

Robinhood Securities LLC 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700 PAYER'S TIN: 38-4019216	Tax Information Account 750366544	Statement Date: 02/11/2022 Document ID: CJ23 43S 5Q7S	2021
	Pradeep kumar Avuku 17030 N 49th St Apt 2047 Scottsdale, AZ 85254 RECIPIENT'S TIN: XXX-XX-5575		

Summary Information

<p>DIVIDENDS AND DISTRIBUTIONS 2021 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e) 2.73</p> <p>1b- Qualified dividends 2.73</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>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 0.00</p> <p>6- Investment expenses 0.00</p> <p>8- Foreign country or US possession: 7- Foreign tax paid: 0.00</p> <p>9- Cash liquidation distributions 0.00</p> <p>10- Noncash liquidation distributions 0.00</p> <p>11- Exempt-interest dividends (includes line 12) 0.00</p> <p>12- Specified private activity bond interest dividends (AMT) 0.00</p>	<p>MISCELLANEOUS INFORMATION 2021 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.10</p> <p>SECTION 1256 CONTRACTS 2021 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2021 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2020 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2021 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p> <p>* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.</p>
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SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	37,742.01	35,271.43	0.00	356.43	2,827.01
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Short-term	37,742.01	35,271.43	0.00	356.43	2,827.01
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Long-term	0.00	0.00	0.00	0.00	0.00
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	Total Undetermined-term	0.00	0.00	0.00	0.00	0.00
	Grand total	37,742.01	35,271.43	0.00	356.43	2,827.01
Withholding		Amount				
	Federal income tax withheld	0.00				

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

Robinhood Securities LLC

Account 750366544

Summary Information

2021

(continued)

02/11/2022

INTEREST INCOME

2021 1099-INT

OMB No. 1545-0112

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

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

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

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

STATE TAX WITHHELD

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

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

ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

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

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

RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	57.21
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

Robinhood Securities LLC

Account 750366544

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

02/11/2022

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

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

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

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

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 01/21/2022 CALL \$165.00 / CUSIP: / Symbol:							
11/22/21	1.000	597.98	11/04/21	199.00	...	398.98	Option sale to close-call ²⁵
11/30/21	1.000	674.98	11/04/21	199.00	...	475.98	Option sale to close-call ²⁵
	Security total:	1,272.96		398.00	...	874.96	
AAPL 03/19/2021 CALL \$121.00 / CUSIP: / Symbol:							
03/15/21	1.000	319.98	03/12/21	177.00	...	142.98	Option sale to close-call ²⁵
ABNB 03/05/2021 CALL \$210.00 / CUSIP: / Symbol:							
03/01/21	1.000	249.98	03/01/21	268.00	18.02 W	0.00	Option sale to close-call ²⁵
	2 transactions for 03/05/21. Total proceeds and cost reported to the IRS.						
	1.000	0.00	03/01/21	216.02	...	-216.02	1 of 2 - Option expiration- long call
	3.000	0.00	03/02/21	243.00	...	-243.00	2 of 2 - Option expiration- long call
03/05/21	4.000	0.00	Various	459.02	...	-459.02	Total of 2 transactions
	Security total:	249.98		727.02	18.02 W	-459.02	

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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
ABT 04/23/2021 PUT \$120.00 / CUSIP: / Symbol:							
04/20/21	1.000	172.98	04/20/21	121.00	...	51.98	Option sale to close-put ²⁵
BBIG 11/19/2021 CALL \$5.00 / CUSIP: / Symbol:							
11/19/21	2.000	0.00	11/09/21	46.00	...	-46.00	Option expiration- long call
CCIV 05/07/2021 CALL \$23.50 / CUSIP: / Symbol:							
05/07/21	1.000	0.00	04/28/21	145.00	...	-145.00	Option expiration- long call
CCIV 05/21/2021 PUT \$20.00 / CUSIP: / Symbol:							
05/05/21	1.000	177.98	05/03/21	164.00	...	13.98	Option sale to close-put ²⁵
05/06/21	1.000	184.98	05/03/21	164.00	...	20.98	Option sale to close-put ²⁵
	Security total:	362.96		328.00	...	34.96	
CLF 05/07/2021 CALL \$18.50 / CUSIP: / Symbol:							
04/27/21	1.000	93.98	04/26/21	89.00	...	4.98	Option sale to close-call ²⁵
DKNG 05/07/2021 CALL \$61.00 / CUSIP: / Symbol:							
05/07/21	1.000	0.00	04/27/21	264.00	...	-264.00	Option expiration- long call
DKNG 11/12/2021 CALL \$45.00 / CUSIP: / Symbol:							
11/12/21	1.000	0.00	11/09/21	64.00	...	-64.00	Option expiration- long call
DQ 06/18/2021 CALL \$80.00 / CUSIP: / Symbol:							
06/03/21	1.000	559.98	06/03/21	430.00	...	129.98	Option sale to close-call ²⁵
EOG 05/07/2021 CALL \$74.00 / CUSIP: / Symbol:							
	2 transactions for 04/28/21. Total proceeds and cost reported to the IRS.						
	1.000	234.98	04/19/21	199.00	...	35.98	1 of 2 - Option sale to close-call ²⁵
	1.000	197.98	04/20/21	132.00	...	65.98	2 of 2 - Option sale to close-call ²⁵
04/28/21	2.000	432.96	Various	331.00	...	101.96	Total of 2 transactions
FAST 06/18/2021 CALL \$55.00 / CUSIP: / Symbol:							
06/18/21	2.000	0.00	05/13/21	210.00	...	-210.00	Option expiration- long call

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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
FCEL 11/12/2021 CALL \$11.00 / CUSIP: / Symbol:							
2 transactions for 11/08/21. Total proceeds and cost reported to the IRS.							
	1.000	65.98	11/08/21	47.00	...	18.98	1 of 2 - Option sale to close-call ²⁵
	1.000	65.98	11/08/21	47.00	...	18.98	2 of 2 - Option sale to close-call ²⁵
11/08/21	2.000	131.96	Various	94.00	...	37.96	Total of 2 transactions
11/11/21	1.000	47.98	11/08/21	47.00	...	0.98	Option sale to close-call ²⁵
	Security total:	179.94		141.00	...	38.94	
HYLN 03/26/2021 CALL \$16.00 / CUSIP: / Symbol:							
3 transactions for 03/26/21. Total proceeds and cost reported to the IRS.							
	1.000	0.00	03/01/21	252.00	...	-252.00	1 of 3 - Option expiration- long call
	2.000	0.00	03/09/21	106.00	...	-106.00	2 of 3 - Option expiration- long call
	1.000	0.00	03/09/21	53.00	...	-53.00	3 of 3 - Option expiration- long call
03/26/21	4.000	0.00	Various	411.00	...	-411.00	Total of 3 transactions
IDEX 06/18/2021 CALL \$3.00 / CUSIP: / Symbol:							
3 transactions for 06/02/21. Total proceeds and cost reported to the IRS.							
	1.000	38.00	06/01/21	29.00	...	9.00	1 of 3 - Option sale to close-call ²⁵
	4.000	155.98	06/01/21	116.00	...	39.98	2 of 3 - Option sale to close-call ²⁵
	5.000	189.98	06/01/21	145.00	...	44.98	3 of 3 - Option sale to close-call ²⁵
06/02/21	10.000	383.96	Various	290.00	...	93.96	Total of 3 transactions
JNJ 06/18/2021 PUT \$165.00 / CUSIP: / Symbol:							
06/02/21	1.000	187.98	06/01/21	152.00	...	35.98	Option sale to close-put ²⁵
KOPN 08/20/2021 CALL \$10.00 / CUSIP: / Symbol:							
08/20/21	1.000	0.00	06/28/21	95.00	...	-95.00	Option expiration- long call
LOGI 05/21/2021 PUT \$110.00 / CUSIP: / Symbol:							
05/06/21	1.000	249.98	05/05/21	150.00	...	99.98	Option sale to close-put ²⁵
LPX 05/21/2021 PUT \$65.00 / CUSIP: / Symbol:							
05/03/21	1.000	214.98	04/28/21	185.00	...	29.98	Option sale to close-put ²⁵
MARA 04/23/2021 PUT \$35.50 / CUSIP: / Symbol:							
04/19/21	1.000	344.98	04/19/21	217.00	...	127.98	Option sale to close-put ²⁵

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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

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

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

1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
MU 11/12/2021 CALL \$75.00 / CUSIP: / Symbol:							
2 transactions for 11/08/21. Total proceeds and cost reported to the IRS.							
	1.000	101.99	11/08/21	84.00	...	17.99	1 of 2 - Option sale to close-call ²⁵
	1.000	101.99	11/08/21	84.00	...	17.99	2 of 2 - Option sale to close-call ²⁵
11/08/21	2.000	203.98	Various	168.00	...	35.98	Total of 2 transactions
11/09/21	1.000	153.98	11/08/21	84.00	...	69.98	Option sale to close-call ²⁵
	Security total:	357.96		252.00	...	105.96	
NCLH 05/07/2021 CALL \$32.00 / CUSIP: / Symbol:							
05/07/21	1.000	0.00	04/29/21	113.00	...	-113.00	Option expiration- long call
NFLX 04/23/2021 PUT \$492.50 / CUSIP: / Symbol:							
04/21/21	1.000	72.98	04/21/21	218.00	...	-145.02	Option sale to close-put ²⁵
NIO 05/14/2021 CALL \$45.00 / CUSIP: / Symbol:							
05/14/21	2.000	0.00	04/27/21	292.00	...	-292.00	Option expiration- long call
NKE 05/07/2021 CALL \$132.00 / CUSIP: / Symbol:							
04/27/21	1.000	203.98	04/21/21	177.00	...	26.98	Option sale to close-call ²⁵
NKLA 05/21/2021 CALL \$11.50 / CUSIP: / Symbol:							
05/11/21	1.000	84.98	05/10/21	68.00	...	16.98	Option sale to close-call ²⁵
NVDA 10/15/2021 CALL \$212.50 / CUSIP: / Symbol:							
10/13/21	1.000	61.98	10/12/21	141.00	...	-79.02	Option sale to close-call ²⁵
OCGN 05/21/2021 CALL \$12.50 / CUSIP: / Symbol:							
05/21/21	1.000	0.00	05/06/21	147.00	...	-147.00	Option expiration- long call
OCGN 05/21/2021 CALL \$15.00 / CUSIP: / Symbol:							
05/03/21	1.000	295.98	04/26/21	168.00	...	127.98	Option sale to close-call ²⁵
OCGN 11/05/2021 CALL \$16.50 / CUSIP: / Symbol:							
11/05/21	1.000	0.00	11/03/21	169.00	...	-169.00	Option expiration- long call
OCGN 11/12/2021 CALL \$16.00 / CUSIP: / Symbol:							
11/12/21	2.000	0.00	10/26/21	232.00	...	-232.00	Option expiration- long call

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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
OCGN 11/12/2021 PUT \$10.00 / CUSIP: / Symbol:							
11/04/21	2.000	287.98	11/04/21	226.00	...	61.98	Option sale to close-put ²⁵
OPEN 11/19/2021 CALL \$25.00 / CUSIP: / Symbol:							
11/19/21	1.000	0.00	11/11/21	59.00	...	-59.00	Option expiration- long call
ORCL 05/07/2021 PUT \$77.00 / CUSIP: / Symbol:							
04/21/21	1.000	156.98	04/20/21	80.00	...	76.98	Option sale to close-put ²⁵
PBR 06/18/2021 CALL \$10.00 / CUSIP: / Symbol:							
05/28/21	1.000	38.98	05/11/21	35.00	...	3.98	Option sale to close-call ²⁵
	3 transactions for 06/01/21. Total proceeds and cost reported to the IRS.						
	2.000	125.99	05/11/21	70.00	...	55.99	1 of 3 - Option sale to close-call ²⁵
	3.000	188.99	05/11/21	105.00	...	83.99	2 of 3 - Option sale to close-call ²⁵
	4.000	255.98	05/11/21	140.00	...	115.98	3 of 3 - Option sale to close-call ²⁵
06/01/21	9.000	570.96	Various	315.00	...	255.96	Total of 3 transactions
	Security total:	609.94		350.00	...	259.94	
PFE 06/18/2021 CALL \$38.00 / CUSIP: / Symbol:							
05/13/21	1.000	219.98	05/03/21	197.00	...	22.98	Option sale to close-call ²⁵
PLTR 11/12/2021 CALL \$30.00 / CUSIP: / Symbol:							
11/12/21	2.000	0.00	11/08/21	96.00	...	-96.00	Option expiration- long call
QCOM 05/21/2021 PUT \$131.00 / CUSIP: / Symbol:							
05/10/21	1.000	369.98	05/10/21	254.00	...	115.98	Option sale to close-put ²⁵
QQQ 04/30/2021 PUT \$338.00 / CUSIP: / Symbol:							
04/29/21	1.000	196.98	04/29/21	129.00	...	67.98	Option sale to close-put ²⁵
RIDE 11/19/2021 CALL \$7.00 / CUSIP: / Symbol:							
11/19/21	2.000	0.00	11/11/21	122.00	...	-122.00	Option expiration- long call
RIOT 05/07/2021 CALL \$44.00 / CUSIP: / Symbol:							
05/07/21	1.000	0.00	05/03/21	193.00	...	-193.00	Option expiration- long call
RNLX 05/21/2021 CALL \$35.00 / CUSIP: / Symbol:							
05/21/21	1.000	0.00	04/22/21	180.00	...	-180.00	Option expiration- long call

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Robinhood Securities LLC

Account 750366544

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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ROKU 05/14/2021 PUT \$285.00 / CUSIP: / Symbol: 05/14/21	1.000	0.00	05/10/21	245.00	...	-245.00	Option expiration- long put
SABR 06/18/2021 CALL \$15.00 / CUSIP: / Symbol: 06/02/21	1.000	56.98	06/01/21	42.00	...	14.98	Option sale to close-call ²⁵
SNAP 11/12/2021 CALL \$55.00 / CUSIP: / Symbol: 11/12/21	1.000	0.00	11/08/21	105.00	...	-105.00	Option expiration- long call
SOLO 04/09/2021 CALL \$6.00 / CUSIP: / Symbol: 04/09/21	1.000	0.00	03/09/21	82.00	...	-82.00	Option expiration- long call
SOS 06/11/2021 CALL \$4.00 / CUSIP: / Symbol: 06/11/21	1.000	0.00	06/03/21	48.00	...	-48.00	Option expiration- long call
SPOT 05/14/2021 CALL \$280.00 / CUSIP: / Symbol: 05/14/21	1.000	0.00	04/28/21	340.00	...	-340.00	Option expiration- long call
SPY 04/30/2021 CALL \$420.00 / CUSIP: / Symbol: 04/29/21	1.000	121.98	04/29/21	52.00	...	69.98	Option sale to close-call ²⁵
SPY 05/12/2021 CALL \$415.00 / CUSIP: / Symbol: 05/12/21	1.000	0.00	05/11/21	170.00	...	-170.00	Option expiration- long call
SPY 05/17/2021 CALL \$422.00 / CUSIP: / Symbol: 05/10/21	1.000	268.98	05/07/21	268.00	...	0.98	Option sale to close-call ²⁵
SPY 10/11/2021 PUT \$435.00 / CUSIP: / Symbol: 10/11/21	1.000	4.98	10/08/21	105.00	...	-100.02	Option sale to close-put ²⁵
SPY 10/13/2021 PUT \$430.00 / CUSIP: / Symbol: 10/08/21	1.000	99.98	10/08/21	85.00	...	14.98	Option sale to close-put ²⁵
TDOC 07/16/2021 CALL \$160.00 / CUSIP: / Symbol: 06/22/21	1.000	429.98	06/18/21	650.00	...	-220.02	Option sale to close-call ²⁵

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TME 11/12/2021 CALL \$9.00 / CUSIP: / Symbol:							
3 transactions for 11/12/21. Total proceeds and cost reported to the IRS.							
	8.000	0.00	11/08/21	216.00	...	-216.00	1 of 3 - Option expiration- long call
	1.000	0.00	11/08/21	27.00	...	-27.00	2 of 3 - Option expiration- long call
	1.000	0.00	11/08/21	27.00	...	-27.00	3 of 3 - Option expiration- long call
11/12/21	10.000	0.00	Various	270.00	...	-270.00	Total of 3 transactions
TQQQ 04/09/2021 CALL \$100.00 / CUSIP: / Symbol:							
04/05/21	1.000	282.98	04/01/21	101.00	...	181.98	Option sale to close-call ²⁵
TQQQ 05/14/2021 CALL \$100.00 / CUSIP: / Symbol:							
05/14/21	1.000	0.00	05/11/21	90.00	...	-90.00	Option expiration- long call
UPST 12/17/2021 CALL \$250.00 / CUSIP: / Symbol:							
12/17/21	1.000	0.00	12/08/21	125.00	...	-125.00	Option expiration- long call
V 05/07/2021 CALL \$235.00 / CUSIP: / Symbol:							
04/28/21	1.000	246.98	04/27/21	181.00	...	65.98	Option sale to close-call ²⁵
VIVO 04/16/2021 CALL \$25.00 / CUSIP: / Symbol:							
04/01/21	1.000	409.98	03/15/21	220.00	...	189.98	Option sale to close-call ²⁵
VLO 05/14/2021 CALL \$72.50 / CUSIP: / Symbol:							
04/27/21	1.000	171.98	04/22/21	135.00	...	36.98	Option sale to close-call ²⁵
VTNR 06/18/2021 CALL \$15.00 / CUSIP: / Symbol:							
06/01/21	1.000	111.98	06/01/21	160.00	...	-48.02	Option sale to close-call ²⁵
WISH 11/12/2021 CALL \$6.00 / CUSIP: / Symbol:							
2 transactions for 11/10/21. Total proceeds and cost reported to the IRS.							
	1.000	39.99	11/09/21	32.00	...	7.99	1 of 2 - Option sale to close-call ²⁵
	2.000	79.99	11/09/21	64.00	...	15.99	2 of 2 - Option sale to close-call ²⁵
11/10/21	3.000	119.98	Various	96.00	...	23.98	Total of 2 transactions
X 11/19/2021 CALL \$30.00 / CUSIP: / Symbol:							
11/19/21	2.000	0.00	11/08/21	64.00	...	-64.00	Option expiration- long call

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XM 05/21/2021 CALL \$40.00 / CUSIP: / Symbol:							
04/26/21	1.000	379.98	04/22/21	240.00	...	139.98	Option sale to close-call ²⁵
XOM 03/05/2021 CALL \$58.00 / CUSIP: / Symbol:							
03/03/21	1.000	55.98	03/01/21	91.00	35.02 W	0.00	Option sale to close-call ²⁵
03/04/21	1.000	79.98	03/01/21	93.02	...	-13.04	Option sale to close-call ²⁵
	Security total:	135.96		184.02	35.02 W	-13.04	
AG MORTGAGE INVESTMENT TRUST, INC. / CUSIP: 001228105 / Symbol:							
2 transactions for 02/02/21. Total proceeds and cost reported to the IRS.							
	50.000	171.00	02/01/21	173.95	...	-2.95	1 of 2 - Sale ²⁵
	50.000	171.00	02/01/21	173.94	...	-2.94	2 of 2 - Sale ²⁵
02/02/21	100.000	342.00	Various	347.89	...	-5.89	Total of 2 transactions
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
2 transactions for 02/23/21. Total proceeds and cost reported to the IRS.							
	1.000	6.72	02/10/21	5.90	...	0.82	1 of 2 - Sale ²⁵
	100.000	671.97	02/10/21	612.88	...	59.09	2 of 2 - Sale ²⁵
02/23/21	101.000	678.69	Various	618.78	...	59.91	Total of 2 transactions
ABRAXAS PETE CORP COM NEW / CUSIP: 003830304 / Symbol:							
02/22/21	59.000	279.65	01/28/21	163.91	...	115.74	Sale ²⁵
02/23/21	60.000	239.99	01/28/21	166.68	...	73.31	Sale ²⁵
	Security total:	519.64		330.59	...	189.05	
AETERNA ZENTARIS INC. COMMON S TOCK / CUSIP: 007975402 / Symbol:							
3 transactions for 02/08/21. Total proceeds and cost reported to the IRS.							
	0.047	0.11	01/27/21	0.04	...	0.07	1 of 3 - Sale ²⁵
	21.505	49.89	01/27/21	17.80	...	32.09	2 of 3 - Sale ²⁵
	65.646	149.99	01/27/21	54.35	...	95.64	3 of 3 - Sale ²⁵
02/08/21	87.198	199.99	Various	72.19	...	127.80	Total of 3 transactions
2 transactions for 02/12/21. Total proceeds and cost reported to the IRS.							
	141.802	259.48	01/27/21	117.40	...	142.08	1 of 2 - Sale ²⁵
	29.000	53.07	01/28/21	20.42	...	32.65	2 of 2 - Sale ²⁵
02/12/21	170.802	312.55	Various	137.82	...	174.73	Total of 2 transactions

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Proceeds from Broker and Barter Exchange Transactions

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AETERNA ZENTARIS INC. COMMON S TOCK / CUSIP: 007975402 / Symbol: (cont'd)							
Security total:		512.54		210.01	...	302.53	
AIRGAIN, INC. COMMON STOCK / CUSIP: 00938A104 / Symbol:							
02/11/21	20.000	527.89	02/09/21	524.76	...	3.13	Sale ²⁵
AKERNA CORP. COMMON STOCK / CUSIP: 00973W102 / Symbol:							
<i>3 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	11.000	68.86	02/23/21	90.50	...	-21.64	1 of 3 - Sale ²⁵
	0.630	3.94	02/23/21	5.18	...	-1.24	2 of 3 - Sale ²⁵
	88.370	553.62	02/23/21	520.71	...	32.91	3 of 3 - Sale ²⁵
02/23/21	100.000	626.42	Various	616.39	...	10.03	Total of 3 transactions
<i>2 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	0.630	3.94	02/08/21	5.41	1.47 W	0.00	1 of 2 - Sale ²⁵
	11.000	68.91	02/08/21	94.59	25.68 W	0.00	2 of 2 - Sale ²⁵
02/23/21	11.630	72.85	Various	100.00	27.15 W	0.00	Total of 2 transactions
Security total:		699.27		716.39	27.15 W	10.03	
THE ALKALINE WATER COMPANY INC . COMMON STOCK / CUSIP: 01643A207 / Symbol:							
06/09/21	138.000	207.67	02/09/21	215.22	...	-7.55	Sale ²⁵
<i>2 transactions for 06/17/21. Total proceeds and cost reported to the IRS.</i>							
	12.000	18.15	02/09/21	18.71	...	-0.56	1 of 2 - Sale ²⁵
	88.000	133.14	02/10/21	123.92	...	9.22	2 of 2 - Sale ²⁵
06/17/21	100.000	151.29	Various	142.63	...	8.66	Total of 2 transactions
Security total:		358.96		357.85	...	1.11	
AMPLITECH GROUP, INC. COMMON S TOCK / CUSIP: 03211Q200 / Symbol:							
02/23/21	2.000	16.28	02/17/21	13.58	...	2.70	Sale ²⁵
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
02/02/21	1.740	234.82	01/29/21	235.00	...	-0.18	Sale ²⁵

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ATOSSA THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 04962H506 / Symbol:							
3 transactions for 02/23/21. Total proceeds and cost reported to the IRS.							
	0.694	1.73	01/29/21	1.45	...	0.28	1 of 3 - Sale ²⁵
	19.000	47.31	01/29/21	39.71	...	7.60	2 of 3 - Sale ²⁵
	76.000	189.23	01/29/21	158.84	...	30.39	3 of 3 - Sale ²⁵
02/23/21	95.694	238.27	Various	200.00	...	38.27	Total of 3 transactions
CAI INTERNATIONAL, INC. / CUSIP: 12477X106 / Symbol:							
03/09/21	10.000	438.13	03/02/21	438.70	...	-0.57	Sale ²⁵
CELSIUS HOLDINGS, INC. COMMON STOCK / CUSIP: 15118V207 / Symbol:							
2 transactions for 03/03/21. Total proceeds and cost reported to the IRS.							
	1.000	60.38	02/22/21	62.70	...	-2.32	1 of 2 - Sale ²⁵
	1.500	90.57	02/24/21	82.02	...	8.55	2 of 2 - Sale ²⁵
03/03/21	2.500	150.95	Various	144.72	...	6.23	Total of 2 transactions
CENTERPOINT ENERGY, INC. / CUSIP: 15189T107 / Symbol:							
04/01/21	8.000	180.76	03/12/21	175.00	...	5.76	Sale ²⁵
CHURCHILL CAPITAL CORP IV / CUSIP: 171439102 / Symbol:							
4 transactions for 01/26/21. Total proceeds and cost reported to the IRS.							
	0.065	1.51	01/22/21	1.32	...	0.19	1 of 4 - Sale ²⁵
	0.171	3.95	01/22/21	3.48	...	0.47	2 of 4 - Sale ²⁵
	0.194	4.47	01/22/21	3.93	...	0.54	3 of 4 - Sale ²⁵
	9.806	226.28	01/22/21	199.27	...	27.01	4 of 4 - Sale ²⁵
01/26/21	10.237	236.21	Various	208.00	...	28.21	Total of 4 transactions
COINBASE GLOBAL, INC. CLASS A COMMON STOCK / CUSIP: 19260Q107 / Symbol:							
4 transactions for 11/04/21. Total proceeds and cost reported to the IRS.							
	0.464	157.28	04/14/21	194.98	...	-37.70	1 of 4 - Sale ²⁵
	0.456	154.32	04/14/21	191.38	...	-37.06	2 of 4 - Sale ²⁵
	0.844	285.89	04/14/21	270.00	...	15.89	3 of 4 - Sale ²⁵
	0.700	237.04	05/10/21	189.38	...	47.66	4 of 4 - Sale ²⁵
11/04/21	2.464	834.53	Various	845.74	...	-11.21	Total of 4 transactions

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CRYOPORT, INC. COMMON STOCK / CUSIP: 229050307 / Symbol:							
3 transactions for 02/08/21. Total proceeds and cost reported to the IRS.							
	0.003	0.18	01/26/21	0.17	...	0.01	1 of 3 - Sale ²⁵
	0.462	33.21	01/26/21	32.00	...	1.21	2 of 3 - Sale ²⁵
	2.997	215.07	01/26/21	207.83	...	7.24	3 of 3 - Sale ²⁵
02/08/21	3.462	248.46	Various	240.00	...	8.46	Total of 3 transactions
EXPRESS, INC. / CUSIP: 30219E103 / Symbol:							
06/02/21	80.000	453.19	06/02/21	462.00	1.10 W	-7.71	Sale ²⁵
06/30/21	10.000	65.65	06/03/21	56.75	...	8.90	Sale ²⁵
	Security total:	518.84		518.75	1.10 W	1.19	
FINVOLUTION GROUP AMERICAN DEP OSITARY SHARES, EACH REPRESENT ING FIVE CLASS A ORDINARY SHAR / CUSIP: 31810T101 / Symbol:							
4 transactions for 02/12/21. Total proceeds and cost reported to the IRS.							
	0.072	0.41	02/01/21	0.28	...	0.13	1 of 4 - Sale ²⁵
	0.106	0.62	02/01/21	0.41	...	0.21	2 of 4 - Sale ²⁵
	0.192	1.13	02/01/21	0.75	...	0.38	3 of 4 - Sale ²⁵
	84.808	497.82	02/01/21	330.73	...	167.09	4 of 4 - Sale ²⁵
02/12/21	85.178	499.98	Various	332.17	...	167.81	Total of 4 transactions
2 transactions for 02/22/21. Total proceeds and cost reported to the IRS.							
	0.038	0.26	02/01/21	0.15	...	0.11	1 of 2 - Sale ²⁵
	43.000	298.52	02/01/21	167.68	...	130.84	2 of 2 - Sale ²⁵
02/22/21	43.038	298.78	Various	167.83	...	130.95	Total of 2 transactions
	Security total:	798.76		500.00	...	298.76	
FORD MOTOR COMPANY / CUSIP: 345370860 / Symbol:							
10/07/21	20.000	297.80	07/29/21	293.56	...	4.24	Sale ²⁵
FUBOTV INC. / CUSIP: 35953D104 / Symbol:							
01/21/21	0.237	8.10	01/21/21	8.00	...	0.10	Sale ²⁵
3 transactions for 02/08/21. Total proceeds and cost reported to the IRS.							
	0.006	0.30	01/29/21	0.28	...	0.02	1 of 3 - Sale ²⁵
	0.538	25.07	01/29/21	23.68	...	1.39	2 of 3 - Sale ²⁵
	3.994	185.94	01/29/21	176.04	...	9.90	3 of 3 - Sale ²⁵
02/08/21	4.538	211.31	Various	200.00	...	11.31	Total of 3 transactions

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FUBOTV INC. / CUSIP: 35953D104 / Symbol: (cont'd)							
2 transactions for 06/04/21. Total proceeds and cost reported to the IRS.							
	4.000	109.32	03/03/21	147.56	...	-38.24	1 of 2 - Sale ²⁵
	7.000	191.31	04/05/21	150.71	...	40.60	2 of 2 - Sale ²⁵
06/04/21	11.000	300.63	Various	298.27	...	2.36	Total of 2 transactions
11/05/21	3.000	99.33	04/05/21	64.59	...	34.74	Sale ²⁵
	Security total:	619.37		570.86	...	48.51	
GTT COMMUNICATIONS, INC. COMMO N STOCK / CUSIP: 362393100 / Symbol:							
06/03/21	122.000	491.92	06/02/21	298.90	...	193.02	Sale ²⁵
GAMESTOP CORP. CLASS A / CUSIP: 36467W109 / Symbol:							
3 transactions for 02/11/21. Total proceeds and cost reported to the IRS.							
	2.100	104.03	02/11/21	135.45	...	-31.42	1 of 3 - Sale ²⁵
	1.677	83.07	02/11/21	94.64	...	-11.57	2 of 3 - Sale ²⁵
	0.100	4.95	02/11/21	5.64	...	-0.69	3 of 3 - Sale ²⁵
02/11/21	3.877	192.05	Various	235.73	...	-43.68	Total of 3 transactions
7 transactions for 02/11/21. Total proceeds and cost reported to the IRS.							
	0.230	11.29	02/08/21	13.60	2.31 W	0.00	1 of 7 - Sale ²⁵
	3.993	195.95	02/08/21	236.40	40.45 W	0.00	2 of 7 - Sale ²⁵
	0.093	4.62	02/09/21	5.71	1.09 W	0.00	3 of 7 - Sale ²⁵
	0.100	4.91	02/09/21	5.11	0.20 W	0.00	4 of 7 - Sale ²⁵
	0.230	11.40	02/09/21	14.08	2.68 W	0.00	5 of 7 - Sale ²⁵
	1.800	89.17	02/09/21	105.97	16.80 W	0.00	6 of 7 - Sale ²⁵
	5.677	278.55	02/09/21	290.32	11.77 W	0.00	7 of 7 - Sale ²⁵
02/11/21	12.123	595.89	Various	671.19	75.30 W	0.00	Total of 7 transactions
3 transactions for 02/12/21. Total proceeds and cost reported to the IRS.							
	1.677	91.34	02/11/21	106.80	...	-15.46	1 of 3 - Sale ²⁵
	0.230	12.54	02/11/21	15.19	...	-2.65	2 of 3 - Sale ²⁵
	0.093	5.08	02/11/21	6.16	...	-1.08	3 of 3 - Sale ²⁵
02/12/21	2.000	108.96	Various	128.15	...	-19.19	Total of 3 transactions

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Robinhood Securities LLC

Account 750366544

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)							
<i>2 transactions for 02/25/21. Total proceeds and cost reported to the IRS.</i>							
	0.123	13.42	02/11/21	7.86	...	5.56	1 of 2 - Sale ²⁵
	3.877	421.66	02/11/21	218.81	...	202.85	2 of 2 - Sale ²⁵
02/25/21	4.000	435.08	Various	226.67	...	208.41	Total of 2 transactions
<i>2 transactions for 05/12/21. Total proceeds and cost reported to the IRS.</i>							
	0.123	17.81	02/11/21	6.96	...	10.85	1 of 2 - Sale ²⁵
	4.000	577.31	02/11/21	217.48	...	359.83	2 of 2 - Sale ²⁵
05/12/21	4.123	595.12	Various	224.44	...	370.68	Total of 2 transactions
	Security total:	1,927.10		1,486.18	75.30 W	516.22	
GOLD STANDARD VENTURES CORP. / CUSIP: 380738104 / Symbol:							
<i>5 transactions for 04/19/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	54.99	04/14/21	54.53	...	0.46	1 of 5 - Sale ²⁵
	100.000	54.99	04/14/21	54.53	...	0.46	2 of 5 - Sale ²⁵
	100.000	55.00	04/14/21	54.53	...	0.47	3 of 5 - Sale ²⁵
	100.000	55.00	04/14/21	54.53	...	0.47	4 of 5 - Sale ²⁵
	200.000	109.99	04/14/21	109.06	...	0.93	5 of 5 - Sale ²⁵
04/19/21	600.000	329.97	Various	327.18	...	2.79	Total of 5 transactions
IT TECH PACKAGING, INC. / CUSIP: 46527C100 / Symbol:							
02/12/21	32.000	34.88	02/09/21	34.08	...	0.80	Sale ²⁵
LUCID GROUP, INC. COMMON STOCK / CUSIP: 549498103 / Symbol:							
10/07/21	12.000	292.86	08/25/21	266.64	...	26.22	Sale ²⁵
MEREIO BIOPHARMA GROUP PLC AMER ICAN DEPOSITARY SHARES / CUSIP: 589492107 / Symbol:							
<i>4 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	15.000	57.00	02/16/21	53.46	...	3.54	1 of 4 - Sale ²⁵
	30.000	114.30	02/16/21	106.93	...	7.37	2 of 4 - Sale ²⁵
	100.000	380.99	02/16/21	356.42	...	24.57	3 of 4 - Sale ²⁵
	100.000	380.99	02/16/21	356.42	...	24.57	4 of 4 - Sale ²⁵
02/23/21	245.000	933.28	Various	873.23	...	60.05	Total of 4 transactions

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Account 750366544

Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

02/11/2022

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MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
11/09/21	9.000	82.53	11/05/21	82.26	...	0.27	Sale ²⁵
MOTUS GI HOLDINGS, INC. COMMON STOCK / CUSIP: 62014P108 / Symbol:							
<i>3 transactions for 02/09/21. Total proceeds and cost reported to the IRS.</i>							
	0.534	0.87	01/27/21	0.83	...	0.04	1 of 3 - Sale ²⁵
	40.878	66.67	01/27/21	64.17	...	2.50	2 of 3 - Sale ²⁵
	48.527	79.15	02/05/21	73.76	...	5.39	3 of 3 - Sale ²⁵
02/09/21	89.938	146.69	Various	138.76	...	7.93	Total of 3 transactions
02/09/21	110.062	179.51	01/26/21	197.00	17.49 W	0.00	Sale ²⁵
<i>4 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	0.547	0.98	02/05/21	0.92	...	0.06	1 of 4 - Sale ²⁵
	3.589	6.44	02/05/21	5.95	...	0.49	2 of 4 - Sale ²⁵
	105.927	190.10	02/05/21	177.84	...	12.26	3 of 4 - Sale ²⁵
	96.485	173.15	02/05/21	144.62	...	28.53	4 of 4 - Sale ²⁵
02/23/21	206.547	370.67	Various	329.33	...	41.34	Total of 4 transactions
	Security total:	696.87		665.09	17.49 W	49.27	
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
<i>3 transactions for 01/14/21. Total proceeds and cost reported to the IRS.</i>							
	0.103	6.26	01/06/21	5.52	...	0.74	1 of 3 - Sale ²⁵
	0.362	22.08	01/06/21	19.48	...	2.60	2 of 3 - Sale ²⁵
	3.999	243.64	01/06/21	215.00	...	28.64	3 of 3 - Sale ²⁵
01/14/21	4.464	271.98	Various	240.00	...	31.98	Total of 3 transactions
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
02/09/21	71.000	909.48	02/02/21	243.53	...	665.95	Sale ²⁵
<i>6 transactions for 02/10/21. Total proceeds and cost reported to the IRS.</i>							
	7.000	70.49	02/02/21	24.01	...	46.48	1 of 6 - Sale ²⁵
	11.000	110.77	02/02/21	31.57	...	79.20	2 of 6 - Sale ²⁵
	32.000	322.23	02/02/21	90.56	...	231.67	3 of 6 - Sale ²⁵
	48.000	455.98	02/02/21	135.84	...	320.14	4 of 6 - Sale ²⁵
	18.000	170.99	02/03/21	47.70	...	123.29	5 of 6 - Sale ²⁵
	34.000	322.99	02/03/21	92.99	...	230.00	6 of 6 - Sale ²⁵
02/10/21	150.000	1,453.45	Various	422.67	...	1,030.78	Total of 6 transactions

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Account 750366544

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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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol: (cont'd)							
4 transactions for 02/16/21. Total proceeds and cost reported to the IRS.							
	1.000	11.58	02/11/21	11.94	0.36 W	0.00	1 of 4 - Sale ²⁵
	16.000	185.21	02/11/21	189.20	3.99 W	0.00	2 of 4 - Sale ²⁵
	24.000	277.81	02/11/21	290.42	12.61 W	0.00	3 of 4 - Sale ²⁵
	39.000	451.46	02/11/21	469.37	17.91 W	0.00	4 of 4 - Sale ²⁵
02/16/21	80.000	926.06	Various	960.93	34.87 W	0.00	Total of 4 transactions
7 transactions for 02/26/21. Total proceeds and cost reported to the IRS.							
	27.000	261.09	02/11/21	331.68	70.59 W	0.00	1 of 7 - Sale ²⁵
	0.300	2.90	02/12/21	3.17	0.27 W	0.00	2 of 7 - Sale ²⁵
	0.119	1.15	02/12/21	1.25	0.10 W	0.00	3 of 7 - Sale ²⁵
	1.000	9.45	02/12/21	10.37	0.92 W	0.00	4 of 7 - Sale ²⁵
	1.000	9.67	02/12/21	10.48	0.81 W	0.00	5 of 7 - Sale ²⁵
	11.582	111.99	02/12/21	122.53	10.54 W	0.00	6 of 7 - Sale ²⁵
	24.000	226.83	02/12/21	255.49	28.66 W	0.00	7 of 7 - Sale ²⁵
02/26/21	65.000	623.08	Various	734.97	111.89 W	0.00	Total of 7 transactions
14 transactions for 03/01/21. Total proceeds and cost reported to the IRS.							
	0.119	1.16	02/23/21	1.04	...	0.12	1 of 14 - Sale ²⁵
	0.300	2.94	02/23/21	2.64	...	0.30	2 of 14 - Sale ²⁵
	1.000	9.81	02/23/21	8.84	...	0.97	3 of 14 - Sale ²⁵
	1.000	9.81	02/23/21	8.73	...	1.08	4 of 14 - Sale ²⁵
	4.582	44.95	02/23/21	37.43	...	7.52	5 of 14 - Sale ²⁵
	11.582	113.62	02/23/21	102.27	...	11.35	6 of 14 - Sale ²⁵
	10.418	101.52	02/23/21	88.34	...	13.18	7 of 14 - Sale ²⁵
	24.000	235.44	02/23/21	218.74	...	16.70	8 of 14 - Sale ²⁵
	20.000	196.19	02/23/21	158.40	...	37.79	9 of 14 - Sale ²⁵
	50.000	487.24	02/23/21	396.00	...	91.24	10 of 14 - Sale ²⁵
	0.500	4.87	02/25/21	4.52	...	0.35	11 of 14 - Sale ²⁵
	15.000	146.17	02/25/21	135.45	...	10.72	12 of 14 - Sale ²⁵
	11.500	112.07	02/25/21	98.89	...	13.18	13 of 14 - Sale ²⁵
	12.582	122.61	02/25/21	99.08	...	23.53	14 of 14 - Sale ²⁵
03/01/21	162.582	1,588.40	Various	1,360.37	...	228.03	Total of 14 transactions

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

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OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol: (cont'd)							
2 transactions for 03/01/21. Total proceeds and cost reported to the IRS.							
	10.418	102.20	02/12/21	108.03		0.00	1 of 2 - Sale ²⁵
	27.000	264.87	02/23/21	284.43	5.83 W	0.00	2 of 2 - Sale ²⁵
03/01/21	37.418	367.07	Various	392.46	19.56 W	0.00	Total of 2 transactions
					25.39 W		
8 transactions for 10/26/21. Total proceeds and cost reported to the IRS.							
	0.009	0.08	02/25/21	0.07	...	0.01	1 of 8 - Sale ²⁵
	60.909	509.80	02/25/21	479.67	...	30.13	2 of 8 - Sale ²⁵
	40.000	334.79	02/26/21	321.51	...	13.28	3 of 8 - Sale ²⁵
	10.591	88.65	03/29/21	72.44	...	16.21	4 of 8 - Sale ²⁵
	27.409	229.41	03/29/21	187.48	...	41.93	5 of 8 - Sale ²⁵
	0.593	4.96	04/16/21	3.43	...	1.53	6 of 8 - Sale ²⁵
	1.998	16.73	04/16/21	11.57	...	5.16	7 of 8 - Sale ²⁵
	70.000	585.88	04/20/21	380.45	...	205.43	8 of 8 - Sale ²⁵
10/26/21	211.509	1,770.30	Various	1,456.62	...	313.68	Total of 8 transactions
2 transactions for 10/26/21. Total proceeds and cost reported to the IRS.							
	0.500	4.18	03/04/21	4.70	0.52 W	0.00	1 of 2 - Sale ²⁵
	8.000	66.96	03/04/21	75.19	8.23 W	0.00	2 of 2 - Sale ²⁵
10/26/21	8.500	71.14	Various	79.89	8.75 W	0.00	Total of 2 transactions
	Security total:	7,708.98		5,651.44	180.90 W	2,238.44	
ONTRAK, INC. COMMON STOCK / CUSIP: 683373104 / Symbol:							
03/10/21	9.000	274.41	03/01/21	268.11	...	6.30	Sale ²⁵
OVERSTOCK.COM, INC. COMMON STOCK / CUSIP: 690370101 / Symbol:							
4 transactions for 01/21/21. Total proceeds and cost reported to the IRS.							
	3.434	219.77	01/14/21	224.82	...	-5.05	1 of 4 - Sale ²⁵
	0.124	7.94	01/15/21	7.73	...	0.21	2 of 4 - Sale ²⁵
	0.442	28.28	01/15/21	27.54	...	0.74	3 of 4 - Sale ²⁵
	6.000	383.99	01/15/21	365.52	...	18.47	4 of 4 - Sale ²⁵
01/21/21	10.000	639.98	Various	625.61	...	14.37	Total of 4 transactions

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Proceeds from Broker and Barter Exchange Transactions

2021 1099-B* OMB No. 1545-0715

(continued)

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OVERSTOCK.COM, INC. COMMON STO CK / CUSIP: 690370101 / Symbol: (cont'd)							
<i>2 transactions for 01/21/21. Total proceeds and cost reported to the IRS.</i>							
	0.566	36.26	01/14/21	37.06	0.62 W	-0.18	1 of 2 - Sale ²⁵
	0.124	7.95	01/14/21	8.12	0.17 W	0.00	2 of 2 - Sale ²⁵
01/21/21	0.690	44.21	Various	45.18	0.79 W	-0.18	Total of 2 transactions
	Security total:	684.19		670.79	0.79 W	14.19	
OWENS & MINOR, INC. / CUSIP: 690732102 / Symbol:							
03/11/21	10.000	362.80	03/01/21	345.10	...	17.70	Sale ²⁵
PALATIN TECHNOLOGIES, INC. / CUSIP: 696077403 / Symbol:							
<i>2 transactions for 02/16/21. Total proceeds and cost reported to the IRS.</i>							
	13.000	14.56	02/04/21	13.07	...	1.49	1 of 2 - Sale ²⁵
	150.000	168.00	02/10/21	163.50	...	4.50	2 of 2 - Sale ²⁵
02/16/21	163.000	182.56	Various	176.57	...	5.99	Total of 2 transactions
QUANTUMSCAPE CORPORATION / CUSIP: 74767V109 / Symbol:							
<i>5 transactions for 02/05/21. Total proceeds and cost reported to the IRS.</i>							
	0.001	0.04	01/21/21	0.04	...	0.00	1 of 5 - Sale ²⁵
	3.446	160.62	01/22/21	174.85	...	-14.23	2 of 5 - Sale ²⁵
	0.496	23.10	01/22/21	25.46	...	-2.36	3 of 5 - Sale ²⁵
	0.137	6.44	02/01/21	5.93	...	0.51	4 of 5 - Sale ²⁵
	4.863	226.68	02/01/21	205.46	...	21.22	5 of 5 - Sale ²⁵
02/05/21	8.943	416.88	Various	411.74	...	5.14	Total of 5 transactions
<i>2 transactions for 02/05/21. Total proceeds and cost reported to the IRS.</i>							
	0.195	9.09	01/21/21	9.31	0.15 W	-0.07	1 of 2 - Sale ²⁵
	0.496	23.34	01/21/21	23.65	0.31 W	0.00	2 of 2 - Sale ²⁵
02/05/21	0.691	32.43	Various	32.96	0.46 W	-0.07	Total of 2 transactions
	Security total:	449.31		444.70	0.46 W	5.07	
REVLON, INC. / CUSIP: 761525609 / Symbol:							
<i>3 transactions for 02/03/21. Total proceeds and cost reported to the IRS.</i>							
	7.604	85.65	01/28/21	91.40	...	-5.75	1 of 3 - Sale ²⁵
	0.323	3.64	01/28/21	4.08	...	-0.44	2 of 3 - Sale ²⁵

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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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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
REVLON, INC. / CUSIP: 761525609 / Symbol: (cont'd)							
	0.073	0.82	01/28/21	0.87	...	-0.05	3 of 3 - Sale ²⁵
02/03/21	8.000	90.11	Various	96.35	...	-6.24	Total of 3 transactions
02/03/21	0.323	3.65	01/28/21	3.85	0.20 W	0.00	Sale ²⁵
	Security total:	93.76		100.20	0.20 W	-6.24	
ROBLOX CORPORATION / CUSIP: 771049103 / Symbol:							
03/26/21	4.000	273.64	03/10/21	270.96	...	2.68	Sale ²⁵
SERES THERAPEUTICS, INC. COMMON STOCK / CUSIP: 81750R102 / Symbol:							
03/17/21	10.000	207.60	03/01/21	200.10	...	7.50	Sale ²⁵
SUPERIOR INDUSTRIES INTERNATIONAL, INC. / CUSIP: 868168105 / Symbol:							
06/02/21	1.000	7.78	02/12/21	6.97	...	0.81	Sale ²⁵
TILRAY BRANDS, INC. CLASS 2 COMMON STOCK / CUSIP: 88688T100 / Symbol:							
02/09/21	11.000	389.95	01/06/21	121.11	...	268.84	Sale ²⁵
02/23/21	25.331	579.04	01/06/21	278.89	...	300.15	Sale ²⁵
	Security total:	968.99		400.00	...	568.99	
TRILLIUM THERAPEUTICS INC. COMMON SHARES / CUSIP: 89620X506 / Symbol:							
11/09/21	1.000	17.82	02/09/21	14.68	...	3.14	Sale ²⁵
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
2 transactions for 02/09/21. Total proceeds and cost reported to the IRS.							
	0.434	16.88	02/01/21	15.44	...	1.44	1 of 2 - Sale ²⁵
	8.000	311.05	02/01/21	284.56	...	26.49	2 of 2 - Sale ²⁵
02/09/21	8.434	327.93	Various	300.00	...	27.93	Total of 2 transactions
URBAN ONE, INC. CLASS A COMMON STOCK / CUSIP: 91705J105 / Symbol:							
3 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	0.077	0.57	01/07/21	0.51	...	0.06	1 of 3 - Sale ²⁵
	0.496	3.65	01/07/21	3.27	...	0.38	2 of 3 - Sale ²⁵
	7.000	51.46	01/07/21	46.18	...	5.28	3 of 3 - Sale ²⁵
01/27/21	7.574	55.68	Various	49.96	...	5.72	Total of 3 transactions

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

Robinhood Securities LLC

Account 750366544

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
UWM HOLDINGS CORPORATION / CUSIP: 91823B109 / Symbol:							
06/08/21	3.000	27.39	03/02/21	27.83	...	-0.44	Sale ²⁵
VISA INC. / CUSIP: 92826C839 / Symbol:							
02/23/21	1.000	210.85	02/22/21	210.10	...	0.75	Sale ²⁵
WASHINGTON FEDERAL, INC. COMMO N STOCK / CUSIP: 938824109 / Symbol:							
02/04/21	11.000	305.77	02/02/21	305.42	...	0.35	Sale ²⁵
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
02/26/21	44.000	701.79	02/23/21	638.57	...	63.22	Sale ²⁵
ZOSANO PHARMA CORPORATION COMM ON STOCK / CUSIP: 98979H202 / Symbol:							
06/14/21	250.000	259.97	06/11/21	234.13	...	25.84	Sale ²⁵
BLUE HAT INTERACTIVE ENTERTAIN MENT TECHNOLOGY ORDINARY SHARE S / CUSIP: G1329V106 / Symbol:							
02/23/21	225.000	315.22	02/04/21	298.13	...	17.09	Sale ²⁵
CASTOR MARITIME INC. COMMON SH ARES / CUSIP: Y1146L109 / Symbol:							
02/04/21	3.000	2.01	01/28/21	1.89	...	0.12	Sale ²⁵
Totals :		37,742.01		35,271.43	356.43 W	2,827.01	

* 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 750366544

Detail for Dividends and Distributions

2021

02/11/2022

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

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
UWM HOLDINGS CORPORATION	91823B109		04/06/21	0.20	Qualified dividend	
WASHINGTON FEDERAL, INC. COMMON STOCK	938824109		02/19/21	2.53	Qualified dividend	
				2.73	Total Dividends & distributions	

Robinhood Securities LLC

Account 750366544

Detail for Miscellaneous Information

2021

02/11/2022

<u>Security description</u>	<u>CUSIP and/or symbol</u>	<u>Date</u>	<u>Amount</u>	<u>Transaction type</u>	<u>Notes</u>
UWM HOLDINGS CORPORATION	91823B109	04/06/21	0.10	Substitute payment	
			0.10	Total Miscellaneous income	

Robinhood Securities LLC

Account 750366544

Fees and Expenses

2021

02/11/2022

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		06/28/21	-0.56	Margin interest paid	
		06/28/21	-5.00	Margin interest paid	
		07/26/21	-3.42	Margin interest paid	
		07/26/21	-5.00	Margin interest paid	
			-13.98	Total Margin interest paid	
Margin charge		08/25/21	-4.06	Margin interest paid	
		08/25/21	-5.00	Margin interest paid	
		09/24/21	-4.68	Margin interest paid	
		09/24/21	-5.00	Margin interest paid	
		10/25/21	-4.48	Margin interest paid	
		10/25/21	-5.00	Margin interest paid	
		11/23/21	-3.37	Margin interest paid	
		11/23/21	-5.00	Margin interest paid	
		12/23/21	-1.64	Margin interest paid	
		12/23/21	-5.00	Margin interest paid	
			-43.23	Total Margin interest paid	
			-57.21	Total Margin interest paid	

Robinhood Securities LLC

Account 750366544

Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
AULT GLOBAL HOLDINGS, INC.	05150X104	12/13/21	-100.00	0.00	Exchange	
BITNILE HOLDINGS, INC.	09175M101	12/13/21	100.00	0.00	Exchange	

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

Instructions for Recipient

Common Instructions for Recipient

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

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

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

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

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

Keep tax documents for your records.

1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1099-MISC Instructions for Recipient

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

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

Line 4. See "Backup Withholding" section.

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

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

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

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

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