

<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 777455395</b>	Statement Date: 02/11/2022 Document ID: E9C0 418 8G3Q	2021
	Shiva Madiraju 15950 E Briarwood Cir 202 Aurora, CO 80016  RECIPIENT'S TIN: XXX-XX-2282		

**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)      0.00</p> <p>1b- Qualified dividends      0.00</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      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)	7,017.26	6,413.44	0.00	189.47	793.29
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)	7.30	16.46	0.00	0.00	-9.16
	<b>Total Short-term</b>	<b>7,024.56</b>	<b>6,429.90</b>	<b>0.00</b>	<b>189.47</b>	<b>784.13</b>
Long	D (basis reported to the IRS)	200.10	43.50	0.00	0.00	156.60
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>200.10</b>	<b>43.50</b>	<b>0.00</b>	<b>0.00</b>	<b>156.60</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>7,224.66</b>	<b>6,473.40</b>	<b>0.00</b>	<b>189.47</b>	<b>940.73</b>
<b>Withholding</b>		<b>Amount</b>				
	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

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**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)	0.21
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	See detail

*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	2.50
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
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
5 transactions for 03/31/21. Total proceeds and cost reported to the IRS.							
	1.413	14.25	01/27/21	20.00	...	-5.75	1 of 5 - Sale <sup>25</sup>
	1.424	14.37	01/27/21	19.99	...	-5.62	2 of 5 - Sale <sup>25</sup>
	0.001	0.01	01/27/21	0.01	...	0.00	3 of 5 - Sale <sup>25</sup>
	1.000	10.09	01/29/21	12.76	...	-2.67	4 of 5 - Sale <sup>25</sup>
	1.162	11.73	02/03/21	9.96	...	1.77	5 of 5 - Sale <sup>25</sup>
03/31/21	5.000	50.45	Various	62.72	...	-12.27	Total of 5 transactions
4 transactions for 04/06/21. Total proceeds and cost reported to the IRS.							
	0.430	4.33	02/03/21	4.00	...	0.33	1 of 4 - Sale <sup>25</sup>
	0.267	2.69	02/03/21	2.29	...	0.40	2 of 4 - Sale <sup>25</sup>
	1.570	15.81	02/03/21	13.46	...	2.35	3 of 4 - Sale <sup>25</sup>
	6.000	60.42	02/08/21	36.12	...	24.30	4 of 4 - Sale <sup>25</sup>
04/06/21	8.267	83.25	Various	55.87	...	27.38	Total of 4 transactions

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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

"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
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol: (cont'd)							
<b>Security total:</b>		<b>133.70</b>		<b>118.59</b>	...		<b>15.11</b>
AFFIRM HOLDINGS, INC. CLASS A COMMON STOCK / CUSIP: 00827B106 / Symbol:							
2 transactions for 01/14/21. Total proceeds and cost reported to the IRS.							
	0.021	2.41	01/13/21	2.00	...		0.41 1 of 2 - Sale <sup>25</sup>
	0.930	108.30	01/14/21	100.00	...		8.30 2 of 2 - Sale <sup>25</sup>
01/14/21	0.950	110.71	Various	102.00	...		8.71 Total of 2 transactions
ANAVEX LIFE SCIENCES CORP. COM MON STOCK / CUSIP: 032797300 / Symbol:							
02/10/21	0.717	10.46	02/08/21	10.00	...		0.46 Sale <sup>25</sup>
APARTMENT INVESTMENT AND MANAG EMENT COMPANY / CUSIP: 03748R747 / Symbol:							
5 transactions for 09/22/21. Total proceeds and cost reported to the IRS.							
	1.000	6.90	12/15/20	8.32	...		-1.42 1 of 5 - Sale <sup>25</sup>
	1.000	6.90	12/15/20	5.76	...		1.14 2 of 5 - Sale <sup>25</sup>
	1.000	6.90	12/15/20	5.24	...		1.66 3 of 5 - Sale <sup>25</sup>
	1.000	6.90	12/21/20	4.70	...		2.20 4 of 5 - Sale <sup>25</sup>
	1.000	6.91	12/21/20	4.57	...		2.34 5 of 5 - Sale <sup>25</sup>
09/22/21	5.000	34.51	Various	28.59	...		5.92 Total of 5 transactions
ARBUTUS BIOPHARMA CORPORATION COMMON STOCK / CUSIP: 03879J100 / Symbol:							
3 transactions for 02/04/21. Total proceeds and cost reported to the IRS.							
	3.000	12.52	12/17/20	14.58	2.06 W		0.00 1 of 3 - Sale <sup>25</sup>
	1.000	4.18	01/08/21	4.59	0.41 W		0.00 2 of 3 - Sale <sup>25</sup>
	1.000	4.18	01/08/21	4.75	0.57 W		0.00 3 of 3 - Sale <sup>25</sup>
02/04/21	5.000	20.88	Various	23.92	3.04 W		0.00 Total of 3 transactions
10 transactions for 09/13/21. Total proceeds and cost reported to the IRS.							
	2.301	9.79	01/22/21	10.91	...		-1.12 1 of 10 - Sale <sup>25</sup>
	0.699	2.97	01/22/21	3.31	...		-0.34 2 of 10 - Sale <sup>25</sup>
	0.699	2.98	01/22/21	3.24	...		-0.26 3 of 10 - Sale <sup>25</sup>
	0.835	3.55	01/22/21	3.73	...		-0.18 4 of 10 - Sale <sup>25</sup>
	0.301	1.28	01/22/21	1.39	...		-0.11 5 of 10 - Sale <sup>25</sup>
	0.165	0.70	01/22/21	0.74	...		-0.04 6 of 10 - Sale <sup>25</sup>
	1.164	4.95	01/22/21	4.72	...		0.23 7 of 10 - Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

"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
ARBUS BIOPHARMA CORPORATION COMMON STOCK / CUSIP: 03879J100 / Symbol: (cont'd)							
	0.503	2.14	01/27/21	2.00	...	0.14	8 of 10 - Sale <sup>25</sup>
	0.108	0.46	02/02/21	0.42	...	0.04	9 of 10 - Sale <sup>25</sup>
	4.000	17.03	02/02/21	15.58	...	1.45	10 of 10 - Sale <sup>25</sup>
09/13/21	10.775	45.85	Various	46.04	...	-0.19	Total of 10 transactions
	<b>Security total:</b>	<b>66.73</b>		<b>69.96</b>	<b>3.04 W</b>	<b>-0.19</b>	
ARCTURUS THERAPEUTICS HOLDINGS INC. COMMON STOCK / CUSIP: 03969T109 / Symbol:							
	8 transactions for 01/07/21. Total proceeds and cost reported to the IRS.						
	0.000	0.02	12/29/20	0.01	...	0.01	1 of 8 - Sale <sup>25</sup>
	0.156	10.87	12/29/20	6.99	...	3.88	2 of 8 - Sale <sup>25</sup>
	0.315	22.00	12/29/20	14.00	...	8.00	3 of 8 - Sale <sup>25</sup>
	0.469	32.71	12/29/20	20.00	...	12.71	4 of 8 - Sale <sup>25</sup>
	0.584	40.71	12/29/20	25.00	...	15.71	5 of 8 - Sale <sup>25</sup>
	0.585	40.77	12/29/20	25.00	...	15.77	6 of 8 - Sale <sup>25</sup>
	0.941	65.67	12/29/20	40.00	...	25.67	7 of 8 - Sale <sup>25</sup>
	0.221	15.40	12/31/20	10.00	...	5.40	8 of 8 - Sale <sup>25</sup>
01/07/21	3.271	228.15	Various	141.00	...	87.15	Total of 8 transactions
	6 transactions for 01/27/21. Total proceeds and cost reported to the IRS.						
	1.000	70.58	01/08/21	75.36	...	-4.78	1 of 6 - Sale <sup>25</sup>
	0.379	26.78	01/08/21	28.00	...	-1.22	2 of 6 - Sale <sup>25</sup>
	0.698	49.25	01/08/21	50.00	...	-0.75	3 of 6 - Sale <sup>25</sup>
	0.754	53.20	01/12/21	50.00	...	3.20	4 of 6 - Sale <sup>25</sup>
	0.001	0.09	01/13/21	0.08	...	0.01	5 of 6 - Sale <sup>25</sup>
	0.998	70.41	01/13/21	64.92	...	5.49	6 of 6 - Sale <sup>25</sup>
01/27/21	3.830	270.31	Various	268.36	...	1.95	Total of 6 transactions
	<b>Security total:</b>	<b>498.46</b>		<b>409.36</b>	...	<b>89.10</b>	
AURORA MOBILE LIMITED AMERICAN DEPOSITARY SHARES / CUSIP: 051857100 / Symbol:							
02/05/21	1.500	12.04	12/22/20	7.94	...	4.10	Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

"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
AYTU BIOPHARMA, INC. COMMON ST OCK / CUSIP: 054754874 / Symbol:							
2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	2.000	16.32	12/10/20	17.05	...	-0.73	1 of 2 - Sale <sup>25</sup>
	1.880	15.34	01/22/21	15.00	...	0.34	2 of 2 - Sale <sup>25</sup>
01/27/21	3.880	31.66	Various	32.05	...	-0.39	Total of 2 transactions
2 transactions for 04/06/21. Total proceeds and cost reported to the IRS.							
	2.912	20.50	12/10/20	20.88	...	-0.38	1 of 2 - Sale <sup>25</sup>
	1.088	7.67	12/17/20	6.86	...	0.81	2 of 2 - Sale <sup>25</sup>
04/06/21	4.000	28.17	Various	27.74	...	0.43	Total of 2 transactions
	<b>Security total:</b>	<b>59.83</b>		<b>59.79</b>	...	<b>0.04</b>	
BALLARD POWER SYSTEMS, INC. CO MMON SHARES / CUSIP: 058586108 / Symbol:							
01/22/21	0.501	17.85	01/21/21	18.00	...	-0.15	Sale <sup>25</sup>
BEST INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 08653C106 / Symbol:							
01/25/21	4.000	9.81	12/18/20	9.72	...	0.09	Sale <sup>25</sup>
BICYCLE THERAPEUTICS PLC AMERI CAN DEPOSITARY SHARES / CUSIP: 088786108 / Symbol:							
01/15/21	1.000	25.53	01/15/21	27.50	...	-1.97	Sale <sup>25</sup>
01/19/21	1.000	27.18	01/15/21	27.50	...	-0.32	Sale <sup>25</sup>
	<b>Security total:</b>	<b>52.71</b>		<b>55.00</b>	...	<b>-2.29</b>	
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
01/04/21	4.000	26.10	12/30/20	8.52	...	17.58	Sale <sup>25</sup>
01/14/21	2.000	15.14	12/30/20	4.26	...	10.88	Sale <sup>25</sup>
2 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	3.390	31.20	12/30/20	7.22	...	23.98	1 of 2 - Sale <sup>25</sup>
	0.571	5.26	01/15/21	5.00	...	0.26	2 of 2 - Sale <sup>25</sup>
01/22/21	3.961	36.46	Various	12.22	...	24.24	Total of 2 transactions
	<b>Security total:</b>	<b>77.70</b>		<b>25.00</b>	...	<b>52.70</b>	

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Robinhood Securities LLC

Account 777455395

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

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**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
BLINK CHARGING CO. COMMON STOC K / CUSIP: 09354A100 / Symbol:							
2 transactions for 01/12/21. Total proceeds and cost reported to the IRS.							
	0.000	0.01	12/24/20	0.01	...	0.00	1 of 2 - Sale <sup>25</sup>
	0.292	16.07	12/24/20	14.99	...	1.08	2 of 2 - Sale <sup>25</sup>
01/12/21	0.292	16.08	Various	15.00	...	1.08	Total of 2 transactions
01/27/21	0.347	20.29	01/26/21	20.00	...	0.29	Sale <sup>25</sup>
	<b>Security total:</b>	<b>36.37</b>		<b>35.00</b>	...	<b>1.37</b>	
C3.AI, INC. / CUSIP: 12468P104 / Symbol:							
2 transactions for 01/07/21. Total proceeds and cost reported to the IRS.							
	0.118	15.88	01/05/21	15.00	...	0.88	1 of 2 - Sale <sup>25</sup>
	2.000	269.51	01/07/21	265.42	...	4.09	2 of 2 - Sale <sup>25</sup>
01/07/21	2.118	285.39	Various	280.42	...	4.97	Total of 2 transactions
CASSAVA SCIENCES, INC. COMMON STOCK / CUSIP: 14817C107 / Symbol:							
02/02/21	0.351	12.51	02/02/21	15.00	...	-2.49	Sale <sup>25</sup>
CBAK ENERGY TECHNOLOGY, INC. C OMMON STOCK / CUSIP: 14986C102 / Symbol:							
9 transactions for 02/02/21. Total proceeds and cost reported to the IRS.							
	0.938	7.00	01/07/21	7.90	...	-0.90	1 of 9 - Sale <sup>25</sup>
	2.000	14.93	01/07/21	15.57	...	-0.64	2 of 9 - Sale <sup>25</sup>
	0.062	0.46	01/07/21	0.58	...	-0.12	3 of 9 - Sale <sup>25</sup>
	0.100	0.74	01/07/21	0.84	...	-0.10	4 of 9 - Sale <sup>25</sup>
	0.012	0.09	01/07/21	0.11	...	-0.02	5 of 9 - Sale <sup>25</sup>
	1.458	10.88	01/12/21	10.00	...	0.88	6 of 9 - Sale <sup>25</sup>
	1.000	7.46	01/27/21	7.41	...	0.05	7 of 9 - Sale <sup>25</sup>
	0.431	3.21	02/01/21	3.01	...	0.20	8 of 9 - Sale <sup>25</sup>
	1.000	7.47	02/01/21	6.99	...	0.48	9 of 9 - Sale <sup>25</sup>
02/02/21	7.000	52.24	Various	52.41	...	-0.17	Total of 9 transactions
02/02/21	0.074	0.55	01/07/21	0.62	0.07 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>52.79</b>		<b>53.03</b>	<b>0.07 W</b>	<b>-0.17</b>	
CEL-SCI CORPORATION / CUSIP: 150837607 / Symbol:							
01/29/21	0.348	8.41	01/27/21	10.00	...	-1.59	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 777455395

## 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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COEUR MINING, INC. / CUSIP: 192108504 / Symbol:							
02/01/21	1.000	11.11	12/17/20	10.89	...	0.22	Sale <sup>25</sup>
CORBUS PHARMACEUTICALS HOLDING S, INC. COMMON STOCK / CUSIP: 21833P103 / Symbol:							
02/03/21	6.000	17.07	12/09/20	8.21	...	8.86	Sale <sup>25</sup>
	<i>2 transactions for 02/04/21. Total proceeds and cost reported to the IRS.</i>						
	1.000	2.74	12/09/20	1.37	...	1.37	1 of 2 - Sale <sup>25</sup>
	3.000	8.24	12/09/20	4.11	...	4.13	2 of 2 - Sale <sup>25</sup>
02/04/21	4.000	10.98	Various	5.48	...	5.50	Total of 2 transactions
	<i>4 transactions for 04/08/21. Total proceeds and cost reported to the IRS.</i>						
	0.079	0.15	12/09/20	0.11	...	0.04	1 of 4 - Sale <sup>25</sup>
	0.921	1.71	12/09/20	1.26	...	0.45	2 of 4 - Sale <sup>25</sup>
	3.990	7.43	01/26/21	7.86	...	-0.43	3 of 4 - Sale <sup>25</sup>
	1.089	2.03	01/26/21	2.14	...	-0.11	4 of 4 - Sale <sup>25</sup>
04/08/21	6.079	11.32	Various	11.37	...	-0.05	Total of 4 transactions
	<b>Security total:</b>	<b>39.37</b>		<b>25.06</b>	...	<b>14.31</b>	
CURO GROUP HOLDINGS CORP. / CUSIP: 23131L107 / Symbol:							
01/22/21	1.000	14.62	12/18/20	15.24	...	-0.62	Sale <sup>25</sup>
CYMABAY THERAPEUTICS INC. COMM ON STOCK / CUSIP: 23257D103 / Symbol:							
04/06/21	2.826	13.04	02/09/21	17.00	...	-3.96	Sale <sup>25</sup>
DIREXION DAILY JUNIOR GOLD MIN ERS INDEX BEAR 2X SHARES / CUSIP: 25460G807 / Symbol:							
04/06/21	0.990	10.51	12/28/20	10.00	...	0.51	Sale <sup>25</sup>
ENERGY TRANSFER LP COMMON UNIT S REPRESENTING LIMITED PARTNER INTERESTS / CUSIP: 29273V100 / Symbol:							
	<i>2 transactions for 04/19/21. Total proceeds and cost reported to the IRS.</i>						
	5.000	39.66	02/04/21	33.39	...	6.27	1 of 2 - Sale <sup>25</sup>
	5.000	39.66	02/08/21	35.23	...	4.43	2 of 2 - Sale <sup>25</sup>
04/19/21	10.000	79.32	Various	68.62	...	10.70	Total of 2 transactions
	<i>3 transactions for 05/11/21. Total proceeds and cost reported to the IRS.</i>						
	4.000	37.58	02/09/21	27.20	...	10.38	1 of 3 - Sale <sup>25</sup>
	0.007	0.07	02/11/21	0.05	...	0.02	2 of 3 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 777455395

**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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ENERGY TRANSFER LP COMMON UNIT S REPRESENTING LIMITED PARTNER INTERESTS / CUSIP: 29273V100 / Symbol: (cont'd)							
	7.391	69.43	02/11/21	49.95	...	19.48	3 of 3 - Sale <sup>25</sup>
05/11/21	11.398	107.08	Various	77.20	...	29.88	Total of 3 transactions
	<b>Security total:</b>	<b>186.40</b>		<b>145.82</b>	...	<b>40.58</b>	
FANGDD NETWORK GROUP LTD. AMERICAN DEPOSITARY SHARES / CUSIP: 30712L109 / Symbol:							
04/08/21	1.000	6.09	12/17/20	8.72	...	-2.63	Sale <sup>25</sup>
500.COM LIMITED / CUSIP: 33829R100 / Symbol:							
	4 transactions for 01/07/21. Total proceeds and cost reported to the IRS.						
	0.134	1.55	12/31/20	1.42	...	0.13	1 of 4 - Sale <sup>25</sup>
	0.139	1.60	12/31/20	1.22	...	0.38	2 of 4 - Sale <sup>25</sup>
	2.866	32.98	12/31/20	30.32	...	2.66	3 of 4 - Sale <sup>25</sup>
	0.995	11.46	12/31/20	8.78	...	2.68	4 of 4 - Sale <sup>25</sup>
01/07/21	4.134	47.59	Various	41.74	...	5.85	Total of 4 transactions
FLUIDIGM CORPORATION COMMON STOCK / CUSIP: 34385P108 / Symbol:							
	3 transactions for 01/26/21. Total proceeds and cost reported to the IRS.						
	1.843	12.06	01/22/21	12.83	...	-0.77	1 of 3 - Sale <sup>25</sup>
	0.155	1.02	01/22/21	1.14	...	-0.12	2 of 3 - Sale <sup>25</sup>
	0.001	0.01	01/22/21	0.01	...	0.00	3 of 3 - Sale <sup>25</sup>
01/26/21	2.000	13.09	Various	13.98	...	-0.89	Total of 3 transactions
01/26/21	0.155	1.02	01/22/21	1.08	0.06 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>14.11</b>		<b>15.06</b>	<b>0.06 W</b>	<b>-0.89</b>	
GAMESTOP CORP. CLASS A / CUSIP: 36467W109 / Symbol:							
01/22/21	0.331	23.75	01/22/21	20.00	...	3.75	Sale <sup>25</sup>
	2 transactions for 01/26/21. Total proceeds and cost reported to the IRS.						
	0.055	6.02	01/25/21	6.37	0.15 W	-0.20	1 of 2 - Sale <sup>25</sup>
	0.006	0.60	01/25/21	0.63	0.03 W	0.00	2 of 2 - Sale <sup>25</sup>
01/26/21	0.061	6.62	Various	7.00	0.18 W	-0.20	Total of 2 transactions
	2 transactions for 01/28/21. Total proceeds and cost reported to the IRS.						
	0.006	2.13	01/27/21	1.96	...	0.17	1 of 2 - Sale <sup>25</sup>
	0.023	8.89	01/27/21	8.22	...	0.67	2 of 2 - Sale <sup>25</sup>
01/28/21	0.029	11.02	Various	10.18	...	0.84	Total of 2 transactions

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Account 777455395

**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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GAMESTOP CORP. CLASS A / CUSIP: 36467W109 / Symbol: (cont'd)							
<b>Security total:</b>		<b>41.39</b>		<b>37.18</b>		<b>0.18 W</b>	<b>4.39</b>
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
3 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	1.500	3.75	12/08/20	2.20	...	1.55	1 of 3 - Sale <sup>25</sup>
	6.000	15.00	12/08/20	8.82	...	6.18	2 of 3 - Sale <sup>25</sup>
	2.500	6.25	12/15/20	4.25	...	2.00	3 of 3 - Sale <sup>25</sup>
01/27/21	10.000	25.00	Various	15.27	...	9.73	Total of 3 transactions
02/05/21	5.000	9.75	12/15/20	8.50	...	1.25	Sale <sup>25</sup>
5 transactions for 09/13/21. Total proceeds and cost reported to the IRS.							
	7.500	11.25	12/15/20	12.75	...	-1.50	1 of 5 - Sale <sup>25</sup>
	5.948	8.92	01/22/21	9.45	...	-0.53	2 of 5 - Sale <sup>25</sup>
	6.309	9.47	01/22/21	10.00	...	-0.53	3 of 5 - Sale <sup>25</sup>
	0.984	1.48	01/22/21	1.55	...	-0.07	4 of 5 - Sale <sup>25</sup>
	7.000	10.51	02/05/21	13.23	...	-2.72	5 of 5 - Sale <sup>25</sup>
09/13/21	27.741	41.63	Various	46.98	...	-5.35	Total of 5 transactions
<b>Security total:</b>		<b>76.38</b>		<b>70.75</b>	...	<b>5.63</b>	
GEVO, INC. COMMON STOCK / CUSIP: 374396406 / Symbol:							
3 transactions for 01/12/21. Total proceeds and cost reported to the IRS.							
	0.011	0.06	12/24/20	0.04	...	0.02	1 of 3 - Sale <sup>25</sup>
	0.037	0.19	12/24/20	0.14	...	0.05	2 of 3 - Sale <sup>25</sup>
	3.963	20.45	12/24/20	14.82	...	5.63	3 of 3 - Sale <sup>25</sup>
01/12/21	4.011	20.70	Various	15.00	...	5.70	Total of 3 transactions
GLOBALSTAR, INC. / CUSIP: 378973408 / Symbol:							
3 transactions for 02/09/21. Total proceeds and cost reported to the IRS.							
	18.000	24.84	01/20/21	24.30	...	0.54	1 of 3 - Sale <sup>25</sup>
	0.810	1.12	01/21/21	1.00	...	0.12	2 of 3 - Sale <sup>25</sup>
	4.190	5.78	01/26/21	5.01	...	0.77	3 of 3 - Sale <sup>25</sup>
02/09/21	23.000	31.74	Various	30.31	...	1.43	Total of 3 transactions

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Account 777455395

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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GLOBALSTAR, INC. / CUSIP: 378973408 / Symbol: (cont'd)							
2 transactions for 04/06/21. Total proceeds and cost reported to the IRS.							
	10.810	14.00	01/26/21	12.92	...	1.08	1 of 2 - Sale <sup>25</sup>
	40.000	51.79	02/05/21	47.40	...	4.39	2 of 2 - Sale <sup>25</sup>
04/06/21	50.810	65.79	Various	60.32	...	5.47	Total of 2 transactions
	<b>Security total:</b>	<b>97.53</b>		<b>90.63</b>	...	<b>6.90</b>	
GRAN TIERRA ENERGY INC. / CUSIP: 38500T101 / Symbol:							
4 transactions for 09/28/21. Total proceeds and cost reported to the IRS.							
	5.000	3.70	02/03/21	3.20	...	0.50	1 of 4 - Sale <sup>25</sup>
	40.000	29.60	02/04/21	25.02	...	4.58	2 of 4 - Sale <sup>25</sup>
	20.000	14.80	02/08/21	15.30	...	-0.50	3 of 4 - Sale <sup>25</sup>
	35.000	25.90	02/11/21	40.60	...	-14.70	4 of 4 - Sale <sup>25</sup>
09/28/21	100.000	74.00	Various	84.12	...	-10.12	Total of 4 transactions
2 transactions for 10/27/21. Total proceeds and cost reported to the IRS.							
	20.000	17.85	03/31/21	14.00	...	3.85	1 of 2 - Sale <sup>25</sup>
	20.000	17.85	04/01/21	14.18	...	3.67	2 of 2 - Sale <sup>25</sup>
10/27/21	40.000	35.70	Various	28.18	...	7.52	Total of 2 transactions
	<b>Security total:</b>	<b>109.70</b>		<b>112.30</b>	...	<b>-2.60</b>	
HEXO CORP. COMMON SHARES / CUSIP: 428304307 / Symbol:							
3 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	1.996	13.35	01/26/21	13.81	...	-0.46	1 of 3 - Sale <sup>25</sup>
	0.004	0.03	01/26/21	0.03	...	0.00	2 of 3 - Sale <sup>25</sup>
	0.023	0.16	01/26/21	0.16	...	0.00	3 of 3 - Sale <sup>25</sup>
01/27/21	2.023	13.54	Various	14.00	...	-0.46	Total of 3 transactions
HOLICITY INC. CLASS A COMMON S TOCK / CUSIP: 435063102 / Symbol:							
3 transactions for 02/03/21. Total proceeds and cost reported to the IRS.							
	0.005	0.09	02/02/21	0.08	...	0.01	1 of 3 - Sale <sup>25</sup>
	0.328	5.43	02/02/21	4.92	...	0.51	2 of 3 - Sale <sup>25</sup>
	1.000	16.54	02/02/21	15.00	...	1.54	3 of 3 - Sale <sup>25</sup>
02/03/21	1.333	22.06	Various	20.00	...	2.06	Total of 3 transactions

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Account 777455395

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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IBIO, INC. / CUSIP: 451033203 / Symbol:							
02/03/21	7.000	14.42	12/11/20	8.82	...	5.60	Sale <sup>25</sup>
02/05/21	3.000	6.66	12/11/20	3.78	...	2.88	Sale <sup>25</sup>
2 transactions for 04/06/21. Total proceeds and cost reported to the IRS.							
	10.000	15.55	12/11/20	12.59	...	2.96	1 of 2 - Sale <sup>25</sup>
	3.000	4.66	02/11/21	7.58	...	-2.92	2 of 2 - Sale <sup>25</sup>
04/06/21	13.000	20.21	Various	20.17	...	0.04	Total of 2 transactions
<b>Security total:</b>		<b>41.29</b>		<b>32.77</b>	...	<b>8.52</b>	
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
2 transactions for 01/08/21. Total proceeds and cost reported to the IRS.							
	7.000	25.41	11/25/20	18.74	...	6.67	1 of 2 - Sale <sup>25</sup>
	3.000	10.89	12/01/20	7.05	...	3.84	2 of 2 - Sale <sup>25</sup>
01/08/21	10.000	36.30	Various	25.79	...	10.51	Total of 2 transactions
01/14/21	5.000	16.95	12/03/20	11.05	...	5.90	Sale <sup>25</sup>
2 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	5.000	15.96	12/03/20	11.05	...	4.91	1 of 2 - Sale <sup>25</sup>
	1.880	6.00	12/24/20	4.00	...	2.00	2 of 2 - Sale <sup>25</sup>
01/22/21	6.880	21.96	Various	15.05	...	6.91	Total of 2 transactions
<b>Security total:</b>		<b>75.21</b>		<b>51.89</b>	...	<b>23.32</b>	
INPIXON COMMON STOCK / CUSIP: 45790J800 / Symbol:							
01/22/21	5.000	7.95	12/23/20	5.15	...	2.80	Sale <sup>25</sup>
JUST ENERGY GROUP INC COMMON S TOCK (CANADA) / CUSIP: 48213W408 / Symbol:							
2 transactions for 02/05/21. Total proceeds and cost reported to the IRS.							
	0.370	2.73	01/22/21	2.54	...	0.19	1 of 2 - Sale <sup>25</sup>
	1.630	12.02	01/22/21	11.20	...	0.82	2 of 2 - Sale <sup>25</sup>
02/05/21	2.000	14.75	Various	13.74	...	1.01	Total of 2 transactions
MAGNITE, INC. COMMON STOCK / CUSIP: 55955D100 / Symbol:							
02/08/21	0.191	11.30	02/05/21	10.00	...	1.30	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 777455395

**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
MECHEL PAO AMERICAN DEPOSITARY SHARES (EACH REPRESENTING ONE -HALF OF A PREFERRED SHARE) / CUSIP: 583840509 / Symbol:							
<i>8 transactions for 04/08/21. Total proceeds and cost reported to the IRS.</i>							
	20.000	9.27	12/11/20	11.72	...	-2.45	1 of 8 - Sale <sup>25</sup>
	1.000	0.46	12/15/20	0.48	...	-0.02	2 of 8 - Sale <sup>25</sup>
	5.000	2.32	12/16/20	2.38	...	-0.06	3 of 8 - Sale <sup>25</sup>
	9.000	4.17	12/23/20	4.41	...	-0.24	4 of 8 - Sale <sup>25</sup>
	18.000	8.35	01/13/21	9.31	...	-0.96	5 of 8 - Sale <sup>25</sup>
	19.000	8.81	01/22/21	9.51	...	-0.70	6 of 8 - Sale <sup>25</sup>
	20.000	9.28	01/25/21	10.10	...	-0.82	7 of 8 - Sale <sup>25</sup>
	8.000	3.71	01/27/21	3.85	...	-0.14	8 of 8 - Sale <sup>25</sup>
04/08/21	100.000	46.37	Various	51.76	...	-5.39	Total of 8 transactions
<i>3 transactions for 05/20/21. Total proceeds and cost reported to the IRS.</i>							
	11.000	7.39	01/27/21	5.29	...	2.10	1 of 3 - Sale <sup>25</sup>
	20.000	13.44	01/27/21	9.95	...	3.49	2 of 3 - Sale <sup>25</sup>
	50.000	33.59	02/08/21	26.25	...	7.34	3 of 3 - Sale <sup>25</sup>
05/20/21	81.000	54.42	Various	41.49	...	12.93	Total of 3 transactions
	<b>Security total:</b>	<b>100.79</b>		<b>93.25</b>	...	<b>7.54</b>	
MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
<i>3 transactions for 01/22/21. Total proceeds and cost reported to the IRS.</i>							
	0.971	6.53	12/22/20	8.40	...	-1.87	1 of 3 - Sale <sup>25</sup>
	0.190	1.28	12/22/20	1.60	...	-0.32	2 of 3 - Sale <sup>25</sup>
	3.000	20.16	01/07/21	16.73	...	3.43	3 of 3 - Sale <sup>25</sup>
01/22/21	4.162	27.97	Various	26.73	...	1.24	Total of 3 transactions
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
<i>7 transactions for 01/25/21. Total proceeds and cost reported to the IRS.</i>							
	1.742	252.87	12/07/20	275.12	...	-22.25	1 of 7 - Sale <sup>25</sup>
	1.000	145.14	12/17/20	140.73	...	4.41	2 of 7 - Sale <sup>25</sup>
	0.043	6.25	12/29/20	5.00	...	1.25	3 of 7 - Sale <sup>25</sup>
	0.076	11.05	12/29/20	9.80	...	1.25	4 of 7 - Sale <sup>25</sup>
	0.096	13.95	12/29/20	11.16	...	2.79	5 of 7 - Sale <sup>25</sup>
	0.182	26.36	12/29/20	23.29	...	3.07	6 of 7 - Sale <sup>25</sup>

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Account 777455395

## 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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MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol: (cont'd)							
	0.861	124.94	12/29/20	100.00	...	24.94	7 of 7 - Sale <sup>25</sup>
01/25/21	4.000	580.56	Various	565.10	...	15.46	Total of 7 transactions
01/25/21	0.258	37.46	12/07/20	40.71	3.25 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>618.02</b>		<b>605.81</b>	<b>3.25 W</b>	<b>15.46</b>	
NANTHEALTH, INC. COMMON STOCK / CUSIP: 630104107 / Symbol:							
3 transactions for 01/26/21. Total proceeds and cost reported to the IRS.							
	2.000	7.63	12/15/20	8.03	...	-0.40	1 of 3 - Sale <sup>25</sup>
	2.000	7.63	12/22/20	10.38	...	-2.75	2 of 3 - Sale <sup>25</sup>
	3.846	14.67	01/22/21	15.00	...	-0.33	3 of 3 - Sale <sup>25</sup>
01/26/21	7.846	29.93	Various	33.41	...	-3.48	Total of 3 transactions
NANTKWEST, INC. COMMON STOCK / CUSIP: 63016Q102 / Symbol:							
01/14/21	0.552	10.43	12/22/20	10.00	...	0.43	Sale <sup>25</sup>
NEOLEUKIN THERAPEUTICS, INC. COMMON STOCK / CUSIP: 64049K104 / Symbol:							
01/22/21	0.714	9.33	12/24/20	10.00	...	-0.67	Sale <sup>25</sup>
NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol:							
01/20/21	0.035	20.59	01/20/21	19.87	...	0.72	Sale <sup>25</sup>
NEXTCURE, INC. COMMON STOCK / CUSIP: 65343E108 / Symbol:							
01/22/21	1.000	13.57	12/18/20	11.36	...	2.21	Sale <sup>25</sup>
NORTHERN DYNASTY MINERALS, LTD . / CUSIP: 66510M204 / Symbol:							
2 transactions for 04/08/21. Total proceeds and cost reported to the IRS.							
	33.000	20.48	12/31/20	10.79	...	9.69	1 of 2 - Sale <sup>25</sup>
	22.000	13.66	02/03/21	14.04	...	-0.38	2 of 2 - Sale <sup>25</sup>
04/08/21	55.000	34.14	Various	24.83	...	9.31	Total of 2 transactions
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
02/12/21	18.000	44.46	02/09/21	37.06	...	7.40	Sale <sup>25</sup>

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Account 777455395

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
01/04/21	6.000	18.50	12/23/20	11.76	...	6.74	Sale <sup>25</sup>
	3 transactions for 02/02/21. Total proceeds and cost reported to the IRS.						
	1.000	3.19	12/23/20	1.96	...	1.23	1 of 3 - Sale <sup>25</sup>
	1.044	3.33	12/24/20	2.00	...	1.33	2 of 3 - Sale <sup>25</sup>
	2.956	9.43	12/24/20	5.16	...	4.27	3 of 3 - Sale <sup>25</sup>
02/02/21	5.000	15.95	Various	9.12	...	6.83	Total of 3 transactions
	3 transactions for 02/08/21. Total proceeds and cost reported to the IRS.						
	0.275	4.51	12/24/20	0.48	...	4.03	1 of 3 - Sale <sup>25</sup>
	2.500	24.83	12/24/20	4.36	...	20.47	2 of 3 - Sale <sup>25</sup>
	0.725	11.90	12/31/20	1.33	...	10.57	3 of 3 - Sale <sup>25</sup>
02/08/21	3.500	41.24	Various	6.17	...	35.07	Total of 3 transactions
	2 transactions for 04/06/21. Total proceeds and cost reported to the IRS.						
	0.007	0.05	12/31/20	0.01	...	0.04	1 of 2 - Sale <sup>25</sup>
	2.000	12.84	12/31/20	3.66	...	9.18	2 of 2 - Sale <sup>25</sup>
04/06/21	2.007	12.89	Various	3.67	...	9.22	Total of 2 transactions
	<b>Security total:</b>	<b>88.58</b>		<b>30.72</b>	...	<b>57.86</b>	
ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol:							
	4 transactions for 02/03/21. Total proceeds and cost reported to the IRS.						
	1.000	0.88	12/17/20	0.37	...	0.51	1 of 4 - Sale <sup>25</sup>
	2.000	1.77	12/17/20	0.75	...	1.02	2 of 4 - Sale <sup>25</sup>
	5.000	4.44	12/17/20	1.85	...	2.59	3 of 4 - Sale <sup>25</sup>
	13.000	10.58	12/17/20	4.88	...	5.70	4 of 4 - Sale <sup>25</sup>
02/03/21	21.000	17.67	Various	7.85	...	9.82	Total of 4 transactions
	3 transactions for 04/06/21. Total proceeds and cost reported to the IRS.						
	2.000	1.75	12/17/20	0.74	...	1.01	1 of 3 - Sale <sup>25</sup>
	20.000	17.47	12/23/20	9.50	...	7.97	2 of 3 - Sale <sup>25</sup>
	50.000	43.68	02/08/21	50.45	...	-6.77	3 of 3 - Sale <sup>25</sup>
04/06/21	72.000	62.90	Various	60.69	...	2.21	Total of 3 transactions
	<b>Security total:</b>	<b>80.57</b>		<b>68.54</b>	...	<b>12.03</b>	
ON24, INC. / CUSIP: 68339B104 / Symbol:							
02/08/21	0.141	10.05	02/03/21	10.00	...	0.05	Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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ORAGENICS INC. / CUSIP: 684023302 / Symbol:							
2 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	5.000	5.40	12/23/20	2.90	...	2.50	1 of 2 - Sale <sup>25</sup>
	18.000	19.44	01/13/21	14.09	...	5.35	2 of 2 - Sale <sup>25</sup>
01/22/21	23.000	24.84	Various	16.99	...	7.85	Total of 2 transactions
ORCHARD THERAPEUTICS PLC AMERI CAN DEPOSITARY SHARES / CUSIP: 68570P101 / Symbol:							
02/02/21	4.000	23.68	12/18/20	19.59	...	4.09	Sale <sup>25</sup>
ORLA MINING LTD. / CUSIP: 68634K106 / Symbol:							
02/09/21	1.000	4.48	02/05/21	4.27	...	0.21	Sale <sup>25</sup>
OUTLOOK THERAPEUTICS, INC. COM MON STOCK / CUSIP: 69012T206 / Symbol:							
8 transactions for 06/02/21. Total proceeds and cost reported to the IRS.							
	11.000	29.60	02/08/21	33.88	...	-4.28	1 of 8 - Sale <sup>25</sup>
	0.364	0.98	02/08/21	1.12	...	-0.14	2 of 8 - Sale <sup>25</sup>
	7.000	18.84	02/10/21	19.88	...	-1.04	3 of 8 - Sale <sup>25</sup>
	3.472	9.34	02/10/21	10.00	...	-0.66	4 of 8 - Sale <sup>25</sup>
	0.042	0.11	02/10/21	0.12	...	-0.01	5 of 8 - Sale <sup>25</sup>
	1.533	4.12	02/11/21	4.00	...	0.12	6 of 8 - Sale <sup>25</sup>
	5.000	13.46	02/11/21	13.00	...	0.46	7 of 8 - Sale <sup>25</sup>
	10.000	26.91	03/31/21	22.20	...	4.71	8 of 8 - Sale <sup>25</sup>
06/02/21	38.411	103.36	Various	104.20	...	-0.84	Total of 8 transactions
PELTON INTERACTIVE, INC. CLAS S A COMMON STOCK / CUSIP: 70614W100 / Symbol:							
01/13/21	0.121	20.19	12/22/20	20.00	...	0.19	Sale <sup>25</sup>
PETROLEO BRASILEIRO S.A.-PETRO BRAS ADS (REP 1 COMMON SHARE) / CUSIP: 71654V408 / Symbol:							
02/01/21	0.674	6.84	01/27/21	7.00	...	-0.16	Sale <sup>25</sup>
PFIZER INC. / CUSIP: 717081103 / Symbol:							
2 transactions for 01/05/21. Total proceeds and cost reported to the IRS.							
	1.000	37.26	12/15/20	40.81	...	-3.55	1 of 2 - Sale <sup>25</sup>
	1.000	37.26	12/15/20	40.78	...	-3.52	2 of 2 - Sale <sup>25</sup>
01/05/21	2.000	74.52	Various	81.59	...	-7.07	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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PHUNWARE, INC. COMMON STOCK / CUSIP: 71948P100 / Symbol:							
02/08/21	10.000	27.15	02/02/21	22.78	...	4.37	Sale <sup>25</sup>
POSHMARK, INC. CLASS A COMMON STOCK / CUSIP: 73739W104 / Symbol:							
01/25/21	0.011	0.79	01/14/21	1.00	...	-0.21	Sale <sup>25</sup>
RLX TECHNOLOGY INC. AMERICAN D EPOSITARY SHARES, EACH REPRESENTING THE RIGHT TO RECEIVE ONE / CUSIP: 74969N103 / Symbol:							
01/25/21	0.120	3.71	01/22/21	3.00	...	0.71	Sale <sup>25</sup>
RELIANCE GLOBAL GROUP, INC. COMMON STOCK / CUSIP: 75946W207 / Symbol:							
02/11/21	1.000	6.40	02/09/21	8.82	...	-2.42	Sale <sup>25</sup>
RITE AID CORPORATION / CUSIP: 767754872 / Symbol:							
01/25/21	1.000	21.31	12/17/20	21.99	...	-0.68	Sale <sup>25</sup>
ROLLS ROYCE HOLDINGS PLC SPONSORED AMERICAN DEPOSITARY SHARES / CUSIP: 775781206 / Symbol:							
4 transactions for 04/08/21. Total proceeds and cost reported to the IRS.							
	7.000	10.85	12/03/20	14.21	...	-3.36	1 of 4 - Sale <sup>25</sup>
	3.000	4.65	12/15/20	5.64	...	-0.99	2 of 4 - Sale <sup>25</sup>
	10.000	15.50	02/08/21	13.60	...	1.90	3 of 4 - Sale <sup>25</sup>
	10.000	15.50	02/08/21	13.60	...	1.90	4 of 4 - Sale <sup>25</sup>
04/08/21	30.000	46.50	Various	47.05	...	-0.55	Total of 4 transactions
SPDR S&P OIL & GAS EXPLORATION & PRODUCTION ETF / CUSIP: 78468R556 / Symbol:							
01/22/21	0.325	21.80	01/05/21	20.00	...	1.80	Sale <sup>25</sup>
SANA BIOTECHNOLOGY, INC. COMMON STOCK / CUSIP: 799566104 / Symbol:							
02/08/21	1.000	39.06	02/04/21	34.68	...	4.38	Sale <sup>25</sup>
SAREPTA THERAPEUTICS, INC. COMMON STOCK (DE) / CUSIP: 803607100 / Symbol:							
01/15/21	1.000	90.57	01/08/21	86.66	...	3.91	Sale <sup>25</sup>
2 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	1.000	98.08	01/08/21	86.66	...	11.42	1 of 2 - Sale <sup>25</sup>
	1.000	98.03	01/08/21	83.93	...	14.10	2 of 2 - Sale <sup>25</sup>
01/22/21	2.000	196.11	Various	170.59	...	25.52	Total of 2 transactions
	<b>Security total:</b>	<b>286.68</b>		<b>257.25</b>	...	<b>29.43</b>	

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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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SENSEONICS HOLDINGS, INC. / CUSIP: 81727U105 / Symbol:							
2 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	2.000	4.58	01/15/21	3.08	...	1.50	1 of 2 - Sale <sup>25</sup>
	10.000	22.90	01/15/21	16.69	...	6.21	2 of 2 - Sale <sup>25</sup>
01/22/21	12.000	27.48	Various	19.77	...	7.71	Total of 2 transactions
SOLARWINDS CORPORATION COMMON STOCK / CUSIP: 83417Q105 / Symbol:							
4 transactions for 01/25/21. Total proceeds and cost reported to the IRS.							
	2.000	32.35	12/21/20	32.30	...	0.05	1 of 4 - Sale <sup>25</sup>
	0.256	4.14	01/22/21	4.07	...	0.07	2 of 4 - Sale <sup>25</sup>
	1.000	16.18	01/22/21	15.93	...	0.25	3 of 4 - Sale <sup>25</sup>
	1.256	20.31	01/22/21	20.00	...	0.31	4 of 4 - Sale <sup>25</sup>
01/25/21	4.512	72.98	Various	72.30	...	0.68	Total of 4 transactions
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
3 transactions for 02/01/21. Total proceeds and cost reported to the IRS.							
	2.000	2.22	12/16/20	0.96	...	1.26	1 of 3 - Sale <sup>25</sup>
	25.000	27.75	12/16/20	12.08	...	15.67	2 of 3 - Sale <sup>25</sup>
	3.000	3.33	12/17/20	1.36	...	1.97	3 of 3 - Sale <sup>25</sup>
02/01/21	30.000	33.30	Various	14.40	...	18.90	Total of 3 transactions
02/03/21	10.000	12.35	12/17/20	4.52	...	7.83	Sale <sup>25</sup>
4 transactions for 04/06/21. Total proceeds and cost reported to the IRS.							
	7.000	7.22	12/17/20	3.17	...	4.05	1 of 4 - Sale <sup>25</sup>
	14.000	14.43	01/14/21	9.48	...	4.95	2 of 4 - Sale <sup>25</sup>
	30.000	30.93	02/05/21	34.80	...	-3.87	3 of 4 - Sale <sup>25</sup>
	5.000	5.15	02/12/21	10.13	...	-4.98	4 of 4 - Sale <sup>25</sup>
04/06/21	56.000	57.73	Various	57.58	...	0.15	Total of 4 transactions
	<b>Security total:</b>	<b>103.38</b>		<b>76.50</b>	...	<b>26.88</b>	
SUNRUN INC. COMMON STOCK / CUSIP: 86771W105 / Symbol:							
01/22/21	1.000	86.13	01/15/21	84.58	...	1.55	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 777455395

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

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**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
TALOS ENERGY, INC. COMMON STOC K / CUSIP: 87484T108 / Symbol:							
<i>4 transactions for 05/07/21. Total proceeds and cost reported to the IRS.</i>							
	0.196	2.38	12/10/20	1.75	...	0.63	1 of 4 - Sale <sup>25</sup>
	2.804	34.10	12/10/20	25.17	...	8.93	2 of 4 - Sale <sup>25</sup>
	2.196	26.69	01/26/21	20.00	...	6.69	3 of 4 - Sale <sup>25</sup>
	3.000	36.47	01/27/21	26.84	...	9.63	4 of 4 - Sale <sup>25</sup>
05/07/21	8.196	99.64	Various	73.76	...	25.88	Total of 4 transactions
TEAM, INC. / CUSIP: 878155100 / Symbol:							
01/07/21	1.000	11.64	12/18/20	11.95	...	-0.31	Sale <sup>25</sup>
TELLURIAN INC. / CUSIP: 87968A104 / Symbol:							
<i>3 transactions for 01/25/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	4.06	12/09/20	1.36	...	2.70	1 of 3 - Sale <sup>25</sup>
	3.000	12.18	12/10/20	3.96	...	8.22	2 of 3 - Sale <sup>25</sup>
	6.000	24.36	12/15/20	7.67	...	16.69	3 of 3 - Sale <sup>25</sup>
01/25/21	10.000	40.60	Various	12.99	...	27.61	Total of 3 transactions
02/04/21	3.000	10.81	01/15/21	5.21	...	5.60	Sale <sup>25</sup>
09/22/21	7.000	23.68	01/15/21	12.14	...	11.54	Sale <sup>25</sup>
	<b>Security total:</b>	<b>75.09</b>		<b>30.34</b>	...	<b>44.75</b>	
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
01/07/21	1.000	807.27	01/07/21	804.33	...	2.94	Sale <sup>25</sup>
02/08/21	0.010	8.88	02/02/21	9.00	...	-0.12	Sale <sup>25</sup>
	<b>Security total:</b>	<b>816.15</b>		<b>813.33</b>	...	<b>2.82</b>	
THE9 LIMITED AMERICAN DEPOSITO RY SHARES / CUSIP: 88337K302 / Symbol:							
02/03/21	1.000	18.55	01/07/21	18.14	...	0.41	Sale <sup>25</sup>
02/03/21	3.000	55.65	01/07/21	79.85	24.20 W	0.00	Sale <sup>25</sup>
<i>2 transactions for 02/04/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	19.85	01/07/21	26.21	6.36 W	0.00	1 of 2 - Sale <sup>25</sup>
	2.000	39.70	01/08/21	46.13	3.22 W	-3.21	2 of 2 - Sale <sup>25</sup>
02/04/21	3.000	59.55	Various	72.34	9.58 W	-3.21	Total of 2 transactions

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Robinhood Securities LLC

Account 777455395

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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

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**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
THE9 LIMITED AMERICAN DEPOSITO RY SHARES / CUSIP: 88337K302 / Symbol: (cont'd)							
2 transactions for 02/05/21. Total proceeds and cost reported to the IRS.							
	1.000	23.67	02/01/21	20.36	...	3.31	1 of 2 - Sale <sup>25</sup>
	1.000	23.67	02/01/21	17.21	...	6.46	2 of 2 - Sale <sup>25</sup>
02/05/21	2.000	47.34	Various	37.57	...	9.77	Total of 2 transactions
	<b>Security total:</b>	<b>181.09</b>		<b>207.90</b>	<b>33.78 W</b>	<b>6.97</b>	
TILRAY BRANDS, INC. CLASS 2 CO MMON STOCK / CUSIP: 88688T100 / Symbol:							
2 transactions for 01/07/21. Total proceeds and cost reported to the IRS.							
	1.000	12.32	12/16/20	10.12	...	2.20	1 of 2 - Sale <sup>25</sup>
	1.000	12.32	12/16/20	9.69	...	2.63	2 of 2 - Sale <sup>25</sup>
01/07/21	2.000	24.64	Various	19.81	...	4.83	Total of 2 transactions
TITAN PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 888314606 / Symbol:							
02/02/21	1.000	3.39	12/23/20	3.33	...	0.06	Sale <sup>25</sup>
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
01/25/21	30.000	31.53	01/19/21	26.25	...	5.28	Sale <sup>25</sup>
UXIN LIMITED ADS / CUSIP: 91818X108 / Symbol:							
01/22/21	10.000	12.60	12/18/20	11.50	...	1.10	Sale <sup>25</sup>
VIR BIOTECHNOLOGY, INC. COMMON STOCK / CUSIP: 92764N102 / Symbol:							
02/02/21	0.036	2.11	01/27/21	4.00	...	-1.89	Sale <sup>25</sup>
VOR BIOPHARMA INC. COMMON STOC K / CUSIP: 929033108 / Symbol:							
02/08/21	0.451	18.33	02/05/21	15.00	...	3.33	Sale <sup>25</sup>
WESTPORT FUEL SYSTEMS INC COMM ON SHARES / CUSIP: 960908309 / Symbol:							
02/08/21	0.632	7.62	02/08/21	8.00	...	-0.38	Sale <sup>25</sup>
YALLA GROUP LIMITED AMERICAN D EPOSITARY SHARES, EACH REPRES E NTING ONE CLASS A ORDINARY SHA / CUSIP: 98459U103 / Symbol:							
01/21/21	1.000	18.75	12/18/20	18.76	...	-0.01	Sale <sup>25</sup>

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Account 777455395

**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
ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:							
01/11/21	35.000	30.84	12/23/20	8.16	...	22.68	Sale <sup>25</sup>
01/12/21	15.000	18.90	12/23/20	3.50	...	15.40	Sale <sup>25</sup>
02/05/21	8.000	14.80	12/23/20	1.86	...	12.94	Sale <sup>25</sup>
3 transactions for 04/06/21. Total proceeds and cost reported to the IRS.							
	12.000	16.56	12/23/20	2.80	...	13.76	1 of 3 - Sale <sup>25</sup>
	10.000	13.80	01/15/21	9.94	...	3.86	2 of 3 - Sale <sup>25</sup>
	15.000	20.70	02/05/21	27.53	...	-6.83	3 of 3 - Sale <sup>25</sup>
04/06/21	37.000	51.06	Various	40.27	...	10.79	Total of 3 transactions
	<b>Security total:</b>	<b>115.60</b>		<b>53.79</b>	...	<b>61.81</b>	
FERROGLOBE PLC ORDINARY SHARES / CUSIP: G33856108 / Symbol:							
5 transactions for 03/31/21. Total proceeds and cost reported to the IRS.							
	0.042	0.17	02/02/21	0.16	...	0.01	1 of 5 - Sale <sup>25</sup>
	3.958	15.55	02/02/21	14.72	...	0.83	2 of 5 - Sale <sup>25</sup>
	0.042	0.17	02/10/21	0.14	...	0.03	3 of 5 - Sale <sup>25</sup>
	6.000	23.58	02/10/21	19.86	...	3.72	4 of 5 - Sale <sup>25</sup>
	5.000	19.65	02/12/21	15.99	...	3.66	5 of 5 - Sale <sup>25</sup>
03/31/21	15.042	59.12	Various	50.87	...	8.25	Total of 5 transactions
EBANG INTERNATIONAL HOLDINGS I NC. CLASS A ORDINARY SHARES / CUSIP: G3R33A106 / Symbol:							
2 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	0.771	3.92	12/31/20	4.39	...	-0.47	1 of 2 - Sale <sup>25</sup>
	0.229	1.16	12/31/20	1.45	...	-0.29	2 of 2 - Sale <sup>25</sup>
01/22/21	1.000	5.08	Various	5.84	...	-0.76	Total of 2 transactions
01/22/21	0.229	1.16	12/31/20	1.30	0.14 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>6.24</b>		<b>7.14</b>	<b>0.14 W</b>	<b>-0.76</b>	
MEIRAGTX HOLDINGS PLC ORDINARY SHARES / CUSIP: G59665102 / Symbol:							
01/22/21	1.000	15.57	12/17/20	16.28	...	-0.71	Sale <sup>25</sup>
ORIENTAL CULTURE HOLDING LTD O RDINARY SHARES / CUSIP: G6796W107 / Symbol:							
5 transactions for 04/06/21. Total proceeds and cost reported to the IRS.							
	0.348	2.98	12/17/20	6.73	...	-3.75	1 of 5 - Sale <sup>25</sup>
	0.652	5.59	01/05/21	3.00	...	2.59	2 of 5 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 777455395

## 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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ORIENTAL CULTURE HOLDING LTD O RDINARY SHARES / CUSIP: G6796W107 / Symbol: (cont'd)							
	3.000	25.73	01/07/21	14.84	...	10.89	3 of 5 - Sale <sup>25</sup>
	0.652	5.59	04/01/21	12.03	...	-6.44	4 of 5 - Sale <sup>25</sup>
	0.348	2.99	04/01/21	2.67	...	0.32	5 of 5 - Sale <sup>25</sup>
04/06/21	5.000	42.88	Various	39.27	...	3.61	Total of 5 transactions
04/06/21	0.652	5.60	12/17/20	12.63	7.03 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>48.48</b>		<b>51.90</b>	<b>7.03 W</b>	<b>3.61</b>	
MEIWU TECHNOLOGY COMPANY LIMITED ORDINARY SHARES / CUSIP: G9604C107 / Symbol:							
9 transactions for 02/12/21. Total proceeds and cost reported to the IRS.							
	0.427	10.16	01/22/21	9.34	...	0.82	1 of 9 - Sale <sup>25</sup>
	2.986	71.08	01/22/21	65.66	...	5.42	2 of 9 - Sale <sup>25</sup>
	0.609	19.36	02/02/21	18.93	...	0.43	3 of 9 - Sale <sup>25</sup>
	0.276	8.77	02/02/21	8.23	...	0.54	4 of 9 - Sale <sup>25</sup>
	0.893	27.02	02/02/21	25.33	...	1.69	5 of 9 - Sale <sup>25</sup>
	1.107	33.48	02/02/21	31.39	...	2.09	6 of 9 - Sale <sup>25</sup>
	0.593	14.11	02/02/21	10.30	...	3.81	7 of 9 - Sale <sup>25</sup>
	0.603	14.35	02/02/21	10.48	...	3.87	8 of 9 - Sale <sup>25</sup>
	1.609	48.67	02/02/21	33.39	...	15.28	9 of 9 - Sale <sup>25</sup>
02/12/21	9.103	247.00	Various	213.05	...	33.95	Total of 9 transactions
32 transactions for 02/12/21. Total proceeds and cost reported to the IRS.							
	0.019	0.46	12/16/20	1.00	0.54 W	0.00	1 of 32 - Sale <sup>25</sup>
	0.090	2.13	12/21/20	4.98	2.85 W	0.00	2 of 32 - Sale <sup>25</sup>
	0.098	2.32	12/21/20	5.00	2.68 W	0.00	3 of 32 - Sale <sup>25</sup>
	0.333	7.93	12/21/20	20.00	12.07 W	0.00	4 of 32 - Sale <sup>25</sup>
	0.117	2.79	12/22/20	5.00	2.21 W	0.00	5 of 32 - Sale <sup>25</sup>
	0.066	1.58	12/23/20	3.00	1.42 W	0.00	6 of 32 - Sale <sup>25</sup>
	0.231	5.50	12/23/20	10.00	4.50 W	0.00	7 of 32 - Sale <sup>25</sup>
	0.106	2.52	12/24/20	5.00	2.48 W	0.00	8 of 32 - Sale <sup>25</sup>
	0.118	2.80	12/28/20	5.00	2.20 W	0.00	9 of 32 - Sale <sup>25</sup>
	0.639	15.22	12/29/20	25.00	9.78 W	0.00	10 of 32 - Sale <sup>25</sup>
	0.050	1.18	12/31/20	2.00	0.82 W	0.00	11 of 32 - Sale <sup>25</sup>
	0.248	5.90	12/31/20	10.00	4.10 W	0.00	12 of 32 - Sale <sup>25</sup>
	0.276	6.57	01/05/21	10.00	3.43 W	0.00	13 of 32 - Sale <sup>25</sup>
	2.000	47.60	01/07/21	77.80	30.20 W	0.00	14 of 32 - Sale <sup>25</sup>

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Account 777455395

**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
MEIWU TECHNOLOGY COMPANY LIMITED ORDINARY SHARES / CUSIP: G9604C107 / Symbol: (cont'd)							
	1.000	23.80	01/08/21	37.50	13.70 W	0.00	15 of 32 - Sale <sup>25</sup>
	2.000	47.60	01/08/21	69.56	21.96 W	0.00	16 of 32 - Sale <sup>25</sup>
	3.000	71.40	01/25/21	81.51	10.11 W	0.00	17 of 32 - Sale <sup>25</sup>
	0.019	0.61	02/02/21	0.87	0.26 W	0.00	18 of 32 - Sale <sup>25</sup>
	0.050	1.58	02/02/21	1.68	0.10 W	0.00	19 of 32 - Sale <sup>25</sup>
	0.066	2.11	02/02/21	2.57	0.46 W	0.00	20 of 32 - Sale <sup>25</sup>
	0.090	2.85	02/02/21	4.41	1.56 W	0.00	21 of 32 - Sale <sup>25</sup>
	0.098	3.10	02/02/21	4.38	1.28 W	0.00	22 of 32 - Sale <sup>25</sup>
	0.106	3.37	02/02/21	4.32	0.95 W	0.00	23 of 32 - Sale <sup>25</sup>
	0.117	3.73	02/02/21	4.25	0.52 W	0.00	24 of 32 - Sale <sup>25</sup>
	0.118	3.74	02/02/21	4.25	0.51 W	0.00	25 of 32 - Sale <sup>25</sup>
	0.231	7.35	02/02/21	8.52	1.17 W	0.00	26 of 32 - Sale <sup>25</sup>
	0.248	7.89	02/02/21	8.41	0.52 W	0.00	27 of 32 - Sale <sup>25</sup>
	0.333	10.60	02/02/21	17.86	7.26 W	0.00	28 of 32 - Sale <sup>25</sup>
	0.391	11.83	02/02/21	12.15	0.32 W	0.00	29 of 32 - Sale <sup>25</sup>
	0.639	20.32	02/02/21	20.89	0.57 W	0.00	30 of 32 - Sale <sup>25</sup>
	0.984	31.26	02/02/21	31.95	0.69 W	0.00	31 of 32 - Sale <sup>25</sup>
	1.016	32.31	02/02/21	33.01	0.70 W	0.00	32 of 32 - Sale <sup>25</sup>
02/12/21	14.897	389.95	Various	531.87	141.92 W	0.00	Total of 32 transactions
	<b>Security total:</b>	<b>636.95</b>		<b>744.92</b>	<b>141.92 W</b>	<b>33.95</b>	
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
01/12/21	15.000	8.70	12/23/20	2.93	...	5.77	Sale <sup>25</sup>
	2 transactions for 01/22/21. Total proceeds and cost reported to the IRS.						
	35.000	15.39	12/23/20	6.82	...	8.57	1 of 2 - Sale <sup>25</sup>
	20.000	8.79	01/15/21	9.60	...	-0.81	2 of 2 - Sale <sup>25</sup>
01/22/21	55.000	24.18	Various	16.42	...	7.76	Total of 2 transactions
	<b>Security total:</b>	<b>32.88</b>		<b>19.35</b>	...	<b>13.53</b>	
CASTOR MARITIME INC. COMMON SHARES / CUSIP: Y1146L109 / Symbol:							
02/01/21	27.000	18.02	01/14/21	9.77	...	8.25	Sale <sup>25</sup>
02/08/21	20.000	17.79	01/14/21	7.24	...	10.55	Sale <sup>25</sup>
	3 transactions for 02/24/21. Total proceeds and cost reported to the IRS.						
	3.000	3.45	01/14/21	1.09	...	2.36	1 of 3 - Sale <sup>25</sup>

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Account 777455395

## 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
CASTOR MARITIME INC. COMMON SH ARES / CUSIP: Y1146L109 / Symbol: (cont'd)							
	7.000	8.05	01/20/21	2.28	...	5.77	2 of 3 - Sale <sup>25</sup>
	20.000	23.00	01/26/21	8.06	...	14.94	3 of 3 - Sale <sup>25</sup>
02/24/21	30.000	34.50	Various	11.43	...	23.07	Total of 3 transactions
	<b>Security total:</b>	<b>70.31</b>		<b>28.44</b>	...	<b>41.87</b>	
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK / CUSIP: Y73760194 / Symbol:							
02/01/21	20.000	22.25	12/23/20	9.81	...	12.44	Sale <sup>25</sup>
	2 transactions for 02/04/21. Total proceeds and cost reported to the IRS.						
	5.000	5.65	12/23/20	2.45	...	3.20	1 of 2 - Sale <sup>25</sup>
	5.000	5.65	01/15/21	4.08	...	1.57	2 of 2 - Sale <sup>25</sup>
02/04/21	10.000	11.30	Various	6.53	...	4.77	Total of 2 transactions
02/09/21	15.000	20.78	01/15/21	12.25	...	8.53	Sale <sup>25</sup>
	2 transactions for 09/13/21. Total proceeds and cost reported to the IRS.						
	15.000	21.17	01/15/21	12.24	...	8.93	1 of 2 - Sale <sup>25</sup>
	45.000	63.49	02/08/21	54.90	...	8.59	2 of 2 - Sale <sup>25</sup>
09/13/21	60.000	84.66	Various	67.14	...	17.52	Total of 2 transactions
	8 transactions for 09/22/21. Total proceeds and cost reported to the IRS.						
	0.051	0.07	02/08/21	0.06	...	0.01	1 of 8 - Sale <sup>25</sup>
	4.949	6.80	02/08/21	6.04	...	0.76	2 of 8 - Sale <sup>25</sup>
	2.000	2.75	02/10/21	2.58	...	0.17	3 of 8 - Sale <sup>25</sup>
	18.000	24.75	02/11/21	24.93	...	-0.18	4 of 8 - Sale <sup>25</sup>
	0.051	0.07	02/11/21	0.07	...	0.00	5 of 8 - Sale <sup>25</sup>
	10.000	13.75	03/31/21	10.70	...	3.05	6 of 8 - Sale <sup>25</sup>
	10.000	13.75	03/31/21	10.60	...	3.15	7 of 8 - Sale <sup>25</sup>
	15.000	20.62	04/01/21	15.90	...	4.72	8 of 8 - Sale <sup>25</sup>
09/22/21	60.051	82.56	Various	70.88	...	11.68	Total of 8 transactions
	<b>Security total:</b>	<b>221.55</b>		<b>166.61</b>	...	<b>54.94</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 777455395

**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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol:							
01/12/21	10.000	17.85	11/20/20	11.28	...	6.57	Sale <sup>25</sup>
04/08/21	15.000	26.26	01/07/21	21.83	...	4.43	Sale <sup>25</sup>
09/22/21	15.000	19.54	01/07/21	21.82	...	-2.28	Sale <sup>25</sup>
	<b>Security total:</b>	<b>63.65</b>		<b>54.93</b>	...	<b>8.72</b>	
<b>Totals :</b>		<b>7,017.26</b>		<b>6,413.44</b>	<b>189.47 W</b>	<b>793.29</b>	

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
09/22/21	0.498	38.52	12/23/20	28.20	...	10.32	Sale <sup>25</sup>
HERTZ GLOBAL HOLDINGS, INC WAR RANT / CUSIP: 42806J148 / Symbol:							
10/27/21	10.000	134.32	06/04/20	11.68	...	122.64	Sale <sup>25</sup>
HERTZ GLOBAL HOLDINGS, INC COM MON STOCK / CUSIP: 42806J700 / Symbol:							
10/27/21	1.000	27.26	06/04/20	3.62	...	23.64	Sale <sup>25</sup>
<b>Totals :</b>		<b>200.10</b>		<b>43.50</b>		<b>156.60</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 777455395

**Proceeds Not Reported to the IRS**

2021

02/11/2022

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

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

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

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

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

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
ACASTI PHARMA, INC. CLASS A COMMON STOCK / CUSIP: 00430K873 / Symbol:							
09/07/21	0.375	1.05	02/08/21	2.61	...	-1.56	Gain or loss
AYTU BIOPHARMA, INC. COMMON STOCK / CUSIP: 054754874 / Symbol:							
03/26/21	0.352	3.40	12/10/20	2.52	...	0.88	Gain or loss
NOVAN, INC. COMMON STOCK / CUSIP: 66988N205 / Symbol:							
06/02/21	0.013	0.11	02/09/21	0.27	...	-0.16	Gain or loss
SUNLANDS TECHNOLOGY GROUP, AMERICAN DEPOSITARY SHARES, AMERICAN DEPOSITARY SHARES, EVERY T / CUSIP: 86740P207 / Symbol:							
09/07/21	0.408	2.74	02/05/21	11.06	...	-8.32	Gain or loss
<b>Totals:</b>		<b>7.30</b>		<b>16.46</b>	...	<b>-9.16</b>	

Robinhood Securities LLC

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**Detail for Interest Income**

2021

02/11/2022

*This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled and presented beneath the 1099-INT for informational purposes and are not reported to the IRS.*

*To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.*

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		01/22/21	0.06	Interest	
		02/16/21	0.01	Interest	
		04/30/21	0.03	Interest	
		05/28/21	0.01	Interest	
		11/17/21	0.04	Interest	
		11/17/21	0.03	Interest	
		11/17/21	0.03	Interest	
			0.21	Total Interest	
			<b>0.21</b>	<b>Total Interest</b>	

Robinhood Securities LLC

Account 777455395

**Other Receipts and Reconciliations**

2021

02/11/2022

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

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

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

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
ENERGY TRANSFER LP COMMON UNIT S	29273V100	02/19/21	0.76	Partnership distribution	
REPRESENTING LIMITED PARTNER INTERESTS		05/19/21	1.74	Partnership distribution	
			2.50	Total Partnership distribution	
			<b>2.50</b>	<b>Total Partnership distribution</b>	

Robinhood Securities LLC

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**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
		02/08/21	-5.00	Margin interest paid	
		03/08/21	-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 777455395

## Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
AYTU BIOPHARMA, INC. COMMON STOCK	054754874	03/22/21	4.00	0.00	Merger	
HERTZ GLOBAL HOLDINGS, INC. COMMON STOCK	42806J106	07/01/21	-15.00	0.00	Merger	
HERTZ GLOBAL HOLDINGS, INC. WARRANT	42806J148	07/01/21	9.00	0.00	Merger	
		07/06/21	1.00	0.00	Merger	
HERTZ GLOBAL HOLDINGS, INC. COMMON STOCK	42806J700	07/01/21	1.00	0.00	Merger	
NEOS THERAPEUTICS, INC. COMMON STOCK	64052L106	03/22/21	-40.00	0.00	Merger	

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

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**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-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

**Instructions for Recipient**

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.

**1099-INT Instructions for Recipient**

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**Line 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2021 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Line 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction.

**Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

**Line 5.** Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

**Line 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Line 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Line 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Line 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in line 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Line 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Forms 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Line 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Line 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Line 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this line, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Line 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Lines 15-17.** State tax withheld reporting lines.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).

**Instructions for Recipient**

**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.

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