

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 820369833	Statement Date: 02/11/2022 Document ID: Y511 OPP YRCM	2021
	Pavan kumar reddy Dandu 998 Regent Dr unit -5 DeKalb, IL 60115 RECIPIENT'S TIN: XXX-XX-6499		

[] FATCA filing requirement (see instructions)		Summary Information			
DIVIDENDS AND DISTRIBUTIONS	2021 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INFORMATION	2021 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5, 2e)	22.73		2- Royalties	0.00	
1b- Qualified dividends	4.36		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)	0.03		4- Federal income tax withheld	0.00	
2b- Unrecaptured Section 1250 gain	0.02		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 CONTRACTS	2021 1099-B*	OMB No. 1545-0715
2e- Section 897 ordinary dividends	0.00		8- Profit or (loss) realized in 2021 on closed contracts	0.00	
2f- Section 897 capital gain	0.00		9- Unrealized profit or (loss) on open contracts-12/31/2020	0.00	
3- Nondividend distributions	7.77		10- Unrealized profit or (loss) on open contracts-12/31/2021	0.00	
4- Federal income tax withheld	0.00		11- Aggregate profit or (loss) on contracts	0.00	
5- Section 199A dividends	0.59				
6- Investment expenses	0.00		<i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i>		
8- Foreign country or US possession: See detail	0.29	7- Foreign tax paid:	* 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.		
9- Cash liquidation distributions	0.00				
10- Noncash liquidation distributions	0.00				
11- Exempt-interest dividends (includes line 12)	0.00				
12- Specified private activity bond interest dividends (AMT)	0.00				

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)	5,261.27	6,231.64	0.00	1,455.45	485.08
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)	9.45	10.53	0.00	0.00	-1.08
	Total Short-term	5,270.72	6,242.17	0.00	1,455.45	484.00
Long	D (basis reported to the IRS)	285.36	208.11	0.00	0.00	77.25
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	285.36	208.11	0.00	0.00	77.25
Undetermined	B or E (basis not reported to the IRS)	0.04	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	0.04	0.00	0.00	0.00	0.00
	Grand total	5,556.12	6,450.28	0.00	1,455.45	561.25
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 820369833

Summary Information

2021

(continued)

02/11/2022

INTEREST INCOME

2021 1099-INT

OMB No. 1545-0112

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1- Interest income (not included in line 3)	0.00
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	

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

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

Other Receipts & Reconciliations- Partnership distributions	18.25
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	0.04
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 820369833

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

02/11/2022

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

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

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

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

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 12/10/2021 CALL \$175.00 / CUSIP: / Symbol:							
12/08/21	1.000	136.98	12/08/21	131.00	...	5.98	Option sale to close-call ²⁵
AMC 12/17/2021 CALL \$25.00 / CUSIP: / Symbol:							
12/14/21	1.000	134.98	12/14/21	162.00	...	-27.02	Option sale to close-call ²⁵
BBIG 12/17/2021 CALL \$5.00 / CUSIP: / Symbol:							
	2 transactions for 12/02/21. Total proceeds and cost reported to the IRS.						
	1.000	2.99	10/29/21	94.00	...	-91.01	1 of 2 - Option sale to close-call ²⁵
	1.000	2.99	11/04/21	71.00	...	-68.01	2 of 2 - Option sale to close-call ²⁵
12/02/21	2.000	5.98	Various	165.00	...	-159.02	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BBIG 12/17/2021 CALL \$6.00 / CUSIP: / Symbol:							
4 transactions for 11/16/21. Total proceeds and cost reported to the IRS.							
	1.000	17.98	10/22/21	87.00	69.02 W	0.00	1 of 4 - Option sale to close-call ²⁵
	1.000	17.98	10/26/21	150.02	132.04 W	0.00	2 of 4 - Option sale to close-call ²⁵
	1.000	17.98	10/26/21	207.04	189.06 W	0.00	3 of 4 - Option sale to close-call ²⁵
	1.000	17.98	10/27/21	258.06	240.08 W	0.00	4 of 4 - Option sale to close-call ²⁵
11/16/21	4.000	71.92	Various	702.12	630.20 W	0.00	Total of 4 transactions
3 transactions for 11/30/21. Total proceeds and cost reported to the IRS.							
	1.000	3.99	11/02/21	60.00	...	-56.01	1 of 3 - Option sale to close-call ²⁵
	1.000	4.99	11/09/21	335.09	...	-330.10	2 of 3 - Option sale to close-call ²⁵
	1.000	4.99	11/10/21	97.00	...	-92.01	3 of 3 - Option sale to close-call ²⁵
11/30/21	3.000	13.97	Various	492.09	...	-478.12	Total of 3 transactions
2 transactions for 11/30/21. Total proceeds and cost reported to the IRS.							
	1.000	3.99	10/27/21	300.08	296.09 W	0.00	1 of 2 - Option sale to close-call ²⁵
	1.000	4.00	10/29/21	64.00	60.00 W	0.00	2 of 2 - Option sale to close-call ²⁵
11/30/21	2.000	7.99	Various	364.08	356.09 W	0.00	Total of 2 transactions
	Security total:	93.88		1,558.29	986.29 W	-478.12	
CHPT 10/15/2021 CALL \$20.00 / CUSIP: / Symbol:							
09/29/21	1.000	188.98	09/24/21	131.00	...	57.98	Option sale to close-call ²⁵
CHPT 11/05/2021 CALL \$21.00 / CUSIP: / Symbol:							
10/12/21	1.000	96.99	10/04/21	80.00	...	16.99	Option sale to close-call ²⁵
10/12/21	1.000	96.99	09/30/21	128.00	31.01 W	0.00	Option sale to close-call ²⁵
10/13/21	1.000	98.98	10/06/21	64.03	...	34.95	Option sale to close-call ²⁵
10/13/21	1.000	99.98	10/04/21	105.01	5.03 W	0.00	Option sale to close-call ²⁵
	Security total:	392.94		377.04	36.04 W	51.94	
DLTR 10/01/2021 PUT \$95.00 / CUSIP: / Symbol:							
09/30/21	1.000	58.98	09/30/21	39.00	...	19.98	Option sale to close-put ²⁵
NIO 01/21/2022 CALL \$50.00 / CUSIP: / Symbol:							
10/04/21	1.000	70.98	09/23/21	105.00	...	-34.02	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)

02/11/2022

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NIO 02/18/2022 CALL \$35.00 / CUSIP: / Symbol:							
3 transactions for 12/30/21. Total proceeds and cost reported to the IRS.							
	1.000	199.99	12/03/21	396.00	196.01 W	0.00	1 of 3 - Option sale to close-call ²⁵
	1.000	199.99	12/15/21	217.00	17.01 W	0.00	2 of 3 - Option sale to close-call ²⁵
	1.000	224.98	12/16/21	431.01	206.03 W	0.00	3 of 3 - Option sale to close-call ²⁵
12/30/21	3.000	624.96	Various	1,044.01	419.05 W	0.00	Total of 3 transactions
NIO 03/18/2022 CALL \$50.00 / CUSIP: / Symbol:							
10/04/21	1.000	122.98	10/04/21	123.00	...	-0.02	Option sale to close-call ²⁵
NIO 12/17/2021 CALL \$50.00 / CUSIP: / Symbol:							
10/28/21	1.000	96.98	10/26/21	111.00	14.02 W	0.00	Option sale to close-call ²⁵
11/04/21	1.000	147.98	10/27/21	91.02	...	56.96	Option sale to close-call ²⁵
	Security total:	244.96		202.02	14.02 W	56.96	
PROG 10/15/2021 CALL \$2.00 / CUSIP: / Symbol:							
2 transactions for 10/05/21. Total proceeds and cost reported to the IRS.							
	1.000	15.00	10/04/21	25.00	...	-10.00	1 of 2 - Option sale to close-call ²⁵
	10.000	149.97	10/04/21	150.00	...	-0.03	2 of 2 - Option sale to close-call ²⁵
10/05/21	11.000	164.97	Various	175.00	...	-10.03	Total of 2 transactions
SNAP 11/05/2021 PUT \$55.00 / CUSIP: / Symbol:							
10/25/21	1.000	299.98	10/22/21	230.00	...	69.98	Option sale to close-put ²⁵
ATOSSA THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 04962H506 / Symbol:							
3 transactions for 06/22/21. Total proceeds and cost reported to the IRS.							
	25.000	173.50	01/27/21	55.25	...	118.25	1 of 3 - Sale ²⁵
	2.000	13.88	04/08/21	4.23	...	9.65	2 of 3 - Sale ²⁵
	3.000	20.82	04/08/21	6.35	...	14.47	3 of 3 - Sale ²⁵
06/22/21	30.000	208.20	Various	65.83	...	142.37	Total of 3 transactions
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
10 transactions for 01/15/21. Total proceeds and cost reported to the IRS.							
	2.000	17.31	01/11/21	11.60	...	5.71	1 of 10 - Sale ²⁵
	2.000	17.31	01/12/21	10.96	...	6.35	2 of 10 - Sale ²⁵
	2.000	17.31	01/12/21	10.93	...	6.38	3 of 10 - Sale ²⁵

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Account 820369833

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol: (cont'd)							
	2.000	17.31	01/12/21	10.92	...	6.39	4 of 10 - Sale ²⁵
	2.000	17.31	01/12/21	10.84	...	6.47	5 of 10 - Sale ²⁵
	4.000	34.62	01/12/21	21.68	...	12.94	6 of 10 - Sale ²⁵
	5.000	43.27	01/12/21	28.00	...	15.27	7 of 10 - Sale ²⁵
	5.000	43.27	01/12/21	27.75	...	15.52	8 of 10 - Sale ²⁵
	5.000	43.27	01/12/21	26.55	...	16.72	9 of 10 - Sale ²⁵
	1.000	8.65	01/13/21	5.13	...	3.52	10 of 10 - Sale ²⁵
01/15/21	30.000	259.63	Various	164.36	...	95.27	Total of 10 transactions
CHURCHILL CAPITAL CORP IV / CUSIP: 171439102 / Symbol:							
01/21/21	2.000	35.41	01/20/21	36.19	...	-0.78	Sale ²⁵
EXXON MOBIL CORPORATION / CUSIP: 30231G102 / Symbol:							
8 transactions for 01/15/21. Total proceeds and cost reported to the IRS.							
	1.000	47.42	04/23/20	43.46	...	3.96	1 of 8 - Sale ²⁵
	2.000	94.84	05/08/20	91.60	...	3.24	2 of 8 - Sale ²⁵
	0.088	4.15	11/03/20	2.93	...	1.22	3 of 8 - Sale ²⁵
	0.055	2.61	11/11/20	2.00	...	0.61	4 of 8 - Sale ²⁵
	0.480	22.78	11/16/20	18.19	...	4.59	5 of 8 - Sale ²⁵
	0.108	5.12	11/18/20	4.14	...	0.98	6 of 8 - Sale ²⁵
	1.000	47.42	11/18/20	38.38	...	9.04	7 of 8 - Sale ²⁵
	0.062	2.93	12/11/20	2.69	...	0.24	8 of 8 - Sale ²⁵
01/15/21	4.793	227.27	Various	203.39	...	23.88	Total of 8 transactions
FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol:							
12/03/21	1.000	7.41	10/14/21	7.23	...	0.18	Sale ²⁵
I-MAB AMERICAN DEPOSITARY SHAR ES / CUSIP: 44975P103 / Symbol:							
4 transactions for 02/01/21. Total proceeds and cost reported to the IRS.							
	1.000	59.53	10/12/20	40.01	...	19.52	1 of 4 - Sale ²⁵
	2.000	119.05	10/12/20	79.40	...	39.65	2 of 4 - Sale ²⁵
	1.000	59.52	11/09/20	34.46	...	25.06	3 of 4 - Sale ²⁵
	1.000	59.52	11/09/20	33.97	...	25.55	4 of 4 - Sale ²⁵
02/01/21	5.000	297.62	Various	187.84	...	109.78	Total of 4 transactions

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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)

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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
INUVO, INC. / CUSIP: 46122W204 / Symbol:							
01/22/21	0.629	1.02	01/21/21	1.10	...	-0.08	Sale ²⁵
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
02/03/21	1.000	3.85	01/20/21	3.31	...	0.54	Sale ²⁵
MP MATERIALS CORP. / CUSIP: 553368101 / Symbol:							
01/21/21	1.000	35.69	01/12/21	30.20	...	5.49	Sale ²⁵
	<i>2 transactions for 12/08/21. Total proceeds and cost reported to the IRS.</i>						
	4.000	171.93	01/12/21	120.80	...	51.13	1 of 2 - Sale ²⁵
	1.000	42.98	01/27/21	28.36	...	14.62	2 of 2 - Sale ²⁵
12/08/21	5.000	214.91	Various	149.16	...	65.75	Total of 2 transactions
	Security total:	250.60		179.36	...	71.24	
MUSTANG BIO, INC. COMMON STOCK / CUSIP: 62818Q104 / Symbol:							
	<i>2 transactions for 01/15/21. Total proceeds and cost reported to the IRS.</i>						
	5.000	22.05	01/08/21	20.00	...	2.05	1 of 2 - Sale ²⁵
	7.000	30.87	01/08/21	28.35	...	2.52	2 of 2 - Sale ²⁵
01/15/21	12.000	52.92	Various	48.35	...	4.57	Total of 2 transactions
NIO INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
02/16/21	1.000	60.54	10/26/20	26.90	...	33.64	Sale ²⁵
PALANTIR TECHNOLOGIES INC. CLASS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
	<i>3 transactions for 01/22/21. Total proceeds and cost reported to the IRS.</i>						
	1.000	29.62	10/05/20	9.03	...	20.59	1 of 3 - Sale ²⁵
	4.000	118.48	10/05/20	36.08	...	82.40	2 of 3 - Sale ²⁵
	4.000	118.48	11/10/20	56.74	...	61.74	3 of 3 - Sale ²⁵
01/22/21	9.000	266.58	Various	101.85	...	164.73	Total of 3 transactions
10/27/21	1.000	25.11	10/12/21	23.60	...	1.51	Sale ²⁵
	Security total:	291.69		125.45	...	166.24	

* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account 820369833

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
QUTOUTIAO INC. AMERICAN DEPOSITARY SHARES / CUSIP: 74915J107 / Symbol:							
2 transactions for 01/21/21. Total proceeds and cost reported to the IRS.							
	0.017	0.08	01/21/21	0.06	...	0.02	1 of 2 - Sale ²⁵
	3.102	13.63	01/21/21	10.72	...	2.91	2 of 2 - Sale ²⁵
01/21/21	3.120	13.71	Various	10.78	...	2.93	Total of 2 transactions
REALTY INCOME CORPORATION / CUSIP: 756109104 / Symbol:							
4 transactions for 01/12/21. Total proceeds and cost reported to the IRS.							
	4.992	284.77	11/18/20	315.95	...	-31.18	1 of 4 - Sale ²⁵
	0.022	1.24	12/16/20	1.34	...	-0.10	2 of 4 - Sale ²⁵
	0.008	0.48	12/16/20	0.57	...	-0.09	3 of 4 - Sale ²⁵
	0.024	1.37	01/07/21	1.42	...	-0.05	4 of 4 - Sale ²⁵
01/12/21	5.046	287.86	Various	319.28	...	-31.42	Total of 4 transactions
01/12/21	0.008	0.48	11/18/20	0.53	0.05 W	0.00	Sale ²⁵
10/27/21	1.000	74.14	10/12/21	68.60	...	5.54	Sale ²⁵
	Security total:	362.48		388.41	0.05 W	-25.88	
SENSEONICS HOLDINGS, INC. / CUSIP: 81727U105 / Symbol:							
2 transactions for 01/19/21. Total proceeds and cost reported to the IRS.							
	1.000	1.98	01/19/21	1.50	...	0.48	1 of 2 - Sale ²⁵
	7.000	13.86	01/19/21	10.50	...	3.36	2 of 2 - Sale ²⁵
01/19/21	8.000	15.84	Various	12.00	...	3.84	Total of 2 transactions
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
10/29/21	0.018	19.77	07/29/21	12.25	...	7.52	Sale ²⁵
VIRGIN GALACTIC HOLDINGS, INC. / CUSIP: 92766K106 / Symbol:							
4 transactions for 01/26/21. Total proceeds and cost reported to the IRS.							
	1.000	43.73	10/07/20	21.83	...	21.90	1 of 4 - Sale ²⁵
	1.000	43.73	10/07/20	21.83	...	21.90	2 of 4 - Sale ²⁵
	4.000	174.92	10/12/20	84.24	...	90.68	3 of 4 - Sale ²⁵
	5.000	218.65	11/02/20	87.80	...	130.85	4 of 4 - Sale ²⁵
01/26/21	11.000	481.03	Various	215.70	...	265.33	Total of 4 transactions

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Robinhood Securities LLC

Account 820369833

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
VIRGIN GALACTIC HOLDINGS, INC. / CUSIP: 92766K106 / Symbol: (cont'd)							
3 transactions for 10/04/21. Total proceeds and cost reported to the IRS.							
	0.006	0.13	05/19/21	0.09	...	0.04	1 of 3 - Sale ²⁵
	0.270	6.11	05/19/21	4.38	...	1.73	2 of 3 - Sale ²⁵
	2.994	67.72	05/19/21	48.66	...	19.06	3 of 3 - Sale ²⁵
10/04/21	3.270	73.96	Various	53.13	...	20.83	Total of 3 transactions
	Security total:	554.99		268.83	...	286.16	
VUZIX CORPORATION COMMON STOCK / CUSIP: 92921W300 / Symbol:							
01/21/21	1.000	10.78	01/21/21	11.38	...	-0.60	Sale ²⁵
ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:							
01/12/21	10.000	11.60	01/11/21	7.35	...	4.25	Sale ²⁵
CASTOR MARITIME INC. COMMON SH ARES / CUSIP: Y1146L109 / Symbol:							
01/14/21	100.000	34.39	01/12/21	28.97	...	5.42	Sale ²⁵
Totals :		5,261.27		6,231.64	1,455.45 W	485.08	

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

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

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

1a- Description of property/CUSIP/Symbol

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
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
3 transactions for 09/23/21. Total proceeds and cost reported to the IRS.							
	3.000	142.68	06/03/20	99.20	...	43.48	1 of 3 - Sale ²⁵
	2.000	95.12	08/12/20	75.30	...	19.82	2 of 3 - Sale ²⁵
	1.000	47.56	09/21/20	33.61	...	13.95	3 of 3 - Sale ²⁵
09/23/21	6.000	285.36	Various	208.11	...	77.25	Total of 3 transactions
Totals :		285.36		208.11		77.25	

* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account 820369833

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

UNDETERMINED TERM TRANSACTIONS FOR NONCOVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Line 5)

Report on Form 8949, Part I with Box B checked or Part II with Box E checked. Basis is NOT provided to the IRS. (Line 12)

"Date acquired," "Cost or other basis," "Accrued market discount," "Wash sale loss disallowed" and "Gain or loss (-)" are 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	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SPDR GOLD TRUST, SPDR GOLD SHA RES / CUSIP: 78463V107 / Symbol: / Note: CL							
11/04/21	0.000	0.02	N/A	Principal payment ¹⁶ Cost Basis Factor: 0.000338490
12/03/21	0.000	0.02	N/A	Principal payment ¹⁶ Cost Basis Factor: 0.000338070
	Security total:	0.04		
Totals :		0.04		

* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

Robinhood Securities LLC

Account 820369833

Proceeds Not Reported to the IRS

2021

02/11/2022

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

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued Market Discount and Wash Sale Loss Disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

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

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

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

Description of property

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
02/22/21	0.977	9.45	01/25/21	10.53	...	-1.08	Gain or loss
Totals:		9.45		10.53	...	-1.08	

Robinhood Securities LLC

Account 820369833

Detail for Dividends and Distributions

2021

02/11/2022

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

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
APPLE INC. COMMON STOCK	037833100		11/11/21	0.55	Qualified dividend	
INTEL CORPORATION COMMON STOCK	458140100		09/01/21	0.06	Qualified dividend	
			12/01/21	0.65	Qualified dividend	
				0.71	Total Dividends & distributions	
REALTY INCOME CORPORATION	756109104		01/15/21	1.26	Nondividend distribution	03
			01/15/21	0.58	Section 199A dividend	03
			01/15/21	0.02	Unrecaptured section 1250 gain	03
			01/15/21	0.01	Long-term capital gain	03
				1.87	Total Dividends & distributions	
SPDR S&P 500 ETF TRUST	78462F103		01/31/22	0.45	Qualified dividend	
TWO HARBORS INVESTMENT CORP.	90187B408		04/29/21	2.12	Nondividend distribution	03
			07/29/21	2.17	Nondividend distribution	03
			10/29/21	2.22	Nondividend distribution	03
			01/28/22	2.28	Qualified dividend	
				8.79	Total Dividends & distributions	
VALE S.A.	91912E105		03/22/21	3.72	Nonqualified dividend	
			03/22/21	0.91	Nonqualified dividend	
			03/22/21	-0.14	Foreign tax withheld-BR	
			07/08/21	2.79	Nonqualified dividend	
			10/08/21	9.80	Nonqualified dividend	
				17.22	Total Dividends & distributions	
				-0.14	Total Foreign tax withheld	

Robinhood Securities LLC

Account 820369833

Detail for Dividends and Distributions

2021

(continued)

02/11/2022

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
VANGUARD S&P 500 ETF	922908363		12/27/21	0.37	Qualified dividend	03
			12/27/21	0.01	Section 199A dividend	03
				0.38	Total Dividends & distributions	
VOLKSWAGEN A G UNSPONSORED ADR REPRESENT 1/10TH SH	928662600		08/10/21	0.56	Nonqualified dividend	
			08/10/21	-0.15	Foreign tax withheld-GM	
				0.56	Total Dividends & distributions	
				-0.15	Total Foreign tax withheld	
				30.53	Total Dividends & distributions	
				-0.29	Total Foreign tax withheld	

Robinhood Securities LLC

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Other Receipts and Reconciliations

2021

02/11/2022

This section of your tax information statement contains the detail of the year-to-year adjustments between cash distributions and reportable income for Unit Investment Trusts, reflecting the fact that income is recognized at the time it is received by the trust, rather than when a distribution is made.

Also shown are distributions whose tax impact will be defined by other documentation. In the case of partnership distributions, you will receive Schedule K-1 (Form 1065) directly from the partnership(s). For deferred income, the Form 1099-DIV issued in the following year will characterize the amounts received.

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.

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
ENERGY TRANSFER LP COMMON UNIT S	29273V100	02/19/21	3.87	Partnership distribution	
REPRESENTING LIMITED PARTNER		05/19/21	4.72	Partnership distribution	
INTERESTS		08/19/21	4.79	Partnership distribution	
		11/19/21	4.87	Partnership distribution	
			18.25	Total Partnership distribution	
			18.25	Total Partnership distribution	

Robinhood Securities LLC

Account 820369833

Fees and Expenses

2021

02/11/2022

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
SPDR GOLD TRUST, SPDR GOLD SHA RES	78463V107	11/04/21	-0.02	Gross proceeds investment expense	15
	Note: CL	12/03/21	-0.02	Gross proceeds investment expense	15
			-0.04	Total Gross proceeds investmnt exp	
			-0.04	Total Gross proceeds investmnt exp	

Robinhood Securities LLC

Account 820369833

Mutual Fund and UIT Supplemental Information

2021

02/11/2022

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.

VANGUARD S&P 500 ETF / 922908363**PERCENTAGE OF INCOME FROM US GOVERNMENT SECURITIES****Fed Source Total****0.01%** (A detailed breakdown is shown below when available)

<u>Agency</u>	<u>%</u>	<u>Agency</u>	<u>%</u>	<u>Agency</u>	<u>%</u>
U.S. Treasury	0.01	Fed Farm Credit	0.00	TN Valley Auth	0.00
Fed Home Loan	0.00	Student Loan	0.00	Other Dir. Fed	0.00

Robinhood Securities LLC

Account 820369833

Foreign Income and Taxes Summary

2021

02/11/2022

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

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
BR	VALE S.A.	91912E105	17.22	0.00	0.00	17.22	-0.14	
Total BRAZIL			17.22	0.00	0.00	17.22	-0.14	
GM	VOLKSWAGEN A G UNSPONSORED ADR REPRESENT 1/10TH SH	928662600	0.56	0.00	0.00	0.56	-0.15	
Total GERMANY			0.56	0.00	0.00	0.56	-0.15	
Grand Total	Total Foreign Source Income*			17.78				
	Qualified Foreign Source Income**			0.00				
	Foreign Tax						-0.29	

* 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 820369833

Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
CHARGEPOINT HOLDINGS, INC.	15961R105	03/01/21	3.03	0.00	Exchange	
SWITCHBACK ENERGY ACQUISITION CORPORATION	87105M102	03/01/21	-3.03	0.00	Exchange	

- 03 The tax character of the distribution has been allocated based on information provided by the security issuer.
- 15 Income or expense adjustment. This security is a widely held fixed investment trust (WHFIT). Items of income, deduction, and credit, and any other information shown on this statement must be taken into account in computing taxable income and credits on your income tax return(s).
- 16 This transaction represents the sale of assets from a Widely Held Fixed Investment Trust (WHFIT). The cost basis allocation factor is the value of the assets sold divided by the total net asset value of the trust. If you know your cost of the assets sold, use that to determine your gain/loss. Otherwise, determine your cost basis by multiplying your adjusted cost basis by the cost basis allocation factor. For example, if your adjusted basis is \$1,000 and the cost basis allocation factor is 0.005 your cost basis allocated to that sale is $\$1,000 * 0.005$ or \$5. If there are subsequent sales of trust assets, your adjusted cost basis for the next sale is \$995. Sales are reported based on when and for how much the trust sold the asset. This may differ both in timing and amount from what is distributed. There are cases where the proceeds are used to pay expenses and there is no corresponding distribution. For more information refer to regulations section 1.671-5.
- 25 Tax lot closed on a first in first out basis.
- CL This trust invests exclusively in "collectibles." Gains recognized from the sale of "collectibles" held for more than one year are taxed at a maximum federal income tax rate of 28%. This applies to gains recognized from the sale of an interest in the trust as well as gains attributable to you from the Trust's sale of "collectibles" which you - through ownership of shares in the trust - are treated as having held for more than one year.
-

Common Instructions for Recipient

Recipient's taxpayer identification number (TIN). For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

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

Backup Withholding. Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

Nominees. If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or ORD) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the General Instructions for Certain Information Returns.

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

Keep tax documents for your records.**1099-DIV Instructions for Recipient**

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

Line 1b. Shows the portion of the amount in Line 1a that may be eligible for reduced capital gains rates. See the Instructions for Forms 1040 and 1040-SR for how to determine this amount and where to report.

The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

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

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

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

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

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

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

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

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

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

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

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

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

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 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.