

<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 860907880</b>	Statement Date: 02/11/2022 Document ID: 3G40 U7T Y2H4	2021
	Ashok reddy Rikkala 9217 Treyburn Dr 9217 Charlotte, NC 28216  RECIPIENT'S TIN: XXX-XX-3704		

**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)	12,379.61	11,856.62	0.00	118.68	641.67
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)	1.64	4.67	0.00	0.00	-3.03
	<b>Total Short-term</b>	<b>12,381.25</b>	<b>11,861.29</b>	<b>0.00</b>	<b>118.68</b>	<b>638.64</b>
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>12,381.25</b>	<b>11,861.29</b>	<b>0.00</b>	<b>118.68</b>	<b>638.64</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

Account 860907880

**Summary Information**

2021

(continued)

02/11/2022

**INTEREST INCOME**

2021 1099-INT

OMB No. 1545-0112

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

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

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	5.00
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
AGENUS INC. COMMON STOCK / CUSIP: 00847G705 / Symbol:							
05/14/21	1.000	3.03	03/26/21	2.82	...	0.21	Sale <sup>25</sup>
AGEAGLE AERIAL SYSTEMS, INC. / CUSIP: 00848K101 / Symbol:							
01/14/21	1.000	10.80	12/08/20	2.57	...	8.23	Sale <sup>25</sup>
	2 transactions for 01/15/21. Total proceeds and cost reported to the IRS.						
	9.000	88.11	12/08/20	23.12	...	64.99	1 of 2 - Sale <sup>25</sup>
	1.000	9.79	12/09/20	2.74	...	7.05	2 of 2 - Sale <sup>25</sup>
01/15/21	10.000	97.90	Various	25.86	...	72.04	Total of 2 transactions
01/22/21	10.000	131.60	12/09/20	27.38	...	104.22	Sale <sup>25</sup>
02/17/21	15.000	213.16	12/09/20	41.07	...	172.09	Sale <sup>25</sup>
	4 transactions for 03/02/21. Total proceeds and cost reported to the IRS.						
	2.000	15.88	12/09/20	5.48	...	10.40	1 of 4 - Sale <sup>25</sup>
	1.000	7.95	12/18/20	3.60	...	4.35	2 of 4 - 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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
AGEAGLE AERIAL SYSTEMS, INC. / CUSIP: 00848K101 / Symbol: (cont'd)							
	7.000	55.65	12/18/20	25.27	...	30.38	3 of 4 - Sale <sup>25</sup>
	8.000	63.52	12/18/20	28.88	...	34.64	4 of 4 - Sale <sup>25</sup>
03/02/21	18.000	143.00	Various	63.23	...	79.77	Total of 4 transactions
	2 transactions for 03/03/21. Total proceeds and cost reported to the IRS.						
	1.000	7.45	12/18/20	3.60	...	3.85	1 of 2 - Sale <sup>25</sup>
	14.000	104.30	12/22/20	90.84	...	13.46	2 of 2 - Sale <sup>25</sup>
03/03/21	15.000	111.75	Various	94.44	...	17.31	Total of 2 transactions
03/04/21	1.000	6.36	12/22/20	6.49	0.13 W	0.00	Sale <sup>25</sup>
	2 transactions for 04/05/21. Total proceeds and cost reported to the IRS.						
	11.000	81.52	12/23/20	80.62	...	0.90	1 of 2 - Sale <sup>25</sup>
	1.000	7.42	01/22/21	13.16	...	-5.74	2 of 2 - Sale <sup>25</sup>
04/05/21	12.000	88.94	Various	93.78	...	-4.84	Total of 2 transactions
	<b>Security total:</b>	<b>803.51</b>		<b>354.82</b>	<b>0.13 W</b>	<b>448.82</b>	
ALIBABA GROUP HOLDING LIMITED AMERICAN DEPOSITARY SHARES, EA CH REPRESENTS EIGHT ORDINARY S / CUSIP: 01609W102 / Symbol:							
11/16/21	1.000	168.68	07/26/21	198.48	...	-29.80	Sale <sup>25</sup>
ALTIMMUNE, INC. COMMON STOCK / CUSIP: 02155H200 / Symbol:							
06/15/21	9.000	136.38	05/19/21	124.58	...	11.80	Sale <sup>25</sup>
09/21/21	1.000	14.92	05/19/21	13.84	...	1.08	Sale <sup>25</sup>
	<b>Security total:</b>	<b>151.30</b>		<b>138.42</b>	...	<b>12.88</b>	
BOMBARDIER INC. CLASS B SHARES (CANADA) / CUSIP: 097751200 / Symbol:							
03/03/21	75.000	35.08	02/11/21	38.40	3.32 W	0.00	Sale <sup>25</sup>
	4 transactions for 05/07/21. Total proceeds and cost reported to the IRS.						
	1.000	0.73	03/03/21	0.51	...	0.22	1 of 4 - Sale <sup>25</sup>
	74.000	54.24	03/17/21	46.62	...	7.62	2 of 4 - Sale <sup>25</sup>
	59.000	43.24	03/17/21	34.51	...	8.73	3 of 4 - Sale <sup>25</sup>
	86.000	63.03	03/17/21	50.37	...	12.66	4 of 4 - Sale <sup>25</sup>
05/07/21	220.000	161.24	Various	132.01	...	29.23	Total of 4 transactions
05/14/21	20.000	14.23	03/17/21	11.70	...	2.53	Sale <sup>25</sup>
06/03/21	10.000	8.50	03/17/21	5.85	...	2.65	Sale <sup>25</sup>
	<b>Security total:</b>	<b>219.05</b>		<b>187.96</b>	<b>3.32 W</b>	<b>34.41</b>	

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Robinhood Securities LLC

Account 860907880

## 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
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
01/08/21	1.000	48.74	12/09/20	70.50	...	-21.76	Sale <sup>25</sup>
02/22/21	1.000	70.77	02/22/21	71.40	0.63 W	0.00	Sale <sup>25</sup>
2 transactions for 04/16/21. Total proceeds and cost reported to the IRS.							
	0.500	31.86	03/17/21	39.91	...	-8.05	1 of 2 - Sale <sup>25</sup>
	0.500	31.86	03/17/21	39.44	...	-7.58	2 of 2 - Sale <sup>25</sup>
04/16/21	1.000	63.72	Various	79.35	...	-15.63	Total of 2 transactions
04/16/21	1.000	63.73	03/12/21	89.75	26.02 W	0.00	Sale <sup>25</sup>
05/17/21	1.000	83.20	03/19/21	98.77	...	-15.57	Sale <sup>25</sup>
<b>Security total:</b>		<b>330.16</b>		<b>409.77</b>	<b>26.65 W</b>	<b>-52.96</b>	
EHANG HOLDINGS LIMITED ADS / CUSIP: 26853E102 / Symbol:							
6 transactions for 01/11/21. Total proceeds and cost reported to the IRS.							
	5.000	132.76	12/02/20	66.49	...	66.27	1 of 6 - Sale <sup>25</sup>
	2.000	53.11	12/08/20	43.90	...	9.21	2 of 6 - Sale <sup>25</sup>
	1.000	26.17	12/10/20	19.29	...	6.88	3 of 6 - Sale <sup>25</sup>
	2.000	52.34	12/10/20	38.63	...	13.71	4 of 6 - Sale <sup>25</sup>
	3.000	79.66	12/10/20	60.03	...	19.63	5 of 6 - Sale <sup>25</sup>
	6.000	157.04	12/10/20	120.07	...	36.97	6 of 6 - Sale <sup>25</sup>
01/11/21	19.000	501.08	Various	348.41	...	152.67	Total of 6 transactions
2 transactions for 01/12/21. Total proceeds and cost reported to the IRS.							
	2.000	59.16	12/10/20	38.58	...	20.58	1 of 2 - Sale <sup>25</sup>
	5.000	141.90	12/10/20	96.45	...	45.45	2 of 2 - Sale <sup>25</sup>
01/12/21	7.000	201.06	Various	135.03	...	66.03	Total of 2 transactions
11 transactions for 01/13/21. Total proceeds and cost reported to the IRS.							
	2.000	76.83	12/10/20	38.60	...	38.23	1 of 11 - Sale <sup>25</sup>
	1.000	38.41	12/15/20	19.00	...	19.41	2 of 11 - Sale <sup>25</sup>
	1.000	38.42	12/15/20	19.00	...	19.42	3 of 11 - Sale <sup>25</sup>
	1.000	38.41	12/22/20	26.72	...	11.69	4 of 11 - Sale <sup>25</sup>
	1.000	38.14	12/22/20	26.10	...	12.04	5 of 11 - Sale <sup>25</sup>
	5.000	190.69	12/22/20	133.60	...	57.09	6 of 11 - Sale <sup>25</sup>
	1.000	38.13	12/23/20	25.47	...	12.66	7 of 11 - Sale <sup>25</sup>
	3.000	114.41	12/23/20	77.11	...	37.30	8 of 11 - Sale <sup>25</sup>
	5.000	184.19	12/23/20	126.45	...	57.74	9 of 11 - Sale <sup>25</sup>

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Account 860907880

## 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
EHANG HOLDINGS LIMITED ADS / CUSIP: 26853E102 / Symbol: (cont'd)							
	10.000	378.44	12/23/20	254.68	...	123.76	10 of 11 - Sale <sup>25</sup>
	3.000	110.52	12/28/20	74.38	...	36.14	11 of 11 - Sale <sup>25</sup>
01/13/21	33.000	1,246.59	Various	821.11	...	425.48	Total of 11 transactions
01/13/21	17.000	626.25	01/13/21	639.03	12.78 W	0.00	Sale <sup>25</sup>
17 transactions for 06/14/21. Total proceeds and cost reported to the IRS.							
	3.000	121.26	01/13/21	112.77	...	8.49	1 of 17 - Sale <sup>25</sup>
	10.000	404.21	01/14/21	460.80	...	-56.59	2 of 17 - Sale <sup>25</sup>
	5.000	202.10	01/15/21	203.92	...	-1.82	3 of 17 - Sale <sup>25</sup>
	1.000	40.42	01/15/21	40.72	...	-0.30	4 of 17 - Sale <sup>25</sup>
	1.000	40.42	01/22/21	73.07	...	-32.65	5 of 17 - Sale <sup>25</sup>
	1.000	40.42	01/22/21	72.31	...	-31.89	6 of 17 - Sale <sup>25</sup>
	15.000	606.31	02/16/21	720.00	...	-113.69	7 of 17 - Sale <sup>25</sup>
	1.000	40.42	02/26/21	45.92	...	-5.50	8 of 17 - Sale <sup>25</sup>
	2.000	80.84	03/03/21	87.06	...	-6.22	9 of 17 - Sale <sup>25</sup>
	1.000	40.42	03/03/21	43.97	...	-3.55	10 of 17 - Sale <sup>25</sup>
	1.000	40.42	03/03/21	42.83	...	-2.41	11 of 17 - Sale <sup>25</sup>
	1.000	40.42	03/03/21	42.52	...	-2.10	12 of 17 - Sale <sup>25</sup>
	1.000	40.42	03/03/21	41.91	...	-1.49	13 of 17 - Sale <sup>25</sup>
	1.000	40.42	03/03/21	41.72	...	-1.30	14 of 17 - Sale <sup>25</sup>
	1.000	40.42	03/04/21	38.07	...	2.35	15 of 17 - Sale <sup>25</sup>
	2.000	80.84	03/05/21	68.63	...	12.21	16 of 17 - Sale <sup>25</sup>
	3.000	121.26	03/05/21	102.40	...	18.86	17 of 17 - Sale <sup>25</sup>
06/14/21	50.000	2,021.02	Various	2,238.62	...	-217.60	Total of 17 transactions
9 transactions for 06/15/21. Total proceeds and cost reported to the IRS.							
	1.000	45.52	03/17/21	46.86	...	-1.34	1 of 9 - Sale <sup>25</sup>
	1.000	45.52	03/18/21	47.00	...	-1.48	2 of 9 - Sale <sup>25</sup>
	1.000	45.53	03/22/21	42.91	...	2.62	3 of 9 - Sale <sup>25</sup>
	2.000	91.05	03/22/21	88.24	...	2.81	4 of 9 - Sale <sup>25</sup>
	2.000	91.05	03/22/21	88.00	...	3.05	5 of 9 - Sale <sup>25</sup>
	2.000	91.05	03/22/21	87.08	...	3.97	6 of 9 - Sale <sup>25</sup>
	2.000	91.05	03/22/21	85.98	...	5.07	7 of 9 - Sale <sup>25</sup>
	2.000	91.05	03/22/21	85.13	...	5.92	8 of 9 - Sale <sup>25</sup>
	7.000	318.67	03/23/21	291.17	...	27.50	9 of 9 - Sale <sup>25</sup>
06/15/21	20.000	910.49	Various	862.37	...	48.12	Total of 9 transactions

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Robinhood Securities LLC

Account 860907880

**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
EHANG HOLDINGS LIMITED ADS / CUSIP: 26853E102 / Symbol: (cont'd)							
<i>4 transactions for 06/28/21. Total proceeds and cost reported to the IRS.</i>							
	0.200	8.72	03/23/21	7.94	...	0.78	1 of 4 - Sale <sup>25</sup>
	0.800	34.89	03/23/21	32.24	...	2.65	2 of 4 - Sale <sup>25</sup>
	2.000	87.21	03/23/21	83.19	...	4.02	3 of 4 - Sale <sup>25</sup>
	7.000	305.25	03/23/21	277.68	...	27.57	4 of 4 - Sale <sup>25</sup>
06/28/21	10.000	436.07	Various	401.05	...	35.02	Total of 4 transactions
<i>2 transactions for 09/21/21. Total proceeds and cost reported to the IRS.</i>							
	0.800	20.25	03/23/21	31.74	...	-11.49	1 of 2 - Sale <sup>25</sup>
	9.200	232.86	03/24/21	328.44	...	-95.58	2 of 2 - Sale <sup>25</sup>
09/21/21	10.000	253.11	Various	360.18	...	-107.07	Total of 2 transactions
	<b>Security total:</b>	<b>6,195.67</b>		<b>5,805.80</b>	<b>12.78 W</b>	<b>402.65</b>	
ENERGOUS CORPORATION COMMON STOCK / CUSIP: 29272C103 / Symbol:							
<i>2 transactions for 01/26/21. Total proceeds and cost reported to the IRS.</i>							
	5.000	19.85	01/11/21	15.93	...	3.92	1 of 2 - Sale <sup>25</sup>
	5.000	20.02	01/11/21	15.93	...	4.09	2 of 2 - Sale <sup>25</sup>
01/26/21	10.000	39.87	Various	31.86	...	8.01	Total of 2 transactions
<i>2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.</i>							
	5.000	20.88	01/11/21	15.92	...	4.96	1 of 2 - Sale <sup>25</sup>
	5.000	21.20	01/11/21	15.93	...	5.27	2 of 2 - Sale <sup>25</sup>
01/27/21	10.000	42.08	Various	31.85	...	10.23	Total of 2 transactions
<i>2 transactions for 02/02/21. Total proceeds and cost reported to the IRS.</i>							
	2.000	7.54	01/11/21	6.10	...	1.44	1 of 2 - Sale <sup>25</sup>
	3.000	11.31	01/11/21	9.55	...	1.76	2 of 2 - Sale <sup>25</sup>
02/02/21	5.000	18.85	Various	15.65	...	3.20	Total of 2 transactions
	<b>Security total:</b>	<b>100.80</b>		<b>79.36</b>	...	<b>21.44</b>	
ENDRA LIFE SCIENCES INC. COMMON STOCK / CUSIP: 29273B104 / Symbol:							
<i>2 transactions for 01/22/21. Total proceeds and cost reported to the IRS.</i>							
	3.000	6.32	01/12/21	2.94	...	3.38	1 of 2 - Sale <sup>25</sup>
	7.000	14.73	01/12/21	7.11	...	7.62	2 of 2 - Sale <sup>25</sup>
01/22/21	10.000	21.05	Various	10.05	...	11.00	Total of 2 transactions

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Robinhood Securities LLC

Account 860907880

## 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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ENDRA LIFE SCIENCES INC. COMMO N STOCK / CUSIP: 29273B104 / Symbol: (cont'd)							
01/26/21	10.000	28.05	01/12/21	10.15	...	17.90	Sale <sup>25</sup>
02/02/21	13.000	26.67	01/12/21	13.20	...	13.47	Sale <sup>25</sup>
	<b>Security total:</b>	<b>75.77</b>		<b>33.40</b>	...	<b>42.37</b>	
HECLA MINING COMPANY / CUSIP: 422704106 / Symbol:							
05/06/21	1.000	6.93	03/26/21	5.77	...	1.16	Sale <sup>25</sup>
HISTOGEN INC. COMMON STOCK / CUSIP: 43358Y103 / Symbol:							
3 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	2.000	2.44	01/12/21	1.84	...	0.60	1 of 3 - Sale <sup>25</sup>
	28.000	34.16	01/12/21	26.04	...	8.12	2 of 3 - Sale <sup>25</sup>
	40.000	46.00	01/12/21	36.77	...	9.23	3 of 3 - Sale <sup>25</sup>
01/22/21	70.000	82.60	Various	64.65	...	17.95	Total of 3 transactions
01/26/21	10.000	14.25	01/12/21	9.30	...	4.95	Sale <sup>25</sup>
02/17/21	15.000	23.70	01/12/21	13.95	...	9.75	Sale <sup>25</sup>
03/04/21	8.000	9.45	01/12/21	7.44	...	2.01	Sale <sup>25</sup>
	<b>Security total:</b>	<b>130.00</b>		<b>95.34</b>	...	<b>34.66</b>	
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
01/15/21	20.000	68.26	01/11/21	62.34	...	5.92	Sale <sup>25</sup>
01/19/21	14.000	47.78	01/11/21	43.64	...	4.14	Sale <sup>25</sup>
01/22/21	16.000	50.76	01/11/21	49.87	...	0.89	Sale <sup>25</sup>
	<b>Security total:</b>	<b>166.80</b>		<b>155.85</b>	...	<b>10.95</b>	
LIMELIGHT NETWORKS, INC. COMMO N STOCK / CUSIP: 53261M104 / Symbol:							
05/14/21	1.000	3.01	03/26/21	3.62	...	-0.61	Sale <sup>25</sup>
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:							
01/12/21	25.000	57.25	12/23/20	73.00	12.60 W	-3.15	Sale <sup>25</sup>
2 transactions for 01/13/21. Total proceeds and cost reported to the IRS.							
	20.000	51.25	12/23/20	70.19	...	-18.94	1 of 2 - Sale <sup>25</sup>
	5.000	12.81	12/23/20	20.20	...	-7.39	2 of 2 - Sale <sup>25</sup>
01/13/21	25.000	64.06	Various	90.39	...	-26.33	Total of 2 transactions
02/02/21	15.000	45.75	12/23/20	60.59	...	-14.84	Sale <sup>25</sup>
02/10/21	1.000	10.75	12/23/20	4.04	...	6.71	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 860907880

## 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
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol: (cont'd)							
02/11/21	3.000	29.31	12/23/20	12.12	...	17.19	Sale <sup>25</sup>
11/02/21	1.000	14.37	12/23/20	4.04	...	10.33	Sale <sup>25</sup>
	<b>Security total:</b>	<b>221.49</b>		<b>244.18</b>	<b>12.60 W</b>	<b>-10.09</b>	
PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol:							
03/17/21	1.000	36.03	03/17/21	35.62	...	0.41	Sale <sup>25</sup>
	5 transactions for 03/22/21. Total proceeds and cost reported to the IRS.						
	0.800	30.95	03/17/21	28.50	...	2.45	1 of 5 - Sale <sup>25</sup>
	1.000	38.68	03/17/21	35.62	...	3.06	2 of 5 - Sale <sup>25</sup>
	2.000	78.10	03/17/21	71.24	...	6.86	3 of 5 - Sale <sup>25</sup>
	4.800	188.45	03/17/21	172.06	...	16.39	4 of 5 - Sale <sup>25</sup>
	5.200	204.15	03/17/21	185.21	...	18.94	5 of 5 - Sale <sup>25</sup>
03/22/21	13.800	540.33	Various	492.63	...	47.70	Total of 5 transactions
05/14/21	10.000	247.70	03/17/21	358.45	...	-110.75	Sale <sup>25</sup>
	2 transactions for 05/18/21. Total proceeds and cost reported to the IRS.						
	9.800	258.64	03/17/21	364.41	...	-105.77	1 of 2 - Sale <sup>25</sup>
	0.200	5.28	03/17/21	7.17	...	-1.89	2 of 2 - Sale <sup>25</sup>
05/18/21	10.000	263.92	Various	371.58	...	-107.66	Total of 2 transactions
05/19/21	5.000	135.06	03/17/21	185.93	...	-50.87	Sale <sup>25</sup>
	2 transactions for 06/29/21. Total proceeds and cost reported to the IRS.						
	10.200	357.51	03/17/21	379.29	...	-21.78	1 of 2 - Sale <sup>25</sup>
	0.800	28.04	03/19/21	29.20	...	-1.16	2 of 2 - Sale <sup>25</sup>
06/29/21	11.000	385.55	Various	408.49	...	-22.94	Total of 2 transactions
	2 transactions for 11/02/21. Total proceeds and cost reported to the IRS.						
	0.200	8.24	03/19/21	7.30	...	0.94	1 of 2 - Sale <sup>25</sup>
	0.800	32.94	03/19/21	28.86	...	4.08	2 of 2 - Sale <sup>25</sup>
11/02/21	1.000	41.18	Various	36.16	...	5.02	Total of 2 transactions
	<b>Security total:</b>	<b>1,649.77</b>		<b>1,888.86</b>	...	<b>-239.09</b>	

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Robinhood Securities LLC

Account 860907880

## 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
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
2 transactions for 01/12/21. Total proceeds and cost reported to the IRS.							
	0.080	67.29	01/11/21	64.79	...	2.50	1 of 2 - Sale <sup>25</sup>
	0.200	168.23	01/11/21	163.99	...	4.24	2 of 2 - Sale <sup>25</sup>
01/12/21	0.280	235.52	Various	228.78	...	6.74	Total of 2 transactions
9 transactions for 02/16/21. Total proceeds and cost reported to the IRS.							
	0.100	79.55	01/12/21	86.43	6.88 W	0.00	1 of 9 - Sale <sup>25</sup>
	0.300	238.60	01/12/21	259.27	20.67 W	0.00	2 of 9 - Sale <sup>25</sup>
	0.060	47.72	01/13/21	50.34	2.62 W	0.00	3 of 9 - Sale <sup>25</sup>
	0.040	31.81	01/13/21	33.49	1.68 W	0.00	4 of 9 - Sale <sup>25</sup>
	0.100	79.53	01/22/21	90.47	10.94 W	0.00	5 of 9 - Sale <sup>25</sup>
	0.100	79.53	01/22/21	83.34	3.81 W	0.00	6 of 9 - Sale <sup>25</sup>
	0.200	159.07	01/27/21	165.27	6.20 W	0.00	7 of 9 - Sale <sup>25</sup>
	0.100	79.54	01/27/21	80.90	1.36 W	0.00	8 of 9 - Sale <sup>25</sup>
	0.100	79.53	01/29/21	79.68	0.15 W	0.00	9 of 9 - Sale <sup>25</sup>
02/16/21	1.100	874.88	Various	929.19	54.31 W	0.00	Total of 9 transactions
3 transactions for 02/24/21. Total proceeds and cost reported to the IRS.							
	0.042	30.77	02/23/21	31.78	...	-1.01	1 of 3 - Sale <sup>25</sup>
	0.060	43.80	02/23/21	43.72	...	0.08	2 of 3 - Sale <sup>25</sup>
	0.040	29.21	02/23/21	29.08	...	0.13	3 of 3 - Sale <sup>25</sup>
02/24/21	0.142	103.78	Various	104.58	...	-0.80	Total of 3 transactions
2 transactions for 02/24/21. Total proceeds and cost reported to the IRS.							
	0.100	73.01	02/23/21	79.45	2.71 W	-3.73	1 of 2 - Sale <sup>25</sup>
	0.258	188.24	02/23/21	194.42	6.18 W	0.00	2 of 2 - Sale <sup>25</sup>
02/24/21	0.358	261.25	Various	273.87	8.89 W	-3.73	Total of 2 transactions
4 transactions for 03/05/21. Total proceeds and cost reported to the IRS.							
	0.200	114.62	02/24/21	152.05	...	-37.43	1 of 4 - Sale <sup>25</sup>
	0.100	57.31	02/24/21	76.74	...	-19.43	2 of 4 - Sale <sup>25</sup>
	0.100	57.31	02/24/21	74.29	...	-16.98	3 of 4 - Sale <sup>25</sup>
	0.100	57.32	02/24/21	73.08	...	-15.76	4 of 4 - Sale <sup>25</sup>
03/05/21	0.500	286.56	Various	376.16	...	-89.60	Total of 4 transactions

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Robinhood Securities LLC

Account 860907880

**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
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: (cont'd)							
<i>4 transactions for 03/08/21. Total proceeds and cost reported to the IRS.</i>							
	0.070	41.87	03/03/21	48.56	...	-6.69	1 of 4 - Sale <sup>25</sup>
	0.030	17.94	03/04/21	20.35	...	-2.41	2 of 4 - Sale <sup>25</sup>
	0.042	25.21	03/05/21	26.49	...	-1.28	3 of 4 - Sale <sup>25</sup>
	0.158	94.42	03/05/21	92.85	...	1.57	4 of 4 - Sale <sup>25</sup>
03/08/21	0.300	179.44	Various	188.25	...	-8.81	Total of 4 transactions
	<b>Security total:</b>	<b>1,941.43</b>		<b>2,100.83</b>	<b>63.20 W</b>	<b>-96.20</b>	
TRANSENTERIX INC. / CUSIP: 89366M300 / Symbol:							
01/12/21	20.000	30.30	01/11/21	36.19	...	-5.89	Sale <sup>25</sup>
<i>2 transactions for 01/19/21. Total proceeds and cost reported to the IRS.</i>							
	5.000	18.68	01/11/21	9.05	...	9.63	1 of 2 - Sale <sup>25</sup>
	15.000	52.96	01/11/21	27.15	...	25.81	2 of 2 - Sale <sup>25</sup>
01/19/21	20.000	71.64	Various	36.20	...	35.44	Total of 2 transactions
01/20/21	4.000	15.60	01/11/21	7.24	...	8.36	Sale <sup>25</sup>
<i>2 transactions for 02/17/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	5.37	01/11/21	1.81	...	3.56	1 of 2 - Sale <sup>25</sup>
	2.000	10.74	01/11/21	3.62	...	7.12	2 of 2 - Sale <sup>25</sup>
02/17/21	3.000	16.11	Various	5.43	...	10.68	Total of 2 transactions
03/03/21	2.000	9.10	01/11/21	3.61	...	5.49	Sale <sup>25</sup>
	<b>Security total:</b>	<b>142.75</b>		<b>88.67</b>	...	<b>54.08</b>	
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
<i>2 transactions for 01/11/21. Total proceeds and cost reported to the IRS.</i>							
	50.000	18.52	01/08/21	17.64	...	0.88	1 of 2 - Sale <sup>25</sup>
	100.000	36.81	01/08/21	35.28	...	1.53	2 of 2 - Sale <sup>25</sup>
01/11/21	150.000	55.33	Various	52.92	...	2.41	Total of 2 transactions
06/02/21	10.000	7.23	05/20/21	5.42	...	1.81	Sale <sup>25</sup>
06/03/21	8.000	6.90	05/20/21	4.33	...	2.57	Sale <sup>25</sup>
	<b>Security total:</b>	<b>69.46</b>		<b>62.67</b>	...	<b>6.79</b>	
<b>Totals :</b>		<b>12,379.61</b>		<b>11,856.62</b>	<b>118.68 W</b>	<b>641.67</b>	

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Robinhood Securities LLC

Account 860907880

**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
CASTOR MARITIME INC. COMMON SH ARES / CUSIP: Y1146L125 / Symbol: 06/07/21	0.500	1.64	03/22/21	4.67	...	-3.03	Gain or loss
<b>Totals:</b>		<b>1.64</b>		<b>4.67</b>	...	<b>-3.03</b>	

Robinhood Securities LLC

Account 860907880

**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
		04/16/21	-5.00	Margin interest paid	
			<b>-5.00</b>	<b>Total Margin interest paid</b>	

Robinhood Securities LLC

Account 860907880

## Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
ASENSUS SURGICAL, INC.	04367G103	03/05/21	1.00	0.00	Exchange	
TRANSETERIX INC.	89366M300	03/05/21	-1.00	0.00	Exchange	

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.