

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 143353407	Statement Date: 03/02/2022 AMENDED Document ID: AJ89 WWP 58B2	2021
	Kishore kumar Serala 1530 NW 128th Dr Apt 303 Sunrise, FL 33323 RECIPIENT'S TIN: XXX-XX-0191		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2021 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e) 12.24</p> <p>1b- Qualified dividends 5.12</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f) 0.00</p> <p>2b- Unrecaptured Section 1250 gain 0.00</p> <p>2c- Section 1202 gain 0.00</p> <p>2d- Collectibles (28%) gain 0.00</p> <p>2e- Section 897 ordinary dividends 0.00</p> <p>2f- Section 897 capital gain 0.00</p> <p>3- Nondividend distributions 84.39</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 7.12</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>MISCELLANEOUS INFORMATION 2021 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p>SECTION 1256 CONTRACTS 2021 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2021 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2020 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2021 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p> <p>* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.</p>
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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

Refer to the 1099-B and Proceeds not reported to the IRS pages to ensure that you consider all relevant items and to determine the correct gains and losses. The amounts shown below are for informational purposes.

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	35,746.19	35,314.75	0.00	585.40	1,016.84 C
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	4.54	3.16	0.00	0.00	1.38
	Total Short-term	35,750.73	35,317.91	0.00	585.40	1,018.22
Long	D (basis reported to the IRS)	1,120.55	767.66	0.00	0.00	352.89
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	1,120.55	767.66	0.00	0.00	352.89
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	36,871.28	36,085.57	0.00	585.40	1,371.11
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 143353407

Summary Information

2021

(continued)

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INTEREST INCOME

2021 1099-INT

OMB No. 1545-0112

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

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

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

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

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

03/02/2022 AMENDED

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

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

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

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

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
AG MORTGAGE INVESTMENT TRUST, INC. / CUSIP: 001228501 / Symbol:							
3 transactions for 11/16/21. Total proceeds and cost reported to the IRS.							
	0.028	0.32	02/01/21	0.28	...	0.04	1 of 3 - Sale ²⁵
	0.051	0.58	05/03/21	0.58	...	0.00	2 of 3 - Sale ²⁵
	0.054	0.61	11/01/21	0.63	...	-0.02	3 of 3 - Sale ²⁵
11/16/21	0.132	1.51	Various	1.49	...	0.02	Total of 3 transactions
ADAMIS PHARMACEUTICALS CORPORATION COMMON STOCK / CUSIP: 00547W208 / Symbol:							
11/16/21	300.000	298.67	02/22/21	452.67	...	-154.00	Sale ²⁵
APHRIA INC. COMMON SHARES / CUSIP: 03765K104 / Symbol:							
4 transactions for 02/17/21. Total proceeds and cost reported to the IRS.							
	0.324	6.62	06/09/20	1.69	...	4.93	1 of 4 - Sale ²⁵
	1.676	34.27	06/09/20	8.75	...	25.52	2 of 4 - Sale ²⁵

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Account 143353407

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
APHRIA INC. COMMON SHARES / CUSIP: 03765K104 / Symbol: (cont'd)							
	0.322	6.58	02/10/21	9.95	...	-3.37	3 of 4 - Sale ²⁵
	0.002	0.03	02/10/21	0.05	...	-0.02	4 of 4 - Sale ²⁵
02/17/21	2.324	47.50	Various	20.44	...	27.06	Total of 4 transactions
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
03/16/21	1.000	126.40	09/04/20	114.30	...	12.10	Sale ²⁵
	2 transactions for 03/16/21. Total proceeds and cost reported to the IRS.						
	4.000	505.60	01/06/21	510.12	4.52 W	0.00	1 of 2 - Sale ²⁵
	11.000	1,390.40	02/09/21	1,502.58	71.39 W	-40.79	2 of 2 - Sale ²⁵
03/16/21	15.000	1,896.00	Various	2,012.70	75.91 W	-40.79	Total of 2 transactions
	5 transactions for 04/06/21. Total proceeds and cost reported to the IRS.						
	0.014	1.74	02/12/21	1.85	...	-0.11	1 of 5 - Sale ²⁵
	1.000	126.01	02/17/21	131.48	...	-5.47	2 of 5 - Sale ²⁵
	2.000	252.02	02/22/21	272.00	...	-19.98	3 of 5 - Sale ²⁵
	3.000	378.03	02/22/21	380.79	...	-2.76	4 of 5 - Sale ²⁵
	5.000	630.04	03/18/21	665.49	...	-35.45	5 of 5 - Sale ²⁵
04/06/21	11.014	1,387.84	Various	1,451.61	...	-63.77	Total of 5 transactions
	Security total:	3,410.24		3,578.61	75.91 W	-92.46	
AZUL S.A. AMERICAN DEPOSITARY SHARES (EACH REPRESENTING THREE PREFERRED SHARES) / CUSIP: 05501U106 / Symbol:							
02/18/21	1.000	23.31	06/09/20	16.26	...	7.05	Sale ²⁵
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
02/18/21	2.000	418.98	05/29/20	291.00	...	127.98	Sale ²⁵
CO-DIAGNOSTICS, INC. COMMON STOCK / CUSIP: 189763105 / Symbol:							
02/16/21	2.000	36.22	05/13/20	40.68	...	-4.46	Sale ²⁵
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
	2 transactions for 04/30/21. Total proceeds and cost reported to the IRS.						
	4.000	186.96	05/07/20	88.59	...	98.37	1 of 2 - Sale ²⁵
	2.000	93.49	05/21/20	45.46	...	48.03	2 of 2 - Sale ²⁵
04/30/21	6.000	280.45	Various	134.05	...	146.40	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
THE WALT DISNEY COMPANY / CUSIP: 254687106 / Symbol:							
11/16/21	0.093	14.81	03/16/21	18.00	...	-3.19	Sale ²⁵
DRAFTKINGS INC. CLASS A COMMON STOCK / CUSIP: 26142R104 / Symbol:							
02/18/21	2.000	117.06	06/02/20	89.08	...	27.98	Sale ²⁵
GAMESTOP CORP. CLASS A / CUSIP: 36467W109 / Symbol:							
02/24/21	1.000	156.36	02/22/21	45.98	...	110.38	Sale ²⁵
INPIXON COMMON STOCK / CUSIP: 45790J800 / Symbol:							
2 transactions for 11/16/21. Total proceeds and cost reported to the IRS.							
	30.675	25.05	02/04/21	50.00	...	-24.95	1 of 2 - Sale ²⁵
	18.000	14.70	02/16/21	38.70	...	-24.00	2 of 2 - Sale ²⁵
11/16/21	48.675	39.75	Various	88.70	...	-48.95	Total of 2 transactions
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol:							
13 transactions for 02/08/21. Total proceeds and cost reported to the IRS.							
	100.000	387.15	07/01/20	357.77	...	29.38	1 of 13 - Sale ²⁵
	10.000	38.71	07/14/20	50.68	...	-11.97	2 of 13 - Sale ²⁵
	8.000	30.97	07/23/20	42.94	...	-11.97	3 of 13 - Sale ²⁵
	60.000	232.29	07/24/20	323.28	...	-90.99	4 of 13 - Sale ²⁵
	50.000	193.58	07/30/20	254.26	...	-60.68	5 of 13 - Sale ²⁵
	22.000	85.17	07/30/20	113.69	...	-28.52	6 of 13 - Sale ²⁵
	50.000	193.57	08/03/20	245.65	...	-52.08	7 of 13 - Sale ²⁵
	50.000	193.58	08/03/20	245.64	...	-52.06	8 of 13 - Sale ²⁵
	2.000	7.74	08/04/20	7.49	...	0.25	9 of 13 - Sale ²⁵
	48.000	185.83	08/04/20	179.77	...	6.06	10 of 13 - Sale ²⁵
	100.000	385.18	08/04/20	290.00	...	95.18	11 of 13 - Sale ²⁵
	300.000	1,155.53	08/12/20	915.00	...	240.53	12 of 13 - Sale ²⁵
	100.000	385.18	09/02/20	281.00	...	104.18	13 of 13 - Sale ²⁵
02/08/21	900.000	3,474.48	Various	3,307.17	...	167.31	Total of 13 transactions
02/08/21	100.000	387.15	07/10/20	515.00	23.71 W	-104.14	Sale ²⁵
2 transactions for 02/22/21. Total proceeds and cost reported to the IRS.							
	20.000	77.90	09/04/20	52.80	...	25.10	1 of 2 - Sale ²⁵
	18.545	72.23	01/27/21	105.31	...	-33.08	2 of 2 - Sale ²⁵
02/22/21	38.545	150.13	Various	158.11	...	-7.98	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
INVESCO MORTGAGE CAPITAL INC. / CUSIP: 46131B100 / Symbol: (cont'd)							
Security total:		4,011.76		3,980.28	23.71 W	55.19	
IT TECH PACKAGING, INC. / CUSIP: 46527C100 / Symbol:							
11/16/21	50.000	19.12	02/16/21	73.50	...	-54.38	Sale ²⁵
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
<i>3 transactions for 01/25/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	228.99	08/04/20	212.42	...	16.57	1 of 3 - Sale ²⁵
	1.000	228.99	08/07/20	215.00	...	13.99	2 of 3 - Sale ²⁵
	1.000	228.97	09/04/20	207.64	...	21.33	3 of 3 - Sale ²⁵
01/25/21	3.000	686.95	Various	635.06	...	51.89	Total of 3 transactions
03/23/21	2.000	475.26	03/18/21	462.44	...	12.82	Sale ²⁵
Security total:		1,162.21		1,097.50	...	64.71	
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
11/16/21	2.000	80.99	01/08/21	117.94	...	-36.95	Sale ²⁵
NEW RESIDENTIAL INVESTMENT COR P / CUSIP: 64828T201 / Symbol:							
<i>5 transactions for 05/14/21. Total proceeds and cost reported to the IRS.</i>							
	0.399	4.09	05/18/20	2.42	...	1.67	1 of 5 - Sale ²⁵
	1.000	10.24	05/18/20	6.07	...	4.17	2 of 5 - Sale ²⁵
	8.601	88.08	05/18/20	52.14	...	35.94	3 of 5 - Sale ²⁵
	0.211	2.16	02/01/21	1.98	...	0.18	4 of 5 - Sale ²⁵
	0.188	1.93	05/03/21	2.04	...	-0.11	5 of 5 - Sale ²⁵
05/14/21	10.399	106.50	Various	64.65	...	41.85	Total of 5 transactions
NVIDIA CORPORATION COMMON STOC K / CUSIP: 67066G104 / Symbol:							
04/30/21	0.196	119.28	03/18/21	100.00	...	19.28	Sale ²⁵
OCCIDENTAL PETROLEUM CORPORATI ON / CUSIP: 674599105 / Symbol:							
03/05/21	1.000	31.54	05/13/20	14.56	...	16.98	Sale ²⁵

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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
02/05/21	40.000	208.60	09/04/20	13.33	...	195.27	Sale ²⁵
02/08/21	74.028	1,159.98	02/08/21	1,356.19	...	-196.21	Sale ²⁵
	2 transactions for 02/08/21. Total proceeds and cost reported to the IRS.						
	25.827	404.70	02/08/21	438.54	31.55 W	-2.29	1 of 2 - Sale ²⁵
	0.145	2.27	02/08/21	2.46	0.19 W	0.00	2 of 2 - Sale ²⁵
02/08/21	25.972	406.97	Various	441.00	31.74 W	-2.29	Total of 2 transactions
	3 transactions for 04/01/21. Total proceeds and cost reported to the IRS.						
	24.000	163.32	02/08/21	471.13	...	-307.81	1 of 3 - Sale ²⁵
	0.145	0.99	02/08/21	2.84	...	-1.85	2 of 3 - Sale ²⁵
	0.081	0.54	02/08/21	1.58	...	-1.04	3 of 3 - Sale ²⁵
04/01/21	24.225	164.85	Various	475.55	...	-310.70	Total of 3 transactions
	Security total:	1,940.40		2,286.07	31.74 W	-313.93	
ONCONOVA THERAPEUTICS, INC. COMMON STOCK / CUSIP: 68232V801 / Symbol:							
11/16/21	1.333	4.51	02/16/21	25.80	...	-21.29	Sale ²⁵
ORGANIGRAM HOLDINGS INC. COMMON SHARES / CUSIP: 68620P101 / Symbol:							
	3 transactions for 02/17/21. Total proceeds and cost reported to the IRS.						
	7.000	26.89	02/10/21	38.49	...	-11.60	1 of 3 - Sale ²⁵
	0.266	1.02	02/10/21	1.46	...	-0.44	2 of 3 - Sale ²⁵
	0.009	0.03	02/10/21	0.05	...	-0.02	3 of 3 - Sale ²⁵
02/17/21	7.275	27.94	Various	40.00	...	-12.06	Total of 3 transactions
PALANTIR TECHNOLOGIES INC. CLASS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
11/16/21	1.000	22.72	03/25/21	22.11	...	0.61	Sale ²⁵
PFIZER INC. / CUSIP: 717081103 / Symbol:							
02/04/21	1.000	34.89	12/03/20	40.93	...	-6.04	Sale ²⁵
	3 transactions for 05/14/21. Total proceeds and cost reported to the IRS.						
	0.977	39.22	12/03/20	40.00	...	-0.78	1 of 3 - Sale ²⁵
	0.023	0.91	12/03/20	0.93	...	-0.02	2 of 3 - Sale ²⁵
	0.023	0.91	03/08/21	0.78	...	0.13	3 of 3 - Sale ²⁵
05/14/21	1.023	41.04	Various	41.71	...	-0.67	Total of 3 transactions
	Security total:	75.93		82.64	...	-6.71	

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Robinhood Securities LLC

Account 143353407

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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

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PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
2 transactions for 11/16/21. Total proceeds and cost reported to the IRS.							
	5.000	212.10	03/16/21	214.00	...	-1.90	1 of 2 - Sale ²⁵
	1.000	42.42	03/19/21	38.48	...	3.94	2 of 2 - Sale ²⁵
11/16/21	6.000	254.52	Various	252.48	...	2.04	Total of 2 transactions
REDWOOD TRUST, INC. / CUSIP: 758075402 / Symbol:							
2 transactions for 05/14/21. Total proceeds and cost reported to the IRS.							
	50.000	537.98	07/01/20	329.92	...	208.06	1 of 2 - Sale ²⁵
	0.755	8.12	04/01/21	8.00	...	0.12	2 of 2 - Sale ²⁵
05/14/21	50.755	546.10	Various	337.92	...	208.18	Total of 2 transactions
RIOT BLOCKCHAIN, INC. COMMON STOCK / CUSIP: 767292105 / Symbol:							
2 transactions for 11/16/21. Total proceeds and cost reported to the IRS.							
	0.077	2.81	11/16/21	2.80	...	0.01	1 of 2 - Sale ²⁵
	2.667	97.39	11/16/21	97.20	...	0.19	2 of 2 - Sale ²⁵
11/16/21	2.744	100.20	Various	100.00	...	0.20	Total of 2 transactions
SOS LIMITED / CUSIP: 83587W106 / Symbol:							
11/16/21	2.000	2.82	02/17/21	26.98	...	-24.16	Sale ²⁵
SOUTHWEST AIRLINES CO. / CUSIP: 844741108 / Symbol:							
3 transactions for 02/22/21. Total proceeds and cost reported to the IRS.							
	5.000	273.71	05/20/20	146.00	...	127.71	1 of 3 - Sale ²⁵
	1.000	54.74	05/26/20	32.48	...	22.26	2 of 3 - Sale ²⁵
	4.000	218.98	07/30/20	125.68	...	93.30	3 of 3 - Sale ²⁵
02/22/21	10.000	547.43	Various	304.16	...	243.27	Total of 3 transactions
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
03/12/21	10.000	387.75	07/14/20	198.89	...	188.86	Sale ²⁵
4 transactions for 03/18/21. Total proceeds and cost reported to the IRS.							
	0.129	5.12	03/16/21	4.95	...	0.17	1 of 4 - Sale ²⁵
	9.990	395.59	03/16/21	382.80	...	12.79	2 of 4 - Sale ²⁵
	0.005	0.20	03/17/21	0.19	...	0.01	3 of 4 - Sale ²⁵

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Robinhood Securities LLC

Account 143353407

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol: (cont'd)							
	1.876	74.29	03/17/21	70.76	...	3.53	4 of 4 - Sale ²⁵
03/18/21	12.000	475.20	Various	458.70	...	16.50	Total of 4 transactions
11/16/21	0.770	17.73	03/17/21	29.05	...	-11.32	Sale ²⁵
	Security total:	880.68		686.64	...	194.04	
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
2 transactions for 02/17/21. Total proceeds and cost reported to the IRS.							
	45.147	83.07	02/10/21	99.77	...	-16.70	1 of 2 - Sale ²⁵
	0.104	0.19	02/10/21	0.23	...	-0.04	2 of 2 - Sale ²⁵
02/17/21	45.251	83.26	Various	100.00	...	-16.74	Total of 2 transactions
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
03/11/21	0.452	315.17	09/02/20	200.00	...	115.17	Sale ²⁵
03/11/21	0.548	381.63	02/09/21	464.70	83.07 W	0.00	Sale ²⁵
4 transactions for 03/17/21. Total proceeds and cost reported to the IRS.							
	0.000	0.01	03/12/21	0.01	...	0.00	1 of 4 - Sale ²⁵
	0.074	51.85	03/12/21	49.99	...	1.86	2 of 4 - Sale ²⁵
	0.472	330.77	03/12/21	322.67	...	8.10	3 of 4 - Sale ²⁵
	2.454	1,718.28	03/16/21	1,659.23	...	59.05	4 of 4 - Sale ²⁵
03/17/21	3.000	2,100.91	Various	2,031.90	...	69.01	Total of 4 transactions
3 transactions for 03/17/21. Total proceeds and cost reported to the IRS.							
	0.452	316.75	02/09/21	383.78	67.03 W	0.00	1 of 3 - Sale ²⁵
	0.020	14.00	03/12/21	16.69	2.69 W	0.00	2 of 3 - Sale ²⁵
	0.528	369.52	03/12/21	440.51	70.99 W	0.00	3 of 3 - Sale ²⁵
03/17/21	1.000	700.27	Various	840.98	140.71 W	0.00	Total of 3 transactions
3 transactions for 04/05/21. Total proceeds and cost reported to the IRS.							
	2.546	1,801.84	03/18/21	1,738.21	...	63.63	1 of 3 - Sale ²⁵
	0.470	332.77	03/19/21	300.00	...	32.77	2 of 3 - Sale ²⁵
	0.954	675.31	03/25/21	600.00	...	75.31	3 of 3 - Sale ²⁵
04/05/21	3.971	2,809.92	Various	2,638.21	...	171.71	Total of 3 transactions
4 transactions for 04/05/21. Total proceeds and cost reported to the IRS.							
	0.020	14.15	03/16/21	16.21	2.06 W	0.00	1 of 4 - Sale ²⁵
	0.074	52.40	03/16/21	60.04	7.64 W	0.00	2 of 4 - Sale ²⁵

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Robinhood Securities LLC

Account 143353407

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
	0.452	320.06	03/16/21	372.89	52.83 W	0.00	3 of 4 - Sale ²⁵
	0.454	320.98	03/18/21	370.68	49.70 W	0.00	4 of 4 - Sale ²⁵
04/05/21	1.000	707.59	Various	819.82	112.23 W	0.00	Total of 4 transactions
	2 transactions for 04/12/21. Total proceeds and cost reported to the IRS.						
	1.100	754.91	04/07/21	738.41	...	16.50	1 of 2 - Sale ²⁵
	2.899	1,989.60	04/07/21	1,946.31	...	43.29	2 of 2 - Sale ²⁵
04/12/21	3.999	2,744.51	Various	2,684.72	...	59.79	Total of 2 transactions
	9 transactions for 04/12/21. Total proceeds and cost reported to the IRS.						
	0.001	0.55	04/07/21	0.61	0.06 W	0.00	1 of 9 - Sale ²⁵
	0.020	13.72	04/07/21	15.48	1.76 W	0.00	2 of 9 - Sale ²⁵
	0.074	50.82	04/07/21	57.35	6.53 W	0.00	3 of 9 - Sale ²⁵
	0.100	68.58	04/07/21	77.24	8.66 W	0.00	4 of 9 - Sale ²⁵
	0.100	68.59	04/07/21	78.76	10.17 W	0.00	5 of 9 - Sale ²⁵
	0.140	96.03	04/07/21	108.14	12.11 W	0.00	6 of 9 - Sale ²⁵
	0.140	96.04	04/07/21	110.25	14.21 W	0.00	7 of 9 - Sale ²⁵
	0.212	145.81	04/07/21	167.44	21.63 W	0.00	8 of 9 - Sale ²⁵
	0.454	311.32	04/07/21	354.22	42.90 W	0.00	9 of 9 - Sale ²⁵
04/12/21	1.241	851.46	Various	969.49	118.03 W	0.00	Total of 9 transactions
	11 transactions for 08/23/21. Total proceeds and cost reported to the IRS.						
	0.454	319.35	04/30/21	348.95	...	-29.60	1 of 11 - Sale ²⁵
	0.212	149.59	04/30/21	164.97	...	-15.38	2 of 11 - Sale ²⁵
	0.139	97.95	04/30/21	105.90	...	-7.95	3 of 11 - Sale ²⁵
	0.100	70.36	04/30/21	76.08	...	-5.72	4 of 11 - Sale ²⁵
	0.043	30.52	04/30/21	33.07	...	-2.55	5 of 11 - Sale ²⁵
	0.031	21.61	04/30/21	23.42	...	-1.81	6 of 11 - Sale ²⁵
	0.020	14.08	04/30/21	15.25	...	-1.17	7 of 11 - Sale ²⁵
	0.001	0.57	04/30/21	0.60	...	-0.03	8 of 11 - Sale ²⁵
	1.816	1,278.60	04/30/21	1,225.34	...	53.26	9 of 11 - Sale ²⁵
	6.000	4,224.13	05/03/21	4,243.68	...	-19.55	10 of 11 - Sale ²⁵
	1.700	1,196.52	05/14/21	1,000.00	...	196.52	11 of 11 - Sale ²⁵
08/23/21	10.516	7,403.28	Various	7,237.26	...	166.02	Total of 11 transactions

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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

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TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
3 transactions for 11/16/21. Total proceeds and cost reported to the IRS.							
	0.145	150.93	11/10/21	149.42	...	1.51	1 of 3 - Sale ²⁵
	0.855	893.32	11/10/21	884.40	...	8.92	2 of 3 - Sale ²⁵
	0.145	150.92	11/12/21	150.00	...	0.92	3 of 3 - Sale ²⁵
11/16/21	1.145	1,195.17	Various	1,183.82	...	11.35	Total of 3 transactions
	Security total:	19,209.91		19,070.90	454.04 W	593.05	
TREVENA, INC. COMMON STOCK / CUSIP: 89532E109 / Symbol:							
02/16/21	2.000	5.00	08/03/20	5.46	...	-0.46	Sale ²⁵
TWO HARBORS INVESTMENT CORP. / CUSIP: 90187B408 / Symbol:							
4 transactions for 03/19/21. Total proceeds and cost reported to the IRS.							
	10.000	75.60	05/19/20	42.80	...	32.80	1 of 4 - Sale ²⁵
	2.000	15.12	07/24/20	10.59	...	4.53	2 of 4 - Sale ²⁵
	8.000	60.48	08/17/20	43.96	...	16.52	3 of 4 - Sale ²⁵
	0.556	4.20	02/01/21	3.40	...	0.80	4 of 4 - Sale ²⁵
03/19/21	20.556	155.40	Various	100.75	...	54.65	Total of 4 transactions
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
2 transactions for 05/14/21. Total proceeds and cost reported to the IRS.							
	1.000	54.64	05/28/20	29.41	...	25.23	1 of 2 - Sale ²⁵
	4.000	218.56	05/28/20	117.64	...	100.92	2 of 2 - Sale ²⁵
05/14/21	5.000	273.20	Various	147.05	...	126.15	Total of 2 transactions
WISEKEY INTERNATIONAL HOLDING AG AMERICAN DEPOSITARY SHARES / CUSIP: 97727L200 / Symbol:							
11/16/21	1.000	5.78	03/25/21	15.32	...	-9.54	Sale ²⁵
ZYNERBA PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 98986X109 / Symbol:							
11/16/21	1.000	4.14	03/18/21	5.37	...	-1.23	Sale ²⁵
NORWEGIAN CRUISE LINE HOLDINGS LTD. ORDINARY SHARES / CUSIP: G66721104 / Symbol:							
01/25/21	8.000	189.85	05/29/20	124.54	...	65.31	Sale ²⁵
02/18/21	2.000	50.58	05/29/20	31.13	...	19.45	Sale ²⁵
	Security total:	240.43		155.67	...	84.76	

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2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
2 transactions for 09/28/21. Total proceeds and cost reported to the IRS.							
	700.000	566.91	02/08/21	801.50	...	-234.59	1 of 2 - Sale ²⁵
	300.000	242.96	02/08/21	343.50	...	-100.54	2 of 2 - Sale ²⁵
09/28/21	1,000.000	809.87	Various	1,145.00	...	-335.13	Total of 2 transactions
ROYAL CARIBBEAN GROUP / CUSIP: V7780T103 / Symbol:							
04/05/21	2.000	179.69	03/17/21	179.04	...	0.65	Sale ²⁵
Totals :		35,746.19		35,314.75	585.40 W	1,016.84	

LONG 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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
AG MORTGAGE INVESTMENT TRUST, INC. / CUSIP: 001228501 / Symbol:							
2 transactions for 11/16/21. Total proceeds and cost reported to the IRS.							
	0.054	0.62	08/03/20	0.40	...	0.22	1 of 2 - Sale ²⁵
	2.868	32.68	08/03/20	21.43	...	11.25	2 of 2 - Sale ²⁵
11/16/21	2.922	33.30	Various	21.83	...	11.47	Total of 2 transactions
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
03/16/21	4.000	505.60	02/02/18	161.68	...	343.92	Sale ²⁵
ASPIRA WOMEN'S HEALTH INC. COMMON STOCK / CUSIP: 04537Y109 / Symbol:							
11/16/21	5.000	12.11	06/02/20	21.00	...	-8.89	Sale ²⁵
BELLUS HEALTH INC. COMMON SHARES / CUSIP: 07987C204 / Symbol:							
11/16/21	2.000	12.94	08/03/20	5.12	...	7.82	Sale ²⁵
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
11/16/21	1.000	21.35	03/13/20	16.27	...	5.08	Sale ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

03/02/2022 AMENDED

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol:							
2 transactions for 04/30/21. Total proceeds and cost reported to the IRS.							
	1.000	46.74	03/13/20	35.54	...	11.20	1 of 2 - Sale ²⁵
	3.000	140.22	03/13/20	106.65	...	33.57	2 of 2 - Sale ²⁵
04/30/21	4.000	186.96	Various	142.19	...	44.77	Total of 2 transactions
HOMOLOGY MEDICINES, INC. COMMO N STOCK / CUSIP: 438083107 / Symbol:							
11/16/21	1.000	5.68	03/04/20	21.30	...	-15.62	Sale ²⁵
IMMUNOGEN, INC. COMMON STOCK / CUSIP: 45253H101 / Symbol:							
2 transactions for 01/25/21. Total proceeds and cost reported to the IRS.							
	15.000	110.55	02/16/18	160.50	...	-49.95	1 of 2 - Sale ²⁵
	1.000	7.37	12/09/19	3.94	...	3.43	2 of 2 - Sale ²⁵
01/25/21	16.000	117.92	Various	164.44	...	-46.52	Total of 2 transactions
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
11/16/21	1.000	7.20	05/13/20	13.40	...	-6.20	Sale ²⁵
INSEGO CORP. COMMON STOCK / CUSIP: 45782B104 / Symbol:							
11/16/21	10.000	70.31	08/27/20	109.70	...	-39.39	Sale ²⁵
INPIXON COMMON STOCK / CUSIP: 45790J800 / Symbol:							
2 transactions for 11/16/21. Total proceeds and cost reported to the IRS.							
	9.325	7.62	07/21/20	13.89	...	-6.27	1 of 2 - Sale ²⁵
	0.675	0.55	07/21/20	1.01	...	-0.46	2 of 2 - Sale ²⁵
11/16/21	10.000	8.17	Various	14.90	...	-6.73	Total of 2 transactions
ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V801 / Symbol:							
11/16/21	0.667	2.26	07/01/20	5.88	...	-3.62	Sale ²⁵
TWITTER, INC. / CUSIP: 90184L102 / Symbol:							
03/19/21	2.000	132.03	02/06/18	50.12	...	81.91	Sale ²⁵
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol:							
11/16/21	4.000	4.72	06/08/20	19.83	...	-15.11	Sale ²⁵
Totals :		1,120.55		767.66		352.89	

* 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 143353407

Proceeds Not Reported to the IRS

2021

03/02/2022 AMENDED

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
AG MORTGAGE INVESTMENT TRUST, INC. / CUSIP: 001228501 / Symbol:							
07/29/21	0.412	4.54	08/03/20	3.16	...	1.38	Gain or loss
Totals:		4.54		3.16	...	1.38	

Robinhood Securities LLC

Account 143353407

Detail for Dividends and Distributions

2021

03/02/2022 AMENDED

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

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
AG MORTGAGE INVESTMENT TRUST, INC.	001228105		04/30/21	0.60	Nondividend distribution	03
			07/30/21	0.72	Nondividend distribution	03
				1.32	Total Dividends & distributions	
AG MORTGAGE INVESTMENT TRUST, INC.	001228501		10/29/21	0.63	Nondividend distribution	03
APPLE INC. COMMON STOCK	037833100		02/11/21	1.85	Qualified dividend	
INVESCO MORTGAGE CAPITAL INC.	46131B100		01/26/21	81.60	Nondividend distribution	03
NEW RESIDENTIAL INVESTMENT CORP	64828T201		04/30/21	1.20	Section 199A dividend	03
			04/30/21	0.84	Nondividend distribution	03
				2.04	Total Dividends & distributions	
OCCIDENTAL PETROLEUM CORPORATION ON PFIZER INC.	674599105 717081103		01/15/21	0.01	Qualified dividend	
			03/05/21	0.78	Qualified dividend	
			06/04/21	0.40	Qualified dividend	
				1.18	Total Dividends & distributions	
REDWOOD TRUST, INC.	758075402		03/31/21	5.92	Section 199A dividend	03
			03/31/21	2.08	Qualified dividend	03
				8.00	Total Dividends & distributions	
				96.63	Total Dividends & distributions	

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

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

Instructions for Recipient

Common Instructions for Recipient

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

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

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

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

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

Keep tax documents for your records.

1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Line 8. This Line should be left blank if a RIC reported the foreign tax shown in Line 7.

Lines 9 and 10. Show cash and noncash liquidation distributions.

Line 11. Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040SR for where to report. This amount may be subject to backup withholding. See Line 4 above.

Line 12. Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in Line 11. See the Instructions for Form 6251.

Lines 13-15. State income tax withheld reporting Lines.

Future developments. For the latest information about developments related to Form 1099-DIV and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099DIV.

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

1099-B Instructions for Recipient

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

CUSIP number. Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

Applicable checkbox on Form 8949. Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

Line 1a. Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

Line 1b. This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

Line 1c. Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

Line 1d. Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

Line 1e. Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

Line 1f. Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

Line 1g. Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040 or 1040-SR) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

Line 2. The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to

special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

Line 3. If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund (QOF).

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

Line 5. If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

Line 6. If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

Line 7. If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

Line 12. If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

Line 13. Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

Lines 14-16. Show state(s)/local income tax information.

Future developments. For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to www.irs.gov/Form1099B.

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

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