUSIP: 00217D	ASS A COMMON STO	AST SPACEMOBILE, IN
	Sale <sup>25</sup>	12.07			1	52.71	06/09/21	64.78	4.908	06/30/21
							/ Symbol:	JSIP: 00534A102	C. COMM ON STOCK	ADAGIO THERAPEUTIC
	Sale <sup>25</sup>	10.86			5	14.35	12/14/21	25.21	2.000	12/17/21
							06/09/21 :/ Symbol:	64.78 JSIP: 00534A102	4.908 C. COMM ON STOCK	06/30/21 ADAGIO THERAPEUTIC

<sup>\*</sup> 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, taxpavers are ultimately responsible for the accuracy of their tax return(s).

## **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)

1a- Description of property/C	USIP/Symbol						
1c- Date sold or		1d- Proceeds & 6- Reported	1b- Date	1e- Cost or	1f- Accrued mkt disc (D) & 1g- Wash sale loss	Gain or loss(-) & 7- Loss not allowed (X)	
disposed	Quantity	(G)ross or (N)et	acquired	other basis	disallowed (W)	also not reported (Z)	Additional information
AGENUS INC. COMMON STO	OCK / CUSIP: 00847	7G705 / Symbol:					
06/02/21	1.000	4.23	03/16/21	3.48		0.75	Sale <sup>25</sup>
ANAPLAN, INC. / CUSIP: 032	72L108 / Symbol:						
12/09/21	2.000	92.67	11/24/21	83.78		8.89	Sale <sup>25</sup>
ATEA PHARMACEUTICALS,	INC. COM MON ST	OCK / CUSIP: 04683R10	6 / Symbol:				
	3 transactions fo	r 10/01/21. Total proceed	s and cost repo	orted to the IRS.			
	0.001	0.06	07/01/21	0.03	•••	0.03	1 of 3 - Sale <sup>25</sup>
	0.620	25.83	07/01/21	13.41		12. <i>4</i> 2	2 of 3 - Sale <sup>25</sup>
	3.999	166.70	07/01/21	86.56		80.1 <b>4</b>	3 of 3 - Sale <sup>25</sup>
10/01/21	4.620	192.59	Various	100.00		92.59	Total of 3 transactions
BHP GROUP LIMITED AMER	ICAN DEP OSITAR	Y SHARES (EACH REPR	RESENT ING T	WO ORDINARY S	HARES) / CUSIP: 088606108	/ Symbol:	
	3 transactions fo	r 07/23/21. Total proceed	s and cost repo	orted to the IRS.			
	0.039	3.01	07/22/21	3.00		0.01	1 of 3 - Sale <sup>25</sup>
	0.002	0.19	07/22/21	0.18		0.01	2 of 3 - Sale <sup>25</sup>
	1.998	152.56	07/22/21	151.82		0.74	3 of 3 - Sale <sup>25</sup>
07/23/21	2.039	155.76	Various	155.00	•••	0.76	Total of 3 transactions
CHARGEPOINT HOLDINGS,	INC. / CUSIP: 1596	1R105 / Symbol:					
	3 transactions fo	r 11/01/21. Total proceed	s and cost repo	orted to the IRS.			
	0.114	2.94	07/21/21	2.81	•••	0.13	1 of 3 - Sale <sup>25</sup>
	0.147	3.77	07/21/21	3.60		0.17	2 of 3 - Sale <sup>25</sup>
	7.886	202.58	07/21/21	193.59		8.99	3 of 3 - Sale <sup>25</sup>
11/01/21	8.147	209.29	Various	200.00	•••	9.29	Total of 3 transactions
CHURCHILL CAPITAL CORP	IV / CUSIP: 171439	9102 / Symbol:					
06/30/21	3.776	107.26	06/08/21	100.00		7.26	Sale <sup>25</sup>
07/23/21	8.921	213.60	07/19/21	200.00	•••	13.60	Sale <sup>25</sup>
Se	ecurity total:	320.86		300.00		20.86	
THE WALT DISNEY COMPAN	NY / CUSIP: 254687	'106 / Symbol:					
05/12/21	0.051	9.29	03/17/21	10.00		-0.71	Sale <sup>25</sup>

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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)

1a- Description of prope	erty/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
ELECTRAMECCANICA	VEHICLES CORP . LTD.	. COMMON STOCK / CU	SIP: 284849205	/ Symbol:			
11/15/21	10.000	40.02	09/02/21	36.00		4.02	Sale <sup>25</sup>
ELIEM THERAPEUTICS	, INC COMMON STOCK	( / CUSIP: 28658R106 / S	ymbol:				
11/08/21	1.000	15.66	10/07/21	15.25	•••	0.41	Sale <sup>25</sup>
ENOCHIAN BIOSCIENC	ES, INC. COM MON STO	OCK / CUSIP: 29350E10	4 / Symbol:				
	4 transactions fo	or 09/07/21. Total proceed	ds and cost repo	rted to the IRS.			
	8.988	71.82	06/14/21	71.91	•••	-0.09	1 of 4 - Sale <sup>25</sup>
	0.012	0.09	06/14/21	0.09		0.00	2 of 4 - Sale <sup>25</sup>
	0.190	1.52	06/14/21	1.50		0.02	3 of 4 - Sale <sup>25</sup>
	0.822	6.56	06/14/21	6.50		0.06	4 of 4 - Sale <sup>25</sup>
09/07/21	10.012	79.99	Various	80.00		-0.01	Total of 4 transactions
EVERBRIDGE, INC. CO	MMON STOCK / CUSIP:	: 29978A104 / Symbol:					
12/13/21	1.000	70.46	12/10/21	62.78		7.68	Sale <sup>25</sup>
FUELCELL ENERGY, IN	IC. COMMON S TOCK /	CUSIP: 35952H601 / Syr	mbol:				
	2 transactions fo	or 09/27/21. Total proceed	ds and cost repo	rted to the IRS.			
	0.029	0.23	05/14/21	0.22		0.01	1 of 2 - Sale <sup>25</sup>
	13.000	99.91	05/14/21	99.78		0.13	2 of 2 - Sale <sup>25</sup>
09/27/21	13.029	100.14	Various	100.00	···	0.14	Total of 2 transactions
GENIUS BRANDS INTE	RNATIONAL, I NC. COM	IMON STOCK / CUSIP: 3	7229T301 / Sym	nbol:			
08/04/21	35.714	55.18	05/17/21	50.00		5.18	Sale <sup>25</sup>
INTRUSION INC. COMM	ION STOCK / CUSIP: 46	3121E205 / Symbol:					
09/23/21	5.000	21.70	08/03/21	21.71	•••	-0.01	Sale <sup>25</sup>
LORDSTOWN MOTORS	CORP. CLASS A COM	MON STOCK / CUSIP: 54	4405Q100 / Sym	bol:			
	2 transactions fo	or 06/21/21. Total proceed	ds and cost repo	rted to the IRS.			
	0.923	9.40	06/01/21	9.35		0.05	1 of 2 - Sale <sup>25</sup>
	4.996	50.89	06/01/21	50.65		0.24	2 of 2 - Sale <sup>25</sup>
06/21/21	5.919	60.29	Various	60.00		0.29	Total of 2 transactions
	3 transactions fo	or 09/17/21. Total proceed	ds and cost repo	rted to the IRS.			
	0.006	0.04	07/27/21	0.04		0.00	1 of 3 - Sale <sup>25</sup>

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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)

1a- Description of pro	perty/CUSIP/Symbol						
1c- Date		1d- Proceeds &			1f- Accrued mkt disc (D) &	Gain or loss(-) &	
sold or	Quantity	6- Reported	1b- Date	1e- Cost or	1g- Wash sale loss disallowed (W)	7- Loss not allowed (X)	Additional information
disposed	Quantity	(G)ross or (N)et	acquired	other basis	disallowed (vv)	also not reported (2)	Additional information
LORDSTOWN MOTOR	RS CORP. CLASS A COMN	MON STOCK / CUSIP: 54	4405Q100 / Syn	nbol: (cont'd)			
	0.124	0.87	07/27/21	0.84		0.03	2 of 3 - Sale <sup>25</sup>
	7.994	56.00	07/27/21	54.12		1.88	3 of 3 - Sale <sup>25</sup>
09/17/21	8.124	56.91	Various	55.00	•••	1.91	Total of 3 transactions
11/11/21	4.000	27.40	10/05/21	21.10		6.30	Sale <sup>25</sup>
	Security total:	144.60		136.10	•••	8.50	
LUCID GROUP, INC. (	COMMON STOCK / CUSIP:	: 549498103 / Symbol:					
	4 transactions for	r 09/21/21. Total proceed	ds and cost repo	rted to the IRS.			
	0.600	16.05	08/04/21	13.69		2.36	1 of 4 - Sale <sup>25</sup>
	2.800	74.88	08/04/21	63.87		11.01	2 of 4 - Sale <sup>25</sup>
	3.700	98.94	08/04/21	84.41		14.53	3 of 4 - Sale <sup>25</sup>
	2.500	66.85	08/27/21	53.23		13.62	4 of 4 - Sale <sup>25</sup>
09/21/21	9.600	256.72	Various	215.20		41.52	Total of 4 transactions
11/04/21	8.000	295.44	10/11/21	183.84		111.60	Sale <sup>25</sup>
	Security total:	552.16		399.04		153.12	
MARAVAI LIFESCIEN	CES HOLDINGS, INC. CLA	ASS A COMMON STOCK	( / CUSIP: 5660	0D107 / Symbol:			
11/30/21	1.000	45.15	11/05/21	35.00	•••	10.15	Sale <sup>25</sup>
MONTAUK RENEWAE	BLES, INC. COMMO N STO	OCK / CUSIP: 61218C103	3 / Symbol:				
08/17/21	6.000	52.44	06/30/21	44.85		7.59	Sale <sup>25</sup>
08/18/21	0.897	7.24	06/30/21	6.70		0.54	Sale <sup>25</sup>
	Security total:	59.68		51.55	***	8.13	
NIO INC. AMERICAN I	DEPOSITARY S HARES, E	ACH REPRESENTING (	ONE C LASS A	ORDINARY SHAR	E / CUSIP: 62914V106 / Sym	nbol:	
	3 transactions for	r 06/01/21. Total proceed	ds and cost repo	rted to the IRS.			
	0.014	0.55	04/14/21	0.53		0.02	1 of 3 - Sale <sup>25</sup>
	0.088	3.61	04/14/21	3.47		0.14	2 of 3 - Sale <sup>25</sup>
	5.000	204.05	04/14/21	196.00		8.05	3 of 3 - Sale <sup>25</sup>
06/01/21	5.102	208.21	Various	200.00		8.21	Total of 3 transactions
	6 transactions for	r 11/04/21. Total proceed	ds and cost repo	rted to the IRS.			
	0.155	6.80	07/27/21	6.02		0.78	1 of 6 - Sale <sup>25</sup>
	0.600	26.29	07/27/21	23.28	•••	3.01	2 of 6 - Sale <sup>25</sup>
	4.400	192.76	07/27/21	170.70		22.06	3 of 6 - Sale <sup>25</sup>

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02/11/2022

Robinhood Securities LLC Account 520425182

## 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.

**1099-B\*** OMB No. 1545-0715

2021

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
NIO INC. AMERICAN	I DEPOSITARY S HARES, E	ACH REPRESENTING (	ONE C LASS A C	RDINARY SHAR	E / CUSIP: 62914V106 / Sym	bol: (cont'd)	
11/04/21 11/22/21	0.200 1.000 2.400 8.755 6.000 Security total:	8.76 43.81 105.15 383.57 251.32 <b>843.10</b>	08/17/21 08/17/21 08/23/21 Various 11/18/21	7.55 37.79 91.67 337.01 225.81 <b>762.82</b>	  	1.21 6.02 13.48 46.56 25.51 <b>80.28</b>	4 of 6 - Sale <sup>25</sup> 5 of 6 - Sale <sup>25</sup> 6 of 6 - Sale <sup>25</sup> Total of 6 transactions Sale <sup>25</sup>
NIKOLA CORPORAT	TION COMMON STOC K / C		ol:	7 02.02	<b></b>	33.23	
		r 09/27/21. Total proceed		ted to the IRS.			
09/27/21 11/04/21 12/23/21	0.372 8.000 8.372 10.000 10.000 Security total:	4.50 96.80 101.30 140.10 110.13 <b>351.53</b>	05/14/21 05/14/21 Various 10/01/21 11/22/21	4.44 95.56 100.00 108.35 109.27 <b>317.62</b>	   	0.06 1.24 1.30 31.75 0.86 <b>33.91</b>	1 of 2 - Sale <sup>25</sup> 2 of 2 - Sale <sup>25</sup> Total of 2 transactions Sale <sup>25</sup> Sale <sup>25</sup>
NI ICANA DI CAMED	RICAN DEPOSITARY SHARI		Symbol:	317.02	···	33.31	
NOCANAT LO AMEN		or 09/29/21. Total proceed	-	ted to the IRS			
09/29/21	0.011 0.044 6.989 7.044	0.03 0.13 20.83 20.99	06/28/21 06/28/21 06/28/21 Various	0.03 0.12 19.85 20.00	  	0.00 0.01 0.98 0.99	1 of 3 - Sale <sup>25</sup> 2 of 3 - Sale <sup>25</sup> 3 of 3 - Sale <sup>25</sup> Total of 3 transactions
	MMON STOCK / CUSIP: 682	•					
10/13/21 PLUG POWER, INC.	3.000 COMMON STOCK / CUSIP	60.59 : 72919P202 / Symbol:	08/05/21	57.15		3.44	Sale <sup>25</sup>
06/30/21 09/17/21	1.265 4.000 Security total:	43.36 105.08 <b>148.44</b>	06/01/21 08/04/21	38.21 103.28 <b>141.49</b>	  	5.15 1.80 <b>6.95</b>	Sale <sup>25</sup> Sale <sup>25</sup>
RAKUTEN GROUP,	INC AMERICAN DE POSITA	RY RECEIPTS - SPONS	ORED / CUSIP:	75102W108 / Syn	nbol:		
07/12/21	4.000	47.76	05/12/21	47.28		0.48	Sale <sup>25</sup>

<sup>\*</sup> 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).

## **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)

1a- Description of pro	perty/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
ROBINHOOD MARKE	TS, INC. CLASS A COMMO	ON STOCK / CUSIP: 770	700102 / Symbo	l:			
08/03/21	4.000	174.92	07/29/21	152.00		22.92	Sale <sup>25</sup>
SIRIUS XM HOLDING	S INC. COMMON STOCK /	CUSIP: 82968B103 / Sy	mbol:				
06/02/21	4.237	26.69	05/17/21	25.00		1.69	Sale <sup>25</sup>
SUNDIAL GROWERS	INC. COMMON SH ARES	CUSIP: 86730L109 / Sy	mbol:				
		r 08/04/21. Total proceed		ted to the IRS.			
	15.000	11.71	05/12/21	11.49		0.22	1 of 2 - Sale <sup>25</sup>
	67.000	52.32	05/14/21	47.06		5.26	2 of 2 - Sale <sup>25</sup>
08/04/21	82.000	64.03	Various	58.55		5.48	Total of 2 transactions
11/15/21	10.000	9.09	08/17/21	7.47		1.62	Sale <sup>25</sup>
	Security total:	73.12		66.02		7.10	
TUSIMPLE HOLDING	S INC. CLASS A COMMON	STOCK / CUSIP: 90089	L108 / Symbol:				
	2 transactions for	r 08/24/21. Total proceed	ls and cost repor	ted to the IRS.			
	0.333	15.68	07/19/21	15.39	···	0.29	1 of 2 - Sale <sup>25</sup>
	4.000	188.02	07/19/21	184.61		3.41	2 of 2 - Sale <sup>25</sup>
08/24/21	4.333	203.70	Various	200.00		3.70	Total of 2 transactions
11/12/21	5.000	205.78	09/08/21	203.61	***	2.17	Sale <sup>25</sup>
12/23/21	5.000	185.75	12/09/21	180.91		4.84	Sale <sup>25</sup>
	Security total:	595.23		584.52		10.71	
VELODYNE LIDAR, IN	NC. COMMON ST OCK / CL	JSIP: 92259F101 / Symb	ol:				
08/24/21	14.000	101.54	08/23/21	101.08		0.46	Sale <sup>25</sup>
VIR BIOTECHNOLOG	BY, INC. COMMON STOCK	/ CUSIP: 92764N102 / S	ymbol:				
11/30/21	1.000	49.07	10/01/21	33.80	•••	15.27	Sale <sup>25</sup>
VIRGIN GALACTIC H	OLDINGS, INC. / CUSIP: 92	766K106 / Symbol:					
	3 transactions for	r 06/28/21. Total proceed	ls and cost repor	ted to the IRS.			
	0.001	0.03	06/01/21	0.02		0.01	1 of 3 - Sale <sup>25</sup>
	0.108	5.92	06/01/21	3.06	···	2.86	2 of 3 - Sale <sup>25</sup>
	1.999	109.97	06/01/21	56.92		53.05	3 of 3 - Sale <sup>25</sup>
06/28/21	2.108	115.92	Various	60.00		55.92	Total of 3 transactions

<sup>\*</sup> 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).

02/11/2022

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**Robinhood Securities LLC** Account 520425182 **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.

**1099-B\*** OMB No. 1545-0715

2021

1a- Description of prop	erty/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
WORKHORSE GROUP	, INC. COMMON S TOCK	/ CUSIP: 98138J206 / S	ymbol:				
	2 transactions fo	r 06/30/21. Total proceed	ls and cost repor	ted to the IRS.			
06/30/21	0.314 6.000 6.314	5.25 100.38 105.63	<i>05/14/</i> 2 <i>1</i> <i>05/14/</i> 2 <i>1</i> Various	2.48 47.52 50.00	 	2.77 52.86 55.63	1 of 2 - Sale <sup>25</sup> 2 of 2 - Sale <sup>25</sup> Total of 2 transactions
EROS STX GLOBAL CO	ORPORATION / CUSIP: G	3788M114 / Symbol:					
09/02/21 RISKIFIED LTD. / CUSII	25.000 P: M8216R109 / Symbol:	21.50	08/04/21	21.31		0.19	Sale <sup>25</sup>
11/04/21 Totals :	2.000	42.03 <b>6,198.16</b>	07/29/21	42.00 <b>5,485.12</b>		0.03 <b>713.04</b>	Sale <sup>25</sup>

<sup>\*</sup> 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 Detail for Dividends and Distributions 2021 Account 520425182 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 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
JOANN, INC. COMMON STOCK	47768J101		09/24/21	0.20	Qualified dividend	
			12/29/21	0.20	Qualified dividend	
				0.40	Total Dividends & distributions	
SMITH & WESSON BRANDS, INC. CO MMON STOCK	831754106		09/28/21	0.32	Qualified dividend	
				0.72	Total Dividends & distributions	

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## **2021 End Notes for Account 520425182**

**Robinhood Securities LLC** 

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

#### Common Instructions for Recipient

Recipient's taxpaver 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 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.

#### 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 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 nonSection 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.