

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 819553793</b>	Statement Date: 02/11/2022 Document ID: R65N 2ZJ XGQ7	2021
	Saikrishna Vattikonda 3221 GoldenOak Cir Round Rock, TX 78681  RECIPIENT'S TIN: XXX-XX-2157		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2021 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e)      4.13</p> <p>1b- Qualified dividends      0.48</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)      2.03</p> <p>2b- Unrecaptured Section 1250 gain      0.00</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>2e- Section 897 ordinary dividends      0.00</p> <p>2f- Section 897 capital gain      0.00</p> <p>3- Nondividend distributions      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession:      7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INFORMATION</b>      <b>2021 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2021 1099-B*</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><b>* 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.</b></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)	52,644.33	55,907.26	0.00	560.57	-2,702.36
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
	<b>Total Short-term</b>	<b>52,644.33</b>	<b>55,907.26</b>	<b>0.00</b>	<b>560.57</b>	<b>-2,702.36</b>
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
	<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
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
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>52,644.33</b>	<b>55,907.26</b>	<b>0.00</b>	<b>560.57</b>	<b>-2,702.36</b>

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 819553793

**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
<b>4- Federal income tax withheld</b>	<b>0.00</b>
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	10.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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**Proceeds from Broker and Barter Exchange Transactions**

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

02/11/2022

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

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

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

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

FATCA filing requirement [ ]

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

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)  
 "Gain or loss (-)" is NOT reported to the IRS.

**1a- Description of property/CUSIP/Symbol**

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAL 03/19/2021 CALL \$26.00 / CUSIP: / Symbol:							
03/17/21	1.000	17.98	03/15/21	68.00	...	-50.02	Option sale to close-call <sup>25</sup>
AAPL 03/18/2022 CALL \$200.00 / CUSIP: / Symbol:							
12/08/21	2.000	669.98	12/07/21	528.00	...	141.98	Option sale to close-call <sup>25</sup>
AAPL 03/19/2021 CALL \$122.00 / CUSIP: / Symbol:							
03/11/21	1.000	260.98	03/11/21	249.00	...	11.98	Option sale to close-call <sup>25</sup>
AAPL 08/06/2021 PUT \$145.00 / CUSIP: / Symbol:							
2 transactions for 07/30/21. Total proceeds and cost reported to the IRS.							
	1.000	206.99	07/29/21	145.00	...	61.99	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	206.99	07/29/21	145.00	...	61.99	2 of 2 - Option sale to close-put <sup>25</sup>
07/30/21	2.000	413.98	Various	290.00	...	123.98	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
AAPL 12/23/2021 CALL \$157.50 / CUSIP: / Symbol:							
11/18/21	1.000	538.98	11/17/21	303.00	...	235.98	Option sale to close-call <sup>25</sup>
ABNB 07/30/2021 CALL \$141.00 / CUSIP: / Symbol:							
07/21/21	1.000	299.98	07/20/21	164.00	...	135.98	Option sale to close-call <sup>25</sup>
AMD 07/23/2021 CALL \$89.00 / CUSIP: / Symbol:							
2 transactions for 07/22/21. Total proceeds and cost reported to the IRS.							
	1.000	121.99	07/21/21	78.00	...	43.99	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	121.99	07/21/21	78.00	...	43.99	2 of 2 - Option sale to close-call <sup>25</sup>
07/22/21	2.000	243.98	Various	156.00	...	87.98	Total of 2 transactions
AMD 10/15/2021 CALL \$110.00 / CUSIP: / Symbol:							
10/11/21	3.000	140.98	09/27/21	711.00	...	-570.02	Option sale to close-call <sup>25</sup>
BA 07/23/2021 CALL \$225.00 / CUSIP: / Symbol:							
07/23/21	1.000	0.00	07/23/21	49.00	...	-49.00	Option expiration- long call
CAT 07/23/2021 CALL \$220.00 / CUSIP: / Symbol:							
07/14/21	1.000	74.98	07/13/21	188.00	...	-113.02	Option sale to close-call <sup>25</sup>
CLX 02/19/2021 CALL \$205.00 / CUSIP: / Symbol:							
02/16/21	2.000	11.98	02/04/21	240.00	...	-228.02	Option sale to close-call <sup>25</sup>
DBX 03/19/2021 CALL \$26.50 / CUSIP: / Symbol:							
03/12/21	1.000	100.98	03/11/21	52.00	...	48.98	Option sale to close-call <sup>25</sup>
DBX 04/01/2021 CALL \$30.00 / CUSIP: / Symbol:							
03/17/21	1.000	34.98	03/15/21	85.00	...	-50.02	Option sale to close-call <sup>25</sup>
DIS 08/13/2021 CALL \$175.00 / CUSIP: / Symbol:							
08/05/21	2.000	829.98	08/03/21	568.00	...	261.98	Option sale to close-call <sup>25</sup>
DM 03/19/2021 CALL \$22.50 / CUSIP: / Symbol:							
03/19/21	1.000	0.00	03/15/21	55.00	...	-55.00	Option expiration- long call
DOCU 07/23/2021 CALL \$300.00 / CUSIP: / Symbol:							
07/20/21	1.000	344.98	07/20/21	263.00	...	81.98	Option sale to close-call <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

"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
F 12/17/2021 CALL \$21.00 / CUSIP: / Symbol:							
2 transactions for 12/10/21. Total proceeds and cost reported to the IRS.							
	5.000	219.99	12/10/21	185.00	...	34.99	1 of 2 - Option sale to close-call <sup>25</sup>
	10.000	439.97	12/10/21	370.00	...	69.97	2 of 2 - Option sale to close-call <sup>25</sup>
12/10/21	15.000	659.96	Various	555.00	...	104.96	Total of 2 transactions
FB 11/19/2021 CALL \$350.00 / CUSIP: / Symbol:							
11/19/21	1.000	199.98	11/19/21	89.00	...	110.98	Option sale to close-call <sup>25</sup>
FCEL 04/14/2022 CALL \$7.00 / CUSIP: / Symbol:							
11/08/21	2.000	909.98	09/17/21	326.00	...	583.98	Option sale to close-call <sup>25</sup>
FDX 01/21/2022 CALL \$250.00 / CUSIP: / Symbol:							
11/04/21	1.000	974.98	11/03/21	770.00	...	204.98	Option sale to close-call <sup>25</sup>
FDX 02/12/2021 CALL \$250.00 / CUSIP: / Symbol:							
2 transactions for 02/04/21. Total proceeds and cost reported to the IRS.							
	2.000	491.98	02/01/21	548.00	...	-56.02	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	491.98	02/03/21	360.00	...	131.98	2 of 2 - Option sale to close-call <sup>25</sup>
02/04/21	4.000	983.96	Various	908.00	...	75.96	Total of 2 transactions
FOLD 03/19/2021 CALL \$13.00 / CUSIP: / Symbol:							
02/17/21	2.000	169.98	02/12/21	270.00	...	-100.02	Option sale to close-call <sup>25</sup>
GNOG 02/19/2021 CALL \$20.00 / CUSIP: / Symbol:							
02/17/21	5.000	49.98	02/12/21	200.00	...	-150.02	Option sale to close-call <sup>25</sup>
H 11/19/2021 CALL \$100.00 / CUSIP: / Symbol:							
11/08/21	8.000	119.97	11/08/21	200.00	...	-80.03	Option sale to close-call <sup>25</sup>
HD 02/12/2021 CALL \$280.00 / CUSIP: / Symbol:							
02/03/21	2.000	397.98	02/02/21	362.00	...	35.98	Option sale to close-call <sup>25</sup>
HOOD 09/10/2021 CALL \$47.00 / CUSIP: / Symbol:							
08/31/21	1.000	79.98	08/31/21	105.00	...	-25.02	Option sale to close-call <sup>25</sup>
09/01/21	1.000	184.98	08/31/21	105.00	...	79.98	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>264.96</b>		<b>210.00</b>	...	<b>54.96</b>	

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Account 819553793

## 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
INFY 03/19/2021 CALL \$19.00 / CUSIP: / Symbol:							
03/04/21	1.000	29.98	03/03/21	65.00	...	-35.02	Option sale to close-call <sup>25</sup>
INTC 08/20/2021 CALL \$55.00 / CUSIP: / Symbol:							
2 transactions for 08/18/21. Total proceeds and cost reported to the IRS.							
	4.000	7.98	08/09/21	172.00	...	-164.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	2.00	08/09/21	43.00	...	-41.00	2 of 2 - Option sale to close-call <sup>25</sup>
08/18/21	5.000	9.98	Various	215.00	...	-205.02	Total of 2 transactions
IPV 04/16/2021 CALL \$17.50 / CUSIP: / Symbol:							
03/11/21	1.000	104.98	03/08/21	75.00	...	29.98	Option sale to close-call <sup>25</sup>
IQ 06/18/2021 CALL \$30.00 / CUSIP: / Symbol:							
03/11/21	1.000	285.98	03/11/21	297.00	...	-11.02	Option sale to close-call <sup>25</sup>
JPM 09/17/2021 CALL \$160.00 / CUSIP: / Symbol:							
2 transactions for 09/17/21. Total proceeds and cost reported to the IRS.							
	1.000	0.00	09/14/21	125.00	...	-125.00	1 of 2 - Option expiration- long call
	1.000	8.98	09/14/21	125.00	...	-116.02	2 of 2 - Option sale to close-call <sup>25</sup>
09/17/21	2.000	8.98	Various	250.00	...	-241.02	Total of 2 transactions
LCID 07/30/2021 CALL \$24.50 / CUSIP: / Symbol:							
3 transactions for 07/30/21. Total proceeds and cost reported to the IRS.							
	11.000	43.97	07/30/21	143.00	...	-99.03	1 of 3 - Option sale to close-call <sup>25</sup>
	2.000	7.98	07/30/21	26.00	...	-18.02	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	3.98	07/30/21	13.00	...	-9.02	3 of 3 - Option sale to close-call <sup>25</sup>
07/30/21	14.000	55.93	Various	182.00	...	-126.07	Total of 3 transactions
MGM 11/19/2021 CALL \$51.00 / CUSIP: / Symbol:							
3 transactions for 11/08/21. Total proceeds and cost reported to the IRS.							
	3.000	227.98	11/08/21	384.00	...	-156.02	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	75.98	11/08/21	128.00	...	-52.02	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	75.98	11/08/21	128.00	...	-52.02	3 of 3 - Option sale to close-call <sup>25</sup>
11/08/21	5.000	379.94	Various	640.00	...	-260.06	Total of 3 transactions

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Robinhood Securities LLC

Account 819553793

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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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
MRK 03/05/2021 CALL \$74.00 / CUSIP: / Symbol:							
03/04/21	1.000	16.98	03/03/21	41.00	...	-24.02	Option sale to close-call <sup>25</sup>
NGL 01/21/2022 CALL \$2.50 / CUSIP: / Symbol:							
	2 transactions for 12/02/21. Total proceeds and cost reported to the IRS.						
	4.000	59.99	11/17/21	220.01	...	-160.02	1 of 2 - Option sale to close-call <sup>25</sup>
	2.000	29.99	11/17/21	110.01	...	-80.02	2 of 2 - Option sale to close-call <sup>25</sup>
12/02/21	6.000	89.98	Various	330.02	...	-240.04	Total of 2 transactions
	2 transactions for 12/02/21. Total proceeds and cost reported to the IRS.						
	2.000	29.99	11/17/21	70.00	40.01 W	0.00	1 of 2 - Option sale to close-call <sup>25</sup>
	4.000	59.99	11/17/21	140.00	80.01 W	0.00	2 of 2 - Option sale to close-call <sup>25</sup>
12/02/21	6.000	89.98	Various	210.00	120.02 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>179.96</b>		<b>540.02</b>	<b>120.02 W</b>	<b>-240.04</b>	
NIO 06/25/2021 CALL \$42.00 / CUSIP: / Symbol:							
06/02/21	1.000	213.98	06/01/21	241.00	...	-27.02	Option sale to close-call <sup>25</sup>
NKE 03/19/2021 CALL \$150.00 / CUSIP: / Symbol:							
03/16/21	1.000	212.98	03/15/21	130.00	...	82.98	Option sale to close-call <sup>25</sup>
NOK 02/12/2021 CALL \$5.00 / CUSIP: / Symbol:							
	2 transactions for 02/09/21. Total proceeds and cost reported to the IRS.						
	9.000	17.97	02/02/21	216.00	...	-198.03	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	1.98	02/02/21	24.00	...	-22.02	2 of 2 - Option sale to close-call <sup>25</sup>
02/09/21	10.000	19.95	Various	240.00	...	-220.05	Total of 2 transactions
NVDA 02/05/2021 CALL \$550.00 / CUSIP: / Symbol:							
	2 transactions for 02/02/21. Total proceeds and cost reported to the IRS.						
	1.000	381.98	02/01/21	226.00	...	155.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	381.98	02/01/21	226.00	...	155.98	2 of 2 - Option sale to close-call <sup>25</sup>
02/02/21	2.000	763.96	Various	452.00	...	311.96	Total of 2 transactions
NVDA 07/30/2021 CALL \$197.50 / CUSIP: / Symbol:							
07/26/21	1.000	133.98	07/21/21	330.00	...	-196.02	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 819553793

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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PENN 11/19/2021 CALL \$85.00 / CUSIP: / Symbol:							
11/01/21	1.000	84.98	09/23/21	335.00	...	-250.02	Option sale to close-call <sup>25</sup>
PINS 07/16/2021 CALL \$72.00 / CUSIP: / Symbol:							
07/16/21	1.000	0.00	07/15/21	34.00	...	-34.00	Option expiration- long call
PLTR 08/20/2021 CALL \$23.00 / CUSIP: / Symbol:							
08/04/21	2.000	171.98	07/28/21	196.00	...	-24.02	Option sale to close-call <sup>25</sup>
PLUG 07/23/2021 CALL \$27.50 / CUSIP: / Symbol:							
07/22/21	1.000	24.98	07/21/21	47.00	...	-22.02	Option sale to close-call <sup>25</sup>
PTON 09/17/2021 CALL \$114.00 / CUSIP: / Symbol:							
09/17/21	1.000	0.00	09/14/21	212.00	...	-212.00	Option expiration- long call
PYPL 12/31/2021 CALL \$225.00 / CUSIP: / Symbol:							
11/17/21	1.000	354.98	11/16/21	565.00	...	-210.02	Option sale to close-call <sup>25</sup>
QCOM 02/19/2021 CALL \$162.50 / CUSIP: / Symbol:							
02/19/21	3.000	0.00	02/04/21	309.00	...	-309.00	Option expiration- long call
QCOM 02/26/2021 CALL \$155.00 / CUSIP: / Symbol:							
02/19/21	1.000	17.98	02/09/21	188.00	...	-170.02	Option sale to close-call <sup>25</sup>
RBLX 12/31/2021 CALL \$105.00 / CUSIP: / Symbol:							
12/21/21	1.000	233.98	12/17/21	510.00	...	-276.02	Option sale to close-call <sup>25</sup>
RIDE 05/28/2021 CALL \$10.50 / CUSIP: / Symbol:							
05/27/21	5.000	109.98	05/27/21	110.00	...	-0.02	Option sale to close-call <sup>25</sup>
SFIX 02/19/2021 CALL \$90.00 / CUSIP: / Symbol:							
02/11/21	1.000	449.98	02/04/21	320.00	...	129.98	Option sale to close-call <sup>25</sup>
SNAP 07/30/2021 CALL \$75.50 / CUSIP: / Symbol:							
		<i>2 transactions for 07/30/21. Total proceeds and cost reported to the IRS.</i>					
	2.000	119.98	07/30/21	80.00	...	39.98	1 of 2 - Option sale to close-call <sup>25</sup>
	3.000	179.98	07/30/21	120.00	...	59.98	2 of 2 - Option sale to close-call <sup>25</sup>
07/30/21	5.000	299.96	Various	200.00	...	99.96	Total of 2 transactions

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Robinhood Securities LLC

Account 819553793

Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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SNAP 12/17/2021 CALL \$55.00 / CUSIP: / Symbol:							
11/17/21	1.000	304.98	11/08/21	367.00	...	-62.02	Option sale to close-call <sup>25</sup>
SPOT 02/12/2021 CALL \$340.00 / CUSIP: / Symbol:							
02/09/21	1.000	149.98	02/03/21	400.00	...	-250.02	Option sale to close-call <sup>25</sup>
SPY 07/16/2021 PUT \$435.00 / CUSIP: / Symbol:							
07/15/21	1.000	196.98	07/15/21	121.00	...	75.98	Option sale to close-put <sup>25</sup>
SPY 08/06/2021 PUT \$432.00 / CUSIP: / Symbol:							
07/28/21	1.000	208.98	07/27/21	282.00	...	-73.02	Option sale to close-put <sup>25</sup>
SQ 01/21/2022 CALL \$185.00 / CUSIP: / Symbol:							
12/13/21	1.000	669.98	12/10/21	975.00	...	-305.02	Option sale to close-call <sup>25</sup>
SQ 11/05/2021 CALL \$270.00 / CUSIP: / Symbol:							
10/27/21	1.000	404.98	10/27/21	475.00	...	-70.02	Option sale to close-call <sup>25</sup>
SQ 12/03/2021 CALL \$225.00 / CUSIP: / Symbol:							
11/29/21	2.000	457.98	11/24/21	556.00	...	-98.02	Option sale to close-call <sup>25</sup>
SWCH 03/19/2021 CALL \$15.00 / CUSIP: / Symbol:							
03/15/21	2.000	99.98	03/12/21	70.00	...	29.98	Option sale to close-call <sup>25</sup>
03/16/21	1.000	59.98	03/12/21	35.00	...	24.98	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>159.96</b>		<b>105.00</b>	...	<b>54.96</b>	
TELL 03/19/2021 CALL \$2.50 / CUSIP: / Symbol:							
03/11/21	3.000	104.98	03/11/21	99.00	...	5.98	Option sale to close-call <sup>25</sup>
TSLA 10/01/2021 CALL \$800.00 / CUSIP: / Symbol:							
	2 transactions for 09/24/21. Total proceeds and cost reported to the IRS.						
	1.000	199.98	09/22/21	80.00	...	119.98	1 of 2 - Option sale to close-call <sup>25</sup>
	3.000	467.98	09/22/21	240.00	...	227.98	2 of 2 - Option sale to close-call <sup>25</sup>
09/24/21	4.000	667.96	Various	320.00	...	347.96	Total of 2 transactions
TSLA 11/26/2021 CALL \$1,200.00 / CUSIP: / Symbol:							
11/17/21	1.000	879.98	11/17/21	1,155.00	...	-275.02	Option sale to close-call <sup>25</sup>

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Account 819553793

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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TSLA 12/23/2021 CALL \$1,050.00 / CUSIP: / Symbol:							
12/16/21	1.000	624.98	12/15/21	825.00	...	-200.02	Option sale to close-call <sup>25</sup>
U 10/15/2021 CALL \$150.00 / CUSIP: / Symbol:							
10/13/21	1.000	14.98	09/23/21	390.00	...	-375.02	Option sale to close-call <sup>25</sup>
UEC 04/16/2021 CALL \$3.00 / CUSIP: / Symbol:							
03/16/21	5.000	274.98	03/15/21	210.00	...	64.98	Option sale to close-call <sup>25</sup>
UPH 12/17/2021 CALL \$2.50 / CUSIP: / Symbol:							
11/16/21	5.000	339.98	11/08/21	200.00	...	139.98	Option sale to close-call <sup>25</sup>
ZM 10/29/2021 CALL \$300.00 / CUSIP: / Symbol:							
10/22/21	3.000	494.98	10/21/21	132.00	...	362.98	Option sale to close-call <sup>25</sup>
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
3 transactions for 06/17/21. Total proceeds and cost reported to the IRS.							
	3.000	183.54	06/02/21	183.69	...	-0.15	1 of 3 - Sale <sup>25</sup>
	0.266	16.28	06/02/21	16.29	...	-0.01	2 of 3 - Sale <sup>25</sup>
	0.000	0.02	06/02/21	0.02	...	0.00	3 of 3 - Sale <sup>25</sup>
06/17/21	3.266	199.84	Various	200.00	...	-0.16	Total of 3 transactions
ARK INNOVATION ETF / CUSIP: 00214Q104 / Symbol:							
15 transactions for 06/30/21. Total proceeds and cost reported to the IRS.							
	2.791	368.51	02/16/21	434.39	...	-65.88	1 of 15 - Sale <sup>25</sup>
	0.213	28.12	02/16/21	33.14	...	-5.02	2 of 15 - Sale <sup>25</sup>
	0.207	27.28	02/16/21	32.16	...	-4.88	3 of 15 - Sale <sup>25</sup>
	0.002	0.26	02/16/21	0.31	...	-0.05	4 of 15 - Sale <sup>25</sup>
	1.324	174.85	02/17/21	199.79	...	-24.94	5 of 15 - Sale <sup>25</sup>
	1.000	132.02	02/17/21	150.76	...	-18.74	6 of 15 - Sale <sup>25</sup>
	0.326	43.03	02/17/21	49.13	...	-6.10	7 of 15 - Sale <sup>25</sup>
	0.001	0.18	02/17/21	0.21	...	-0.03	8 of 15 - Sale <sup>25</sup>
	0.001	0.07	02/17/21	0.08	...	-0.01	9 of 15 - Sale <sup>25</sup>
	7.000	924.14	02/23/21	974.89	...	-50.75	10 of 15 - Sale <sup>25</sup>
	0.179	23.63	02/23/21	24.93	...	-1.30	11 of 15 - Sale <sup>25</sup>
	0.001	0.17	02/23/21	0.18	...	-0.01	12 of 15 - Sale <sup>25</sup>

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Account 819553793

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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ARK INNOVATION ETF / CUSIP: 00214Q104 / Symbol: (cont'd)							
	3.968	523.88	03/03/21	500.00	...	23.88	13 of 15 - Sale <sup>25</sup>
	0.009	1.14	03/12/21	1.08	...	0.06	14 of 15 - Sale <sup>25</sup>
	0.399	52.70	03/12/21	49.85	...	2.85	15 of 15 - Sale <sup>25</sup>
06/30/21	17.422	2,299.98	Various	2,450.90	...	-150.92	Total of 15 transactions
	2 transactions for 08/23/21. Total proceeds and cost reported to the IRS.						
	7.600	907.38	03/12/21	949.07	...	-41.69	1 of 2 - Sale <sup>25</sup>
	0.106	12.61	03/12/21	13.24	...	-0.63	2 of 2 - Sale <sup>25</sup>
08/23/21	7.706	919.99	Various	962.31	...	-42.32	Total of 2 transactions
	<b>Security total:</b>	<b>3,219.97</b>		<b>3,413.21</b>	...	<b>-193.24</b>	
ARK FINTECH INNOVATION ETF / CUSIP: 00214Q708 / Symbol:							
	6 transactions for 08/23/21. Total proceeds and cost reported to the IRS.						
	7.306	380.57	02/17/21	458.01	...	-77.44	1 of 6 - Sale <sup>25</sup>
	0.657	34.21	02/17/21	41.16	...	-6.95	2 of 6 - Sale <sup>25</sup>
	0.010	0.53	02/17/21	0.64	...	-0.11	3 of 6 - Sale <sup>25</sup>
	0.003	0.16	02/17/21	0.19	...	-0.03	4 of 6 - Sale <sup>25</sup>
	4.275	222.72	02/24/21	245.75	...	-23.03	5 of 6 - Sale <sup>25</sup>
	0.419	21.80	02/24/21	24.03	...	-2.23	6 of 6 - Sale <sup>25</sup>
08/23/21	12.670	659.99	Various	769.78	...	-109.79	Total of 6 transactions
11/17/21	12.704	659.84	02/24/21	730.22	...	-70.38	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,319.83</b>		<b>1,500.00</b>	...	<b>-180.17</b>	
AEVA TECHNOLOGIES, INC. / CUSIP: 00835Q103 / Symbol:							
	2 transactions for 03/15/21. Total proceeds and cost reported to the IRS.						
	0.611	8.38	03/08/21	7.34	...	1.04	1 of 2 - Sale <sup>25</sup>
	3.000	41.11	03/08/21	36.05	...	5.06	2 of 2 - Sale <sup>25</sup>
03/15/21	3.611	49.49	Various	43.39	...	6.10	Total of 2 transactions
BEST INC. AMERICAN DEPOSITORY SHARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 08653C106 / Symbol:							
	2 transactions for 09/23/21. Total proceeds and cost reported to the IRS.						
	0.414	0.77	06/25/21	0.73	...	0.04	1 of 2 - Sale <sup>25</sup>
	284.000	529.05	06/25/21	499.27	...	29.78	2 of 2 - Sale <sup>25</sup>
09/23/21	284.414	529.82	Various	500.00	...	29.82	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

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BLACKBERRY LIMITED / CUSIP: 09228F103 / Symbol:							
4 transactions for 01/28/21. Total proceeds and cost reported to the IRS.							
	12.815	200.68	01/25/21	230.29	...	-29.61	1 of 4 - Sale <sup>25</sup>
	0.174	2.74	01/25/21	3.52	...	-0.78	2 of 4 - Sale <sup>25</sup>
	0.174	2.74	01/25/21	3.13	...	-0.39	3 of 4 - Sale <sup>25</sup>
	0.011	0.16	01/25/21	0.19	...	-0.03	4 of 4 - Sale <sup>25</sup>
01/28/21	13.174	206.32	Various	237.13	...	-30.81	Total of 4 transactions
01/28/21	0.739	11.62	01/25/21	13.26	0.39 W	-1.25	Sale <sup>25</sup>
	<b>Security total:</b>	<b>217.94</b>		<b>250.39</b>	<b>0.39 W</b>	<b>-32.06</b>	
BLINK CHARGING CO. COMMON STOCK / CUSIP: 09354A100 / Symbol:							
02/10/21	32.794	1,810.65	02/02/21	1,500.00	...	310.65	Sale <sup>25</sup>
02/16/21	11.891	610.15	02/12/21	600.00	...	10.15	Sale <sup>25</sup>
11/17/21	10.891	509.40	02/17/21	500.00	...	9.40	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,930.20</b>		<b>2,600.00</b>	...	<b>330.20</b>	
CAPSTONE GREEN ENERGY CORPORATION COMMON STOCK / CUSIP: 14067D508 / Symbol:							
2 transactions for 02/18/21. Total proceeds and cost reported to the IRS.							
	90.592	749.17	02/10/21	991.08	...	-241.91	1 of 2 - Sale <sup>25</sup>
	0.408	3.37	02/10/21	5.51	...	-2.14	2 of 2 - Sale <sup>25</sup>
02/18/21	91.000	752.54	Various	996.59	...	-244.05	Total of 2 transactions
02/18/21	0.408	3.41	02/10/21	4.46	1.05 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>755.95</b>		<b>1,001.05</b>	<b>1.05 W</b>	<b>-244.05</b>	
CASTLE BIOSCIENCES, INC. COMMON STOCK / CUSIP: 14843C105 / Symbol:							
02/02/21	7.940	624.96	01/25/21	600.00	...	24.96	Sale <sup>25</sup>
CBAK ENERGY TECHNOLOGY, INC. COMMON STOCK / CUSIP: 14986C102 / Symbol:							
02/16/21	133.693	1,002.66	02/11/21	1,000.00	...	2.66	Sale <sup>25</sup>
CHEWY, INC. / CUSIP: 16679L109 / Symbol:							
2 transactions for 09/17/21. Total proceeds and cost reported to the IRS.							
	1.000	75.65	09/07/21	76.36	...	-0.71	1 of 2 - Sale <sup>25</sup>
	0.965	72.97	09/07/21	73.64	...	-0.67	2 of 2 - Sale <sup>25</sup>
09/17/21	1.965	148.62	Various	150.00	...	-1.38	Total of 2 transactions

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Robinhood Securities LLC

Account 819553793

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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**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
CLOVER HEALTH INVESTMENTS, COR P. CLASS A COMMON STOCK / CUSIP: 18914F103 / Symbol:							
4 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	20.000	313.40	12/31/20	325.68	...	-12.28	1 of 4 - Sale <sup>25</sup>
	0.472	7.40	12/31/20	7.68	...	-0.28	2 of 4 - Sale <sup>25</sup>
	0.008	0.12	12/31/20	0.13	...	-0.01	3 of 4 - Sale <sup>25</sup>
	0.005	0.08	12/31/20	0.08	...	0.00	4 of 4 - Sale <sup>25</sup>
01/27/21	20.485	321.00	Various	333.57	...	-12.57	Total of 4 transactions
DYNAVAX TECHNOLOGIES CORPORATI ON COMMON STOCK / CUSIP: 268158201 / Symbol:							
2 transactions for 11/03/21. Total proceeds and cost reported to the IRS.							
	0.727	15.09	09/07/21	12.70	...	2.39	1 of 2 - Sale <sup>25</sup>
	5.000	103.70	09/07/21	87.30	...	16.40	2 of 2 - Sale <sup>25</sup>
11/03/21	5.727	118.79	Various	100.00	...	18.79	Total of 2 transactions
ETSY, INC. COMMON STOCK / CUSIP: 29786A106 / Symbol:							
2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	3.997	806.30	01/26/21	829.48	...	-23.18	1 of 2 - Sale <sup>25</sup>
	0.822	165.89	01/26/21	170.52	...	-4.63	2 of 2 - Sale <sup>25</sup>
01/27/21	4.819	972.19	Various	1,000.00	...	-27.81	Total of 2 transactions
FIRSTMARK HORIZON ACQUISITION CORP. / CUSIP: 33765Y101 / Symbol:							
3 transactions for 02/10/21. Total proceeds and cost reported to the IRS.							
	61.797	717.43	02/09/21	751.76	...	-34.33	1 of 3 - Sale <sup>25</sup>
	20.000	232.20	02/09/21	243.30	...	-11.10	2 of 3 - Sale <sup>25</sup>
	0.203	2.36	02/09/21	2.58	...	-0.22	3 of 3 - Sale <sup>25</sup>
02/10/21	82.000	951.99	Various	997.64	...	-45.65	Total of 3 transactions
02/10/21	0.203	2.36	02/09/21	2.47	0.11 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>954.35</b>		<b>1,000.11</b>	<b>0.11 W</b>	<b>-45.65</b>	
FIVE BELOW, INC. COMMON STOCK / CUSIP: 33829M101 / Symbol:							
2 transactions for 09/17/21. Total proceeds and cost reported to the IRS.							
	0.693	131.55	09/02/21	132.59	...	-1.04	1 of 2 - Sale <sup>25</sup>
	0.307	58.25	09/02/21	59.13	...	-0.88	2 of 2 - Sale <sup>25</sup>
09/17/21	1.000	189.80	Various	191.72	...	-1.92	Total of 2 transactions

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Robinhood Securities LLC

Account 819553793

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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FIVE BELOW, INC. COMMON STOCK / CUSIP: 33829M101 / Symbol: (cont'd)							
09/17/21	0.307	58.28	09/02/21	58.70	0.42 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>248.08</b>		<b>250.42</b>	<b>0.42 W</b>	<b>-1.92</b>	
GAMESTOP CORP. CLASS A / CUSIP: 36467W109 / Symbol:							
3 transactions for 01/26/21. Total proceeds and cost reported to the IRS.							
	0.011	2.40	01/25/21	0.80	...	1.60	1 of 3 - Sale <sup>25</sup>
	0.346	77.26	01/25/21	25.87	...	51.39	2 of 3 - Sale <sup>25</sup>
	3.000	669.34	01/25/21	223.33	...	446.01	3 of 3 - Sale <sup>25</sup>
01/26/21	3.357	749.00	Various	250.00	...	499.00	Total of 3 transactions
3 transactions for 02/26/21. Total proceeds and cost reported to the IRS.							
	3.000	360.99	02/24/21	406.95	...	-45.96	1 of 3 - Sale <sup>25</sup>
	0.233	28.06	02/24/21	31.66	...	-3.60	2 of 3 - Sale <sup>25</sup>
	0.003	0.35	02/24/21	0.39	...	-0.04	3 of 3 - Sale <sup>25</sup>
02/26/21	3.236	389.40	Various	439.00	...	-49.60	Total of 3 transactions
	<b>Security total:</b>	<b>1,138.40</b>		<b>689.00</b>	...	<b>449.40</b>	
ROUNDHILL STREAMING SERVICES & TECHNOLOGY ETF / CUSIP: 53656F441 / Symbol:							
11/03/21	28.000	302.40	02/16/21	456.96	...	-154.56	Sale <sup>25</sup>
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
02/10/21	15.795	970.12	01/12/21	1,000.00	29.88 W	0.00	Sale <sup>25</sup>
9 transactions for 06/08/21. Total proceeds and cost reported to the IRS.							
	8.494	373.46	02/17/21	499.69	...	-126.23	1 of 9 - Sale <sup>25</sup>
	0.273	12.01	02/17/21	16.06	...	-4.05	2 of 9 - Sale <sup>25</sup>
	0.015	0.64	02/17/21	0.86	...	-0.22	3 of 9 - Sale <sup>25</sup>
	7.004	307.94	02/18/21	393.81	...	-85.87	4 of 9 - Sale <sup>25</sup>
	7.032	309.20	02/18/21	382.12	...	-72.92	5 of 9 - Sale <sup>25</sup>
	0.011	0.47	02/18/21	0.60	...	-0.13	6 of 9 - Sale <sup>25</sup>
	0.001	0.06	03/04/21	0.05	...	0.01	7 of 9 - Sale <sup>25</sup>
	0.459	20.18	03/04/21	18.02	...	2.16	8 of 9 - Sale <sup>25</sup>
	10.000	439.69	03/04/21	392.90	...	46.79	9 of 9 - Sale <sup>25</sup>
06/08/21	33.288	1,463.65	Various	1,704.11	...	-240.46	Total of 9 transactions
	<b>Security total:</b>	<b>2,433.77</b>		<b>2,704.11</b>	<b>29.88 W</b>	<b>-240.46</b>	

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Robinhood Securities LLC

Account 819553793

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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NANO DIMENSION LTD. AMERICAN D EPOSITARY SHARES / CUSIP: 63008G203 / Symbol:							
2 transactions for 02/02/21. Total proceeds and cost reported to the IRS.							
	71.000	990.58	02/02/21	994.71	...	-4.13	1 of 2 - Sale <sup>25</sup>
	0.378	5.29	02/02/21	5.29	...	0.00	2 of 2 - Sale <sup>25</sup>
02/02/21	71.378	995.87	Various	1,000.00	...	-4.13	Total of 2 transactions
NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol:							
5 transactions for 01/14/21. Total proceeds and cost reported to the IRS.							
	0.000	0.07	01/12/21	0.07	...	0.00	1 of 5 - Sale <sup>25</sup>
	0.019	9.45	01/12/21	9.18	...	0.27	2 of 5 - Sale <sup>25</sup>
	0.019	9.46	01/12/21	9.18	...	0.28	3 of 5 - Sale <sup>25</sup>
	0.021	10.46	01/12/21	10.17	...	0.29	4 of 5 - Sale <sup>25</sup>
	1.981	999.91	01/12/21	971.40	...	28.51	5 of 5 - Sale <sup>25</sup>
01/14/21	2.040	1,029.35	Various	1,000.00	...	29.35	Total of 5 transactions
PALANTIR TECHNOLOGIES INC. CLASS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
6 transactions for 08/31/21. Total proceeds and cost reported to the IRS.							
	18.586	483.23	02/12/21	599.76	...	-116.53	1 of 6 - Sale <sup>25</sup>
	0.007	0.19	02/12/21	0.24	...	-0.05	2 of 6 - Sale <sup>25</sup>
	0.045	1.17	02/18/21	1.12	...	0.05	3 of 6 - Sale <sup>25</sup>
	12.999	337.96	02/18/21	325.72	...	12.24	4 of 6 - Sale <sup>25</sup>
	0.153	3.98	02/26/21	3.47	...	0.51	5 of 6 - Sale <sup>25</sup>
	6.672	173.46	02/26/21	151.65	...	21.81	6 of 6 - Sale <sup>25</sup>
08/31/21	38.461	999.99	Various	1,081.96	...	-81.97	Total of 6 transactions
ROBLOX CORPORATION / CUSIP: 771049103 / Symbol:							
2 transactions for 11/03/21. Total proceeds and cost reported to the IRS.							
	0.006	0.49	09/30/21	0.47	...	0.02	1 of 2 - Sale <sup>25</sup>
	0.888	70.92	09/30/21	68.06	...	2.86	2 of 2 - Sale <sup>25</sup>
11/03/21	0.894	71.41	Various	68.53	...	2.88	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

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SECUREWORKS CORP. CLASS A COMM ON STOCK / CUSIP: 81374A105 / Symbol:							
2 transactions for 09/17/21. Total proceeds and cost reported to the IRS.							
	0.627	15.36	09/02/21	11.80	...	3.56	1 of 2 - Sale <sup>25</sup>
	10.000	244.00	09/02/21	188.20	...	55.80	2 of 2 - Sale <sup>25</sup>
09/17/21	10.627	259.36	Various	200.00	...	59.36	Total of 2 transactions
SPHERE 3D CORP. COMMON SHARES / CUSIP: 84841L308 / Symbol:							
2 transactions for 07/08/21. Total proceeds and cost reported to the IRS.							
	0.020	0.06	06/25/21	0.05	...	0.01	1 of 2 - Sale <sup>25</sup>
	201.593	602.73	06/25/21	499.95	...	102.78	2 of 2 - Sale <sup>25</sup>
07/08/21	201.613	602.79	Various	500.00	...	102.79	Total of 2 transactions
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
3 transactions for 02/16/21. Total proceeds and cost reported to the IRS.							
	0.207	0.42	02/12/21	0.42	...	0.00	1 of 3 - Sale <sup>25</sup>
	0.453	0.92	02/12/21	0.91	...	0.01	2 of 3 - Sale <sup>25</sup>
	247.000	501.63	02/12/21	498.67	...	2.96	3 of 3 - Sale <sup>25</sup>
02/16/21	247.660	502.97	Various	500.00	...	2.97	Total of 3 transactions
SUZUKI MOTOR CORP UNSPONSORED ADR (JAPAN) / CUSIP: 86959X107 / Symbol:							
12/15/21	2.000	320.62	11/29/21	333.00	...	-12.38	Sale <sup>25</sup>
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	0.163	134.55	01/12/21	140.37	5.82 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	823.52	01/12/21	859.63	36.11 W	0.00	2 of 2 - Sale <sup>25</sup>
01/27/21	1.163	958.07	Various	1,000.00	41.93 W	0.00	Total of 2 transactions
2 transactions for 02/11/21. Total proceeds and cost reported to the IRS.							
	0.475	385.11	02/10/21	383.83	...	1.28	1 of 2 - Sale <sup>25</sup>
	0.835	677.26	02/10/21	675.19	...	2.07	2 of 2 - Sale <sup>25</sup>
02/11/21	1.309	1,062.37	Various	1,059.02	...	3.35	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

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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
2 transactions for 02/11/21. Total proceeds and cost reported to the IRS.							
	0.163	132.49	02/10/21	137.90	5.41 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	811.37	02/10/21	845.01	33.64 W	0.00	2 of 2 - Sale <sup>25</sup>
02/11/21	1.163	943.86	Various	982.91	39.05 W	0.00	Total of 2 transactions
02/16/21	0.091	72.66	02/12/21	72.65	...	0.01	Sale <sup>25</sup>
4 transactions for 02/16/21. Total proceeds and cost reported to the IRS.							
	0.163	130.19	02/12/21	135.54	5.35 W	0.00	1 of 4 - Sale <sup>25</sup>
	0.091	72.51	02/12/21	75.54	3.03 W	0.00	2 of 4 - Sale <sup>25</sup>
	0.000	0.15	02/12/21	0.18	0.03 W	0.00	3 of 4 - Sale <sup>25</sup>
	0.909	724.45	02/12/21	754.88	30.43 W	0.00	4 of 4 - Sale <sup>25</sup>
02/16/21	1.163	927.30	Various	966.14	38.84 W	0.00	Total of 4 transactions
3 transactions for 03/11/21. Total proceeds and cost reported to the IRS.							
	0.145	101.37	02/12/21	115.64	14.27 W	0.00	1 of 3 - Sale <sup>25</sup>
	0.000	0.05	02/12/21	0.07	0.02 W	0.00	2 of 3 - Sale <sup>25</sup>
	1.000	698.56	02/12/21	796.96	98.40 W	0.00	3 of 3 - Sale <sup>25</sup>
03/11/21	1.145	799.98	Various	912.67	112.69 W	0.00	Total of 3 transactions
2 transactions for 03/12/21. Total proceeds and cost reported to the IRS.							
	0.019	12.85	03/05/21	12.33	...	0.52	1 of 2 - Sale <sup>25</sup>
	0.035	24.40	03/05/21	23.40	...	1.00	2 of 2 - Sale <sup>25</sup>
03/12/21	0.054	37.25	Various	35.73	...	1.52	Total of 2 transactions
9 transactions for 03/12/21. Total proceeds and cost reported to the IRS.							
	0.110	75.59	02/12/21	87.59	12.00 W	0.00	1 of 9 - Sale <sup>25</sup>
	0.000	0.15	02/17/21	0.20	0.05 W	0.00	2 of 9 - Sale <sup>25</sup>
	0.091	62.55	02/17/21	73.54	10.99 W	0.00	3 of 9 - Sale <sup>25</sup>
	0.163	112.31	02/17/21	131.96	19.65 W	0.00	4 of 9 - Sale <sup>25</sup>
	0.090	61.59	02/17/21	72.42	10.83 W	0.00	5 of 9 - Sale <sup>25</sup>
	0.656	451.22	02/17/21	530.60	79.38 W	0.00	6 of 9 - Sale <sup>25</sup>
	0.126	86.95	02/17/21	110.46	23.51 W	0.00	7 of 9 - Sale <sup>25</sup>
	0.163	112.32	02/17/21	132.09	19.77 W	0.00	8 of 9 - Sale <sup>25</sup>
	0.000	0.06	03/05/21	0.07	0.01 W	0.00	9 of 9 - Sale <sup>25</sup>
03/12/21	1.400	962.74	Various	1,138.93	176.19 W	0.00	Total of 9 transactions

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
14 transactions for 07/23/21. Total proceeds and cost reported to the IRS.							
	0.275	176.89	03/05/21	181.60	...	-4.71	1 of 14 - Sale <sup>25</sup>
	0.205	131.69	03/05/21	135.21	...	-3.52	2 of 14 - Sale <sup>25</sup>
	0.484	311.06	03/08/21	329.30	...	-18.24	3 of 14 - Sale <sup>25</sup>
	0.163	104.89	03/08/21	114.62	...	-9.73	4 of 14 - Sale <sup>25</sup>
	0.091	58.42	03/08/21	63.88	...	-5.46	5 of 14 - Sale <sup>25</sup>
	0.090	57.52	03/08/21	62.91	...	-5.39	6 of 14 - Sale <sup>25</sup>
	0.110	70.59	03/08/21	75.92	...	-5.33	7 of 14 - Sale <sup>25</sup>
	0.062	39.73	03/08/21	43.46	...	-3.73	8 of 14 - Sale <sup>25</sup>
	0.000	0.14	03/08/21	0.17	...	-0.03	9 of 14 - Sale <sup>25</sup>
	0.594	381.66	03/19/21	455.87	...	-74.21	10 of 14 - Sale <sup>25</sup>
	0.126	81.20	03/19/21	105.20	...	-24.00	11 of 14 - Sale <sup>25</sup>
	0.163	104.88	03/19/21	125.29	...	-20.41	12 of 14 - Sale <sup>25</sup>
	0.116	74.55	03/19/21	75.00	...	-0.45	13 of 14 - Sale <sup>25</sup>
	0.000	0.05	03/19/21	0.06	...	-0.01	14 of 14 - Sale <sup>25</sup>
07/23/21	2.480	1,593.27	Various	1,768.49	...	-175.22	Total of 14 transactions
	<b>Security total:</b>	<b>7,357.50</b>		<b>7,936.54</b>	<b>408.70 W</b>	<b>-170.34</b>	
TEXAS CAPITAL BANCSHARES, INC. COMMON STOCK / CUSIP: 88224Q107 / Symbol:							
09/17/21	4.970	280.73	09/02/21	300.00	...	-19.27	Sale <sup>25</sup>
UWM HOLDINGS CORPORATION / CUSIP: 91823B109 / Symbol:							
3 transactions for 02/18/21. Total proceeds and cost reported to the IRS.							
	37.979	325.67	12/31/20	498.21	...	-172.54	1 of 3 - Sale <sup>25</sup>
	0.116	0.99	12/31/20	1.52	...	-0.53	2 of 3 - Sale <sup>25</sup>
	0.021	0.18	12/31/20	0.27	...	-0.09	3 of 3 - Sale <sup>25</sup>
02/18/21	38.116	326.84	Various	500.00	...	-173.16	Total of 3 transactions
VERVE THERAPEUTICS, INC. COMMON STOCK / CUSIP: 92539P101 / Symbol:							
2 transactions for 06/21/21. Total proceeds and cost reported to the IRS.							
	0.301	11.38	06/17/21	9.13	...	2.25	1 of 2 - Sale <sup>25</sup>
	2.995	113.03	06/17/21	90.87	...	22.16	2 of 2 - Sale <sup>25</sup>
06/21/21	3.296	124.41	Various	100.00	...	24.41	Total of 2 transactions

\* 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 819553793

**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
VISA INC. / CUSIP: 92826C839 / Symbol:							
01/21/21	9.899	2,029.50	01/15/21	2,000.00	...	29.50	Sale <sup>25</sup>
SOCIAL CAPITAL HEDOSOPHIA HOLD INGS CORP. IV / CUSIP: G82514103 / Symbol:							
<i>3 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	27.000	380.97	01/28/21	389.61	...	-8.64	1 of 3 - Sale <sup>25</sup>
	0.672	9.50	01/28/21	9.70	...	-0.20	2 of 3 - Sale <sup>25</sup>
	0.048	0.68	01/28/21	0.69	...	-0.01	3 of 3 - Sale <sup>25</sup>
02/23/21	27.720	391.15	Various	400.00	...	-8.85	Total of 3 transactions
SOCIAL CAPITAL HEDOSOPHIA HOLD INGS CORP. VI / CUSIP: G8251L105 / Symbol:							
<i>4 transactions for 01/28/21. Total proceeds and cost reported to the IRS.</i>							
	29.949	398.63	01/28/21	399.22	...	-0.59	1 of 4 - Sale <sup>25</sup>
	0.030	0.40	01/28/21	0.40	...	0.00	2 of 4 - Sale <sup>25</sup>
	0.023	0.30	01/28/21	0.30	...	0.00	3 of 4 - Sale <sup>25</sup>
	0.051	0.67	01/28/21	0.67	...	0.00	4 of 4 - Sale <sup>25</sup>
01/28/21	30.053	400.00	Various	400.59	...	-0.59	Total of 4 transactions
02/23/21	44.967	624.13	01/28/21	599.41	...	24.72	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,024.13</b>		<b>1,000.00</b>	...	<b>24.13</b>	
<b>Totals :</b>		<b>52,644.33</b>		<b>55,907.26</b>	<b>560.57 W</b>	<b>-2,702.36</b>	

\* 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 819553793

**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
ARK INNOVATION ETF	00214Q104		12/31/21	3.65	Short-term capital gain	03
			12/31/21	2.03	Long-term capital gain	
			12/31/21	0.48	Qualified dividend	03
				<b>6.16</b>	<b>Total Dividends &amp; distributions</b>	
				<b>6.16</b>	<b>Total Dividends &amp; distributions</b>	

Robinhood Securities LLC

Account 819553793

**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
		06/08/21	-5.00	Margin interest paid	
		07/08/21	-5.00	Margin interest paid	
			-10.00	Total Margin interest paid	
			<b>-10.00</b>	<b>Total Margin interest paid</b>	

Robinhood Securities LLC

Account 819553793

## Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
AEVA TECHNOLOGIES, INC.	00835Q103	03/15/21	3.61	0.00	Exchange	
CLOVER HEALTH INVESTMENTS, COR P. CLASS A COMMON STOCK	18914F103	01/08/21	30.76	0.00	Exchange	
DECARBONIZATION PLUS ACQUISITION CORPORATION III CLASS A COMMON STOCK	24279D105	12/09/21	-20.05	0.00	Exchange	
GORES HOLDINGS IV, INC. CLASS A COMMON STOCK	382865103	01/22/21	-38.12	0.00	Exchange	
INTERPRIVATE ACQUISITION CORP. COMMON STOCK	46064A103	03/15/21	-3.61	0.00	Exchange	
SOLID POWER, INC. CLASS A COMMON STOCK	83422N105	12/09/21	20.05	0.00	Exchange	
UWM HOLDINGS CORPORATION	91823B109	01/22/21	38.12	0.00	Exchange	
SOCIAL CAPITAL HEDOSOPHIA HOLDINGS CORP. III	G8251K107	01/08/21	-30.76	0.00	Exchange	

03 The tax character of the distribution has been allocated based on information provided by the security issuer.

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

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### 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](http://www.irs.gov/Form1099DIV).

**Free File.** Go to [www.irs.gov/FreeFile](http://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](http://www.irs.gov/Form1099B).

**Free File.** Go to [www.irs.gov/FreeFile](http://www.irs.gov/FreeFile) to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.