

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 976438887	Statement Date: 03/02/2022 AMENDED Document ID: W5B1 N25 HH0X	2021
	Prakash Boyappally 8635 Evesham Ct N Henrico, VA 23294	RECIPIENT'S TIN: XXX-XX-0807	

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2021 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e) 103.23</p> <p>1b- Qualified dividends 103.18</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 103.25</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: See detail 0.08</p> <p>7- Foreign tax paid: 0.08</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 11.22</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)	23,544.77	20,113.98	0.00	24.50	3,455.29 C
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	23,544.77	20,113.98	0.00	24.50	3,455.29
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	23,544.77	20,113.98	0.00	24.50	3,455.29

Withholding	Amount
Federal income tax withheld	0.00

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

Robinhood Securities LLC

Account 976438887

Summary Information

2021

(continued)

03/02/2022 AMENDED

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	79.32
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 976438887

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

03/02/2022 AMENDED

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 For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.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

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

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

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

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 05/07/2021 CALL \$135.00 / CUSIP: / Symbol:							
04/05/21	1.000	123.98	03/29/21	116.00	...	7.98	Option sale to close-call ²⁵
AMC 03/12/2021 CALL \$10.00 / CUSIP: / Symbol:							
03/08/21	1.000	90.98	03/08/21	39.00	...	51.98	Option sale to close-call ²⁵
AMC 03/19/2021 CALL \$10.00 / CUSIP: / Symbol:							
02/24/21	1.000	202.98	02/24/21	83.00	...	119.98	Option sale to close-call ²⁵
BABA 07/16/2021 CALL \$250.00 / CUSIP: / Symbol:							
06/29/21	1.000	120.98	06/28/21	107.00	...	13.98	Option sale to close-call ²⁵
BW 08/20/2021 CALL \$7.50 / CUSIP: / Symbol:							
01/26/21	1.000	209.98	01/25/21	157.00	...	52.98	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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BYND 07/16/2021 CALL \$152.50 / CUSIP: / Symbol:							
07/08/21	1.000	152.98	07/07/21	131.00	...	21.98	Option sale to close-call ²⁵
CCIV 02/19/2021 PUT \$22.50 / CUSIP: / Symbol:							
01/22/21	1.000	579.97	01/22/21	570.00	...	9.97	Option sale to close-put ²⁵
CHWY 06/18/2021 CALL \$85.00 / CUSIP: / Symbol:							
06/07/21	1.000	198.98	06/07/21	145.00	...	53.98	Option sale to close-call ²⁵
DG 03/26/2021 CALL \$210.00 / CUSIP: / Symbol:							
03/17/21	1.000	54.98	03/15/21	115.00	...	-60.02	Option sale to close-call ²⁵
DIS 02/12/2021 CALL \$200.00 / CUSIP: / Symbol:							
02/08/21	1.000	128.98	02/04/21	100.00	...	28.98	Option sale to close-call ²⁵
DOCU 03/05/2021 CALL \$290.00 / CUSIP: / Symbol:							
02/05/21	1.000	-27.02	02/04/21	0.00	...	-27.02	Short sale closed- call ²⁵ Option written: 02/04/21
DOCU 03/12/2021 CALL \$290.00 / CUSIP: / Symbol:							
02/04/21	1.000	429.98	02/02/21	320.00	...	109.98	Option sale to close-call ²⁵
EA 03/19/2021 CALL \$170.00 / CUSIP: / Symbol:							
02/25/21	1.000	8.98	02/19/21	49.00	...	-40.02	Option sale to close-call ²⁵
F 02/05/2021 CALL \$11.00 / CUSIP: / Symbol:							
02/03/21	1.000	48.98	02/01/21	53.00	...	-4.02	Option sale to close-call ²⁵
FCEL 01/20/2023 CALL \$15.00 / CUSIP: / Symbol:							
02/18/21	1.000	1,209.96	12/03/20	475.00	...	734.96	Option sale to close-call ²⁵
FCEL 02/19/2021 CALL \$16.00 / CUSIP: / Symbol:							
02/19/21	1.000	-239.02	02/18/21	0.00	...	-239.02	Short sale closed- call ²⁵ Option written: 12/18/20
FROG 02/19/2021 CALL \$70.00 / CUSIP: / Symbol:							
02/11/21	1.000	209.98	02/10/21	215.00	...	-5.02	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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

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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
FSR 03/05/2021 CALL \$22.00 / CUSIP: / Symbol:							
02/24/21	1.000	70.98	02/22/21	65.00	...	5.98	Option sale to close-call ²⁵
GLW 02/19/2021 CALL \$40.00 / CUSIP: / Symbol:							
01/08/21	1.000	66.98	01/06/21	64.00	...	2.98	Option sale to close-call ²⁵
IBM 01/29/2021 CALL \$140.00 / CUSIP: / Symbol:							
01/22/21	1.000	1.98	01/21/21	122.00	...	-120.02	Option sale to close-call ²⁵
JD 02/05/2021 CALL \$100.00 / CUSIP: / Symbol:							
02/02/21	1.000	48.98	02/01/21	32.00	...	16.98	Option sale to close-call ²⁵
KODK 02/19/2021 CALL \$10.00 / CUSIP: / Symbol:							
01/21/21	1.000	89.98	01/20/21	89.00	...	0.98	Option sale to close-call ²⁵
MCD 02/19/2021 CALL \$230.00 / CUSIP: / Symbol:							
02/18/21	1.000	0.98	02/10/21	27.00	...	-26.02	Option sale to close-call ²⁵
MGI 02/19/2021 CALL \$8.00 / CUSIP: / Symbol:							
01/28/21	1.000	36.98	01/27/21	70.00	...	-33.02	Option sale to close-call ²⁵
MRVL 01/20/2023 CALL \$70.00 / CUSIP: / Symbol:							
<i>2 transactions for 06/28/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	669.98	02/12/21	995.00	...	-325.02	1 of 2 - Option sale to close-call ²⁵
	1.000	684.98	03/05/21	315.00	...	369.98	2 of 2 - Option sale to close-call ²⁵
06/28/21	2.000	1,354.96	Various	1,310.00	...	44.96	Total of 2 transactions
MRVL 03/19/2021 CALL \$60.00 / CUSIP: / Symbol:							
02/19/21	1.000	119.98	02/09/21	110.00	...	9.98	Option sale to close-call ²⁵
MU 07/16/2021 CALL \$90.00 / CUSIP: / Symbol:							
07/01/21	1.000	38.98	06/28/21	124.00	...	-85.02	Option sale to close-call ²⁵
NAT 03/19/2021 CALL \$3.50 / CUSIP: / Symbol:							
02/04/21	1.000	21.98	02/01/21	20.00	...	1.98	Option sale to close-call ²⁵
NOK 01/20/2023 CALL \$4.00 / CUSIP: / Symbol:							
02/17/21	1.000	123.98	02/08/21	140.00	...	-16.02	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
OXY 02/19/2021 CALL \$26.00 / CUSIP: / Symbol: 02/11/21	1.000	74.98	02/09/21	80.00	...	-5.02	Option sale to close-call ²⁵
PLTR 08/13/2021 CALL \$30.00 / CUSIP: / Symbol: 08/12/21	1.000	0.98	08/11/21	5.00	...	-4.02	Option sale to close-call ²⁵
PLTR 08/20/2021 CALL \$26.00 / CUSIP: / Symbol: 08/11/21	1.000	24.98	07/06/21	134.00	...	-109.02	Option sale to close-call ²⁵
PYPL 10/15/2021 CALL \$300.00 / CUSIP: / Symbol: 07/26/21	1.000	2,108.97	06/22/21	1,213.00	...	895.97	Option sale to close-call ²⁵
PYPL 10/15/2021 CALL \$320.00 / CUSIP: / Symbol: 07/27/21	2.000	-994.02	07/26/21	0.00	...	-994.02	Short sale closed- call ²⁵ Option written: 06/22/21
PYPL 10/15/2021 CALL \$340.00 / CUSIP: / Symbol: 07/26/21	1.000	582.98	06/22/21	367.00	...	215.98	Option sale to close-call ²⁵
QS 02/19/2021 CALL \$70.00 / CUSIP: / Symbol: 02/16/21	1.000	39.98	02/12/21	160.00	...	-120.02	Option sale to close-call ²⁵
SLV 07/16/2021 CALL \$30.00 / CUSIP: / Symbol: 02/22/21	1.000	173.98	02/02/21	175.00	...	-1.02	Option sale to close-call ²⁵
TSN 03/19/2021 CALL \$80.00 / CUSIP: / Symbol: 01/27/21	1.000	27.98	01/20/21	26.00	...	1.98	Option sale to close-call ²⁵
UMC 02/19/2021 CALL \$10.00 / CUSIP: / Symbol: 01/19/21	1.000	100.98	01/14/21	60.00	...	40.98	Option sale to close-call ²⁵
VIAC 08/20/2021 CALL \$50.00 / CUSIP: / Symbol: 07/06/21	1.000	70.98	06/28/21	197.00	...	-126.02	Option sale to close-call ²⁵
ZI 03/19/2021 CALL \$70.00 / CUSIP: / Symbol: 02/23/21	1.000	94.98	02/19/21	130.00	...	-35.02	Option sale to close-call ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
01/22/21	50.000	167.75	01/19/21	150.48	...	17.27	Sale ²⁵
	4 transactions for 01/27/21. Total proceeds and cost reported to the IRS.						
	15.000	243.15	01/20/21	46.49	...	196.66	1 of 4 - Sale ²⁵
	15.000	268.00	01/20/21	46.49	...	221.51	2 of 4 - Sale ²⁵
	20.000	330.00	01/20/21	61.99	...	268.01	3 of 4 - Sale ²⁵
	50.000	946.97	01/20/21	154.98	...	791.99	4 of 4 - Sale ²⁵
01/27/21	100.000	1,788.12	Various	309.95	...	1,478.17	Total of 4 transactions
	Security total:	1,955.87		460.43	...	1,495.44	
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
06/28/21	10.000	213.12	06/28/21	212.98	...	0.14	Sale ²⁵
BABCOCK & WILCOX ENTERPRISES, INC. / CUSIP: 05614L209 / Symbol:							
02/19/21	50.000	321.55	02/19/21	325.39	...	-3.84	Sale ²⁵
02/23/21	50.000	333.25	02/19/21	325.39	...	7.86	Sale ²⁵
	Security total:	654.80		650.78	...	4.02	
BIOLASE, INC. COMMON STOCK / CUSIP: 090911207 / Symbol:							
01/13/21	100.000	110.49	01/12/21	88.96	...	21.53	Sale ²⁵
BRIGHTCOVE INC. COMMON STOCK / CUSIP: 10921T101 / Symbol:							
01/20/21	28.000	516.41	11/27/20	447.72	...	68.69	Sale ²⁵
CANAAN INC. AMERICAN DEPOSITARY SHARES / CUSIP: 134748102 / Symbol:							
	2 transactions for 01/28/21. Total proceeds and cost reported to the IRS.						
	25.000	129.06	01/26/21	129.50	...	-0.44	1 of 2 - Sale ²⁵
	25.000	129.25	01/26/21	129.50	...	-0.25	2 of 2 - Sale ²⁵
01/28/21	50.000	258.31	Various	259.00	...	-0.69	Total of 2 transactions
CAPRICOR THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 14070B309 / Symbol:							
01/25/21	20.000	123.80	01/19/21	104.00	...	19.80	Sale ²⁵

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Robinhood Securities LLC

Account 976438887

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CARRIER GLOBAL CORPORATION / CUSIP: 14448C104 / Symbol:							
2 transactions for 08/10/21. Total proceeds and cost reported to the IRS.							
	10.000	568.44	06/30/21	487.57	...	80.87	1 of 2 - Sale ²⁵
	20.000	1,134.79	06/30/21	975.14	...	159.65	2 of 2 - Sale ²⁵
08/10/21	30.000	1,703.23	Various	1,462.71	...	240.52	Total of 2 transactions
CHURCHILL CAPITAL CORP IV / CUSIP: 171439102 / Symbol:							
2 transactions for 01/19/21. Total proceeds and cost reported to the IRS.							
	8.000	146.00	01/12/21	117.92	...	28.08	1 of 2 - Sale ²⁵
	15.000	273.75	01/13/21	251.10	...	22.65	2 of 2 - Sale ²⁵
01/19/21	23.000	419.75	Various	369.02	...	50.73	Total of 2 transactions
CITIUS PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 17322U207 / Symbol:							
02/04/21	100.000	157.99	02/03/21	152.19	...	5.80	Sale ²⁵
CLOVER HEALTH INVESTMENTS, COR P. CLASS A COMMON STOCK / CUSIP: 18914F103 / Symbol:							
01/26/21	10.000	151.20	01/25/21	143.55	...	7.65	Sale ²⁵
02/09/21	10.000	133.00	02/08/21	129.90	...	3.10	Sale ²⁵
2 transactions for 06/08/21. Total proceeds and cost reported to the IRS.							
	10.000	170.09	02/08/21	129.90	...	40.19	1 of 2 - Sale ²⁵
	10.000	170.09	02/11/21	118.95	...	51.14	2 of 2 - Sale ²⁵
06/08/21	20.000	340.18	Various	248.85	...	91.33	Total of 2 transactions
06/09/21	20.000	397.44	02/18/21	217.90	...	179.54	Sale ²⁵
	Security total:	1,021.82		740.20	...	281.62	
CRONOS GROUP INC. COMMON SHARE / CUSIP: 22717L101 / Symbol:							
02/16/21	10.000	126.65	02/12/21	124.05	...	2.60	Sale ²⁵
GBS INC. COMMON STOCK / CUSIP: 36151G105 / Symbol:							
01/14/21	25.000	191.75	12/23/20	308.00	...	-116.25	Sale ²⁵
GEE GROUP INC. / CUSIP: 36165A102 / Symbol:							
07/12/21	500.000	314.84	06/09/21	312.15	...	2.69	Sale ²⁵

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Robinhood Securities LLC

Account 976438887

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
GLOBALSTAR, INC. / CUSIP: 378973408 / Symbol:							
2 transactions for 02/10/21. Total proceeds and cost reported to the IRS.							
	50.000	142.99	02/09/21	78.50	...	64.49	1 of 2 - Sale ²⁵
	100.000	285.99	02/09/21	142.89	...	143.10	2 of 2 - Sale ²⁵
02/10/21	150.000	428.98	Various	221.39	...	207.59	Total of 2 transactions
09/08/21	70.000	186.30	02/17/21	174.31	...	11.99	Sale ²⁵
	Security total:	615.28		395.70	...	219.58	
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
02/01/21	50.000	227.51	12/28/20	129.50	...	98.01	Sale ²⁵
02/10/21	50.000	247.75	12/28/20	129.50	...	118.25	Sale ²⁵
	Security total:	475.26		259.00	...	216.26	
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
5 transactions for 01/25/21. Total proceeds and cost reported to the IRS.							
	1.000	3.59	12/30/20	3.30	...	0.29	1 of 5 - Sale ²⁵ C
	1.000	3.59	12/30/20	3.30	...	0.29	2 of 5 - Sale ²⁵ C
	9.000	32.31	12/30/20	29.70	...	2.61	3 of 5 - Sale ²⁵ C
	15.000	53.85	12/30/20	49.50	...	4.35	4 of 5 - Sale ²⁵ C
	74.000	265.65	12/30/20	244.20	...	21.45	5 of 5 - Sale ²⁵
01/25/21	100.000	358.99	Various	330.00	...	28.99	Total of 5 transactions
06/10/21	50.000	213.54	03/09/21	183.88	...	29.66	Sale ²⁵
	Security total:	572.53		513.88	...	58.65	
INVESCO SOLAR ETF / CUSIP: 46138G706 / Symbol:							
01/14/21	2.000	230.00	11/25/20	167.40	...	62.60	Sale ²⁵
ROUNDHILL STREAMING SERVICES & TECHNOLOGY ETF / CUSIP: 53656F441 / Symbol:							
02/12/21	10.000	159.80	02/10/21	160.50	...	-0.70	Sale ²⁵
LUMEN TECHNOLOGIES, INC. / CUSIP: 550241103 / Symbol:							
01/27/21	10.000	161.10	01/27/21	144.30	...	16.80	Sale ²⁵
02/22/21	20.000	241.45	02/19/21	238.56	...	2.89	Sale ²⁵
	Security total:	402.55		382.86	...	19.69	

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Robinhood Securities LLC

Account 976438887

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

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03/02/2022 AMENDED

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
MACQUARIE INFRASTRUCTURE HOLDINGS, LLC / CUSIP: 55608B105 / Symbol:							
2 transactions for 01/12/21. Total proceeds and cost reported to the IRS.							
	8.000	237.44	12/28/20	260.52	...	-23.08	1 of 2 - Sale ²⁵
	8.000	237.44	12/29/20	252.93	...	-15.49	2 of 2 - Sale ²⁵
01/12/21	16.000	474.88	Various	513.45	...	-38.57	Total of 2 transactions
MOMO INC. AMERICAN DEPOSITARY SHARES / CUSIP: 60879B107 / Symbol:							
02/25/21	25.000	419.25	02/24/21	418.50	...	0.75	Sale ²⁵
NOKIA CORPORATION / CUSIP: 654902204 / Symbol:							
2 transactions for 01/26/21. Total proceeds and cost reported to the IRS.							
	10.000	47.20	01/14/21	41.10	...	6.10	1 of 2 - Sale ²⁵
	40.000	188.80	01/14/21	164.40	...	24.40	2 of 2 - Sale ²⁵
01/26/21	50.000	236.00	Various	205.50	...	30.50	Total of 2 transactions
NORTHERN DYNASTY MINERALS, LTD. / CUSIP: 66510M204 / Symbol:							
01/22/21	300.000	159.32	01/21/21	179.97	20.65 W	0.00	Sale ²⁵
02/01/21	150.000	107.04	01/29/21	106.18	...	0.86	Sale ²⁵
02/09/21	50.000	41.05	02/01/21	34.18	...	6.87	Sale ²⁵
3 transactions for 02/10/21. Total proceeds and cost reported to the IRS.							
	50.000	47.29	02/01/21	34.19	...	13.10	1 of 3 - Sale ²⁵
	50.000	49.75	02/01/21	34.18	...	15.57	2 of 3 - Sale ²⁵
	50.000	49.74	02/01/21	30.74	...	19.00	3 of 3 - Sale ²⁵
02/10/21	150.000	146.78	Various	99.11	...	47.67	Total of 3 transactions
	Security total:	454.19		419.44	20.65 W	55.40	
PALATIN TECHNOLOGIES, INC. / CUSIP: 696077403 / Symbol:							
2 transactions for 02/08/21. Total proceeds and cost reported to the IRS.							
	1.000	1.00	01/28/21	0.96	...	0.04	1 of 2 - Sale ²⁵
	199.000	198.94	01/28/21	190.20	...	8.74	2 of 2 - Sale ²⁵
02/08/21	200.000	199.94	Various	191.16	...	8.78	Total of 2 transactions
PHUNWARE, INC. COMMON STOCK / CUSIP: 71948P100 / Symbol:							
01/25/21	100.000	144.44	01/22/21	133.92	...	10.52	Sale ²⁵

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Robinhood Securities LLC

Account 976438887

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

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03/02/2022 AMENDED

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

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

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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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
PURE STORAGE, INC. CLASS A / CUSIP: 74624M102 / Symbol:							
02/04/21	15.000	416.70	02/02/21	360.00	...	56.70	Sale ²⁵
	2 transactions for 02/09/21. Total proceeds and cost reported to the IRS.						
	5.000	138.57	02/02/21	120.00	...	18.57	1 of 2 - Sale ²⁵
	20.000	554.29	02/02/21	498.19	...	56.10	2 of 2 - Sale ²⁵
02/09/21	25.000	692.86	Various	618.19	...	74.67	Total of 2 transactions
	Security total:	1,109.56		978.19	...	131.37	
RLX TECHNOLOGY INC. AMERICAN D EPOSITARY SHARES, EACH REPRESENTING THE RIGHT TO RECEIVE ONE / CUSIP: 74969N103 / Symbol:							
01/22/21	10.000	261.70	01/22/21	264.00	...	-2.30	Sale ²⁵
ROOT, INC. CLASS A COMMON STOCK / CUSIP: 77664L108 / Symbol:							
08/30/21	20.000	158.80	08/16/21	109.60	...	49.20	Sale ²⁵
SUNDIAL GROWERS INC. COMMON SHARES / CUSIP: 86730L109 / Symbol:							
01/28/21	200.000	185.84	01/13/21	135.70	...	50.14	Sale ²⁵
SUNOPTA, INC. COMMON STOCK / CUSIP: 8676EP108 / Symbol:							
02/23/21	20.000	303.90	12/29/20	219.20	...	84.70	Sale ²⁵
TORCHLIGHT ENERGY RESOURCES, INC. COMMON STOCK / CUSIP: 89102U103 / Symbol:							
03/02/21	50.000	136.50	02/24/21	153.25	...	-16.75	Sale ²⁵
UP FINTECH HOLDING LTD AMERICAN DEPOSITARY SHARE REPRESENTING FIFTEEN CLASS A ORDINARY SHARE / CUSIP: 91531W106 / Symbol:							
02/08/21	10.000	264.81	02/04/21	268.66	3.85 W	0.00	Sale ²⁵
02/11/21	10.000	283.81	02/08/21	268.65	...	15.16	Sale ²⁵
	Security total:	548.62		537.31	3.85 W	15.16	
UXIN LIMITED ADS / CUSIP: 91818X108 / Symbol:							
02/09/21	100.000	144.00	02/08/21	142.85	...	1.15	Sale ²⁵
VERTEX ENERGY, INC COMMON STOCK / CUSIP: 92534K107 / Symbol:							
01/14/21	50.000	51.75	01/06/21	44.00	...	7.75	Sale ²⁵
VIPSHOP HOLDINGS LIMITED / CUSIP: 92763W103 / Symbol:							
06/24/21	25.000	490.03	06/23/21	455.38	...	34.65	Sale ²⁵

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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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03/02/2022 AMENDED

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:							
01/13/21	200.000	210.00	01/12/21	226.00	...	-16.00	Sale ²⁵
Totals :		23,544.77		20,113.98	24.50 W	3,455.29	

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Robinhood Securities LLC

Account 976438887

Detail for Dividends and Distributions

2021

03/02/2022 AMENDED

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

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

Note that a payment characterized as a "Qualified dividend" is only issuer-qualified. 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
APPLE INC. COMMON STOCK	037833100		02/11/21	3.08	Qualified dividend	
			05/13/21	3.30	Qualified dividend	
			08/12/21	5.50	Qualified dividend	
			11/11/21	5.50	Qualified dividend	
				17.38	Total Dividends & distributions	
FIRST MAJESTIC SILVER CORP	32076V103		06/04/21	0.05	Nonqualified dividend	
			06/04/21	-0.01	Foreign tax withheld-CA	
			09/16/21	-0.02	Foreign tax withheld-CA	
			11/30/21	-0.02	Foreign tax withheld-CA	
				0.05	Total Dividends & distributions	
	-0.05	Total Foreign tax withheld				
INVESCO MORTGAGE CAPITAL INC.	46131B100		01/26/21	8.00	Nondividend distribution	03
			04/27/21	4.50	Nondividend distribution	03
				12.50	Total Dividends & distributions	
ISHARES GLOBAL CLEAN ENERGY ET F	464288224		06/16/21	0.52	Qualified dividend	03
			06/16/21	-0.03	Foreign tax withheld-Variou	03
			01/05/22	0.03	Qualified dividend	
				0.55	Total Dividends & distributions	
	-0.03	Total Foreign tax withheld				
MACQUARIE INFRASTRUCTURE HOLDI NGS, LLC	55608B105		01/11/21	90.75	Nondividend distribution	03
			01/11/21	85.25	Qualified dividend	03
				176.00	Total Dividends & distributions	
	206.48	Total Dividends & distributions				
	-0.08	Total Foreign tax withheld				

Robinhood Securities LLC

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Detail for Miscellaneous Information

2021

03/02/2022 AMENDED

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
ARK INNOVATION ETF	00214Q104	12/31/21	1.05	Substitute payment	
		12/31/21	0.52	Substitute payment	
			1.57	Total Miscellaneous income	
FIRST MAJESTIC SILVER CORP	32076V103	06/04/21	0.04	Substitute payment	
		09/16/21	0.12	Substitute payment	
		11/30/21	0.10	Substitute payment	
			0.26	Total Miscellaneous income	
ISHARES GLOBAL CLEAN ENERGY ET F	464288224	06/16/21	0.75	Substitute payment	
		12/17/21	1.14	Substitute payment	
			1.89	Total Miscellaneous income	
UWM HOLDINGS CORPORATION	91823B109	04/06/21	2.50	Substitute payment	
		07/06/21	2.50	Substitute payment	
		10/06/21	2.50	Substitute payment	
			7.50	Total Miscellaneous income	
			11.22	Total Miscellaneous income	

Robinhood Securities LLC

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Fees and Expenses

2021

03/02/2022 AMENDED

This section of your tax information statement may contain the detail of fees and investment expenses that are not accounted for in amounts reportable to the IRS on the various Forms 1099. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper 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	
		02/24/21	-0.43	Margin interest paid	
		02/24/21	-5.00	Margin interest paid	
		03/26/21	-0.59	Margin interest paid	
		03/26/21	-5.00	Margin interest paid	
		04/26/21	-1.02	Margin interest paid	
		04/26/21	-5.00	Margin interest paid	
		05/25/21	-0.83	Margin interest paid	
		05/25/21	-5.00	Margin interest paid	
		06/24/21	-0.70	Margin interest paid	
		06/24/21	-5.00	Margin interest paid	
		07/26/21	-2.90	Margin interest paid	
		07/26/21	-5.00	Margin interest paid	
			-41.47	Total Margin interest paid	
Margin charge		08/23/21	-2.42	Margin interest paid	
		08/23/21	-5.00	Margin interest paid	
		09/22/21	-2.62	Margin interest paid	
		09/22/21	-5.00	Margin interest paid	
		10/22/21	-2.67	Margin interest paid	
		10/22/21	-5.00	Margin interest paid	
		11/22/21	-2.79	Margin interest paid	
		11/22/21	-5.00	Margin interest paid	
		12/21/21	-2.35	Margin interest paid	
		12/21/21	-5.00	Margin interest paid	
			-37.85	Total Margin interest paid	
			-79.32	Total Margin interest paid	

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Mutual Fund and UIT Supplemental Information

2021

03/02/2022 AMENDED

The following information may be useful in the preparation of your federal and state income tax return(s). This information represents what was available at the time your tax statement was prepared. It may not be all inclusive and is subject to change. Please contact your mutual fund or UIT directly if you need to verify or supplement this information. Note that depending on your state of residence not all Federal Source income is exempt from state taxation. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment.

ISHARES GLOBAL CLEAN ENERGY ET F / 464288224**FOREIGN SOURCE INCOME PERCENTAGES**

Fgn Source Inc Tot	48.43%	Fgn Source Inc Qual	48.43%	Fgn Source Inc Adj	0.00%
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Robinhood Securities LLC

Account 976438887

Foreign Income and Taxes Summary

2021

03/02/2022 AMENDED

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

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
	ISHARES GLOBAL CLEAN ENERGY ET F	464288224	0.00	0.55		0.00	0.55	-0.03
Total			0.00	0.55		0.00	0.55	-0.03
CA	FIRST MAJESTIC SILVER CORP	32076V103	0.05	0.00		0.00	0.05	-0.05
Total CANADA			0.05	0.00		0.00	0.05	-0.05
Grand Total	Total Foreign Source Income*			0.60				
	Qualified Foreign Source Income**			0.55				
	Foreign Tax							-0.08

* 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 976438887

Non-Reportable Actions

2021

03/02/2022 AMENDED

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
ARTIUS ACQUISITION INC. CLASS A COMMON STOCK	04316G105	06/25/21	-10.00	0.00	Exchange	
FOLEY TRASIMENE ACQUISITION CO RP. II	344328109	03/31/21	-10.00	0.00	Exchange	
GORES HOLDINGS IV, INC. CLASS A COMMON STOCK	382865103	01/22/21	-25.00	0.00	Exchange	
ORIGIN MATERIALS, INC. COMMON STOCK	68622D106	06/25/21	10.00	0.00	Exchange	
UWM HOLDINGS CORPORATION	91823B109	01/22/21	25.00	0.00	Exchange	
PAYSAFE LIMITED	G6964L107	03/31/21	10.00	0.00	Exchange	
MRVL 01/20/2023 CALL \$70.00	MRVL 01/20/23 C 70.000	04/21/21	2.00	0.00	Merger	
		04/21/21	-2.00	0.00	Merger	

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.

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 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.

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.

1099-MISC Instructions for Recipient

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

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

Line 4. See "Backup Withholding" section.

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

Lines 15-17. Show state or local income tax withheld from the payments.

Future developments. For the latest information about developments related to Form 1099-MISC and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099MISC.

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.