

<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 134233303</b>	Statement Date: 02/14/2021 Document ID: 76EG 1K3 1DY1	2020
	Karthik Asha 24250 N 23rd Ave Unit 2013 Phoenix, AZ 85085  RECIPIENT'S TIN: XXX-XX-8741		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      0.00</p> <p>1b- Qualified dividends      0.00</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d)      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>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:      0.00</p> <p>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 INCOME</b>      <b>2020 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>2020 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020      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>
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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)	118,771.81	122,082.15	0.00	3,499.77	189.43
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	7.41	0.00	0.00	0.00	7.41
	<b>Total Short-term</b>	<b>118,779.22</b>	<b>122,082.15</b>	<b>0.00</b>	<b>3,499.77</b>	<b>196.84</b>
Long	D (basis reported to the IRS)	339.03	665.00	0.00	160.17	-165.80
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)	9.98	10.29	0.00	0.00	-0.31
	<b>Total Long-term</b>	<b>349.01</b>	<b>675.29</b>	<b>0.00</b>	<b>160.17</b>	<b>-166.11</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>119,128.23</b>	<b>122,757.44</b>	<b>0.00</b>	<b>3,659.94</b>	<b>30.73</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

Changes to dividend tax classifications processed after your original tax form is issued for 2020 may require an amended tax form.

Robinhood Securities LLC

Account 134233303

**Summary Information**

2020

(continued)

02/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

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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	0.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

02/14/2021

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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAL 06/12/2020 PUT \$17.50 / CUSIP: / Symbol:							
06/08/20	1.000	79.98	06/05/20	112.00	...	-32.02	Option sale to close-put <sup>25</sup>
AAL 07/17/2020 CALL \$12.50 / CUSIP: / Symbol:							
07/13/20	2.000	63.98	07/10/20	96.00	...	-32.02	Option sale to close-call <sup>25</sup>
AAL 07/24/2020 CALL \$12.00 / CUSIP: / Symbol:							
07/22/20	1.000	29.98	07/21/20	47.00	...	-17.02	Option sale to close-call <sup>25</sup>
AAL 08/07/2020 CALL \$11.50 / CUSIP: / Symbol:							
08/04/20	1.000	27.98	08/03/20	22.00	...	5.98	Option sale to close-call <sup>25</sup>
AAL 09/11/2020 PUT \$13.00 / CUSIP: / Symbol:							
09/08/20	1.000	34.98	09/04/20	45.00	...	-10.02	Option sale to close-put <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 08/14/2020 CALL \$495.00 / CUSIP: / Symbol:							
08/06/20	1.000	161.98	08/06/20	95.00	...	66.98	Option sale to close-call <sup>25</sup>
AAPL 08/14/2020 CALL \$505.00 / CUSIP: / Symbol:							
08/07/20	1.000	40.98	08/07/20	103.02	...	-62.04	Option sale to close-call <sup>25</sup>
08/07/20	1.000	79.98	08/06/20	97.00	17.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>120.96</b>		<b>200.02</b>	<b>17.02 W</b>	<b>-62.04</b>	
AAPL 09/18/2020 CALL \$115.00 / CUSIP: / Symbol:							
09/16/20	1.000	100.98	09/15/20	173.00	...	-72.02	Option sale to close-call <sup>25</sup>
AMC 09/04/2020 CALL \$6.50 / CUSIP: / Symbol:							
08/27/20	1.000	75.98	08/27/20	25.00	...	50.98	Option sale to close-call <sup>25</sup>
AMC 12/04/2020 CALL \$4.50 / CUSIP: / Symbol:							
12/01/20	1.000	9.98	11/30/20	15.00	...	-5.02	Option sale to close-call <sup>25</sup>
AMC 12/11/2020 CALL \$4.00 / CUSIP: / Symbol:							
12/09/20	1.000	24.98	12/08/20	14.00	...	10.98	Option sale to close-call <sup>25</sup>
AMD 07/31/2020 CALL \$76.00 / CUSIP: / Symbol:							
07/29/20	1.000	134.98	07/28/20	101.00	...	33.98	Option sale to close-call <sup>25</sup>
AZN 07/24/2020 CALL \$70.00 / CUSIP: / Symbol:							
07/20/20	1.000	54.98	07/20/20	90.00	...	-35.02	Option sale to close-call <sup>25</sup>
BA 07/17/2020 CALL \$207.50 / CUSIP: / Symbol:							
07/15/20	1.000	103.98	07/15/20	103.00	...	0.98	Option sale to close-call <sup>25</sup>
07/16/20	1.000	28.98	07/15/20	88.00	...	-59.02	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>132.96</b>		<b>191.00</b>	<b>...</b>	<b>-58.04</b>	
BYND 08/07/2020 CALL \$185.00 / CUSIP: / Symbol:							
08/07/20	1.000	0.00	08/04/20	93.00	...	-93.00	Option expiration- long call
CRM 08/28/2020 PUT \$250.00 / CUSIP: / Symbol:							
08/26/20	1.000	54.98	08/26/20	154.00	...	-99.02	Option sale to close-put <sup>25</sup>

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Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**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
CRON 05/15/2020 CALL \$6.50 / CUSIP: / Symbol:							
05/15/20	2.000	0.00	05/07/20	22.00	...	-22.00	Option expiration- long call
DBX 05/15/2020 CALL \$23.50 / CUSIP: / Symbol:							
05/15/20	1.000	0.00	05/07/20	100.00	...	-100.00	Option expiration- long call
DKNG 11/27/2020 CALL \$48.50 / CUSIP: / Symbol:							
11/24/20	1.000	44.98	11/23/20	125.00	...	-80.02	Option sale to close-call <sup>25</sup>
DKNG 12/11/2020 CALL \$50.00 / CUSIP: / Symbol:							
12/10/20	1.000	64.98	12/10/20	65.00	...	-0.02	Option sale to close-call <sup>25</sup>
DUST 12/24/2020 CALL \$22.00 / CUSIP: / Symbol:							
12/22/20	1.000	7.98	12/18/20	9.00	...	-1.02	Option sale to close-call <sup>25</sup>
FSLY 06/26/2020 CALL \$95.00 / CUSIP: / Symbol:							
06/24/20	1.000	19.98	06/23/20	50.00	...	-30.02	Option sale to close-call <sup>25</sup>
HAL 05/15/2020 CALL \$10.50 / CUSIP: / Symbol:							
05/11/20	2.000	73.98	05/07/20	48.00	...	25.98	Option sale to close-call <sup>25</sup>
INO 05/01/2020 PUT \$10.00 / CUSIP: / Symbol:							
04/30/20	1.000	14.98	04/24/20	45.00	30.02 W	0.00	Option sale to close-put <sup>25</sup>
05/01/20	1.000	19.98	04/24/20	75.02	...	-55.04	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>34.96</b>		<b>120.02</b>	<b>30.02 W</b>	<b>-55.04</b>	
INTC 09/04/2020 CALL \$53.00 / CUSIP: / Symbol:							
09/02/20	1.000	84.98	09/02/20	38.00	...	46.98	Option sale to close-call <sup>25</sup>
INTC 09/11/2020 CALL \$51.00 / CUSIP: / Symbol:							
09/04/20	1.000	104.98	09/03/20	93.00	...	11.98	Option sale to close-call <sup>25</sup>
INTC 09/25/2020 CALL \$50.00 / CUSIP: / Symbol:							
09/22/20	1.000	68.98	09/18/20	61.00	...	7.98	Option sale to close-call <sup>25</sup>
INTC 12/11/2020 CALL \$52.50 / CUSIP: / Symbol:							
12/07/20	1.000	14.98	12/04/20	54.00	...	-39.02	Option sale to close-call <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**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
KODK 11/13/2020 CALL \$7.50 / CUSIP: / Symbol:							
11/12/20	1.000	14.98	11/09/20	25.00	...	-10.02	Option sale to close-call <sup>25</sup>
LMND 12/11/2020 PUT \$90.00 / CUSIP: / Symbol:							
12/10/20	1.000	49.98	12/10/20	25.00	...	24.98	Option sale to close-put <sup>25</sup>
MARK 07/17/2020 CALL \$2.50 / CUSIP: / Symbol:							
07/17/20	1.000	0.00	06/22/20	45.00	...	-45.00	Option expiration- long call
MSFT 08/28/2020 CALL \$220.00 / CUSIP: / Symbol:							
08/24/20	1.000	99.98	08/21/20	90.00	...	9.98	Option sale to close-call <sup>25</sup>
MSFT 11/20/2020 CALL \$270.00 / CUSIP: / Symbol:							
09/08/20	1.000	274.98	09/04/20	255.00	...	19.98	Option sale to close-call <sup>25</sup>
09/09/20	1.000	224.98	09/08/20	285.00	60.02 W	0.00	Option sale to close-call <sup>25</sup>
2 transactions for 09/11/20. Total proceeds and cost reported to the IRS.							
	1.000	119.99	09/08/20	310.02	...	-190.03	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	119.99	09/10/20	186.00	...	-66.01	2 of 2 - Option sale to close-call <sup>25</sup>
09/11/20	2.000	239.98	Various	496.02	...	-256.04	Total of 2 transactions
	<b>Security total:</b>	<b>739.94</b>		<b>1,036.02</b>	<b>60.02 W</b>	<b>-236.06</b>	
MU 05/08/2020 CALL \$52.50 / CUSIP: / Symbol:							
04/30/20	1.000	26.98	04/29/20	50.00	...	-23.02	Option sale to close-call <sup>25</sup>
MU 05/08/2020 PUT \$41.00 / CUSIP: / Symbol:							
05/08/20	1.000	0.00	05/01/20	31.00	...	-31.00	Option expiration- long put
MU 05/08/2020 PUT \$41.50 / CUSIP: / Symbol:							
05/08/20	1.000	0.00	05/01/20	47.00	...	-47.00	Option expiration- long put
NCLH 05/08/2020 PUT \$13.00 / CUSIP: / Symbol:							
05/05/20	1.000	94.98	04/30/20	50.00	...	44.98	Option sale to close-put <sup>25</sup>
NCLH 05/15/2020 CALL \$12.00 / CUSIP: / Symbol:							
05/07/20	1.000	79.98	05/06/20	70.00	...	9.98	Option sale to close-call <sup>25</sup>
NFLX 04/17/2020 PUT \$415.00 / CUSIP: / Symbol:							
04/17/20	1.000	257.98	04/14/20	1,080.00	...	-822.02	Option sale to close-put <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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NFLX 05/22/2020 CALL \$480.00 / CUSIP: / Symbol:							
05/18/20	1.000	173.98	05/15/20	202.00	...	-28.02	Option sale to close-call <sup>25</sup>
NIO 07/17/2020 CALL \$14.00 / CUSIP: / Symbol:							
07/14/20	1.000	51.98	07/14/20	89.00	...	-37.02	Option sale to close-call <sup>25</sup>
NIO 07/24/2020 CALL \$13.00 / CUSIP: / Symbol:							
07/21/20	1.000	59.98	07/20/20	78.00	...	-18.02	Option sale to close-call <sup>25</sup>
NIO 08/28/2020 CALL \$15.50 / CUSIP: / Symbol:							
08/25/20	1.000	54.98	08/24/20	50.00	...	4.98	Option sale to close-call <sup>25</sup>
NKLA 08/14/2020 CALL \$43.00 / CUSIP: / Symbol:							
08/06/20	1.000	49.98	08/06/20	95.00	...	-45.02	Option sale to close-call <sup>25</sup>
OSTK 12/04/2020 CALL \$63.00 / CUSIP: / Symbol:							
12/03/20	1.000	139.98	12/02/20	145.00	...	-5.02	Option sale to close-call <sup>25</sup>
PFE 07/10/2020 CALL \$34.50 / CUSIP: / Symbol:							
07/02/20	1.000	61.98	07/01/20	62.00	...	-0.02	Option sale to close-call <sup>25</sup>
PFE 07/24/2020 CALL \$39.50 / CUSIP: / Symbol:							
07/24/20	1.000	0.00	07/23/20	34.00	...	-34.00	Option expiration- long call
PFE 12/04/2020 CALL \$38.50 / CUSIP: / Symbol:							
12/01/20	1.000	149.98	11/30/20	60.00	...	89.98	Option sale to close-call <sup>25</sup>
PFE 12/11/2020 CALL \$43.00 / CUSIP: / Symbol:							
12/09/20	1.000	84.98	12/08/20	90.00	...	-5.02	Option sale to close-call <sup>25</sup>
PS 12/18/2020 CALL \$22.50 / CUSIP: / Symbol:							
12/16/20	1.000	4.98	12/14/20	10.00	...	-5.02	Option sale to close-call <sup>25</sup>
RKT 11/27/2020 CALL \$21.50 / CUSIP: / Symbol:							
11/25/20	1.000	7.98	11/24/20	40.00	...	-32.02	Option sale to close-call <sup>25</sup>

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Robinhood Securities LLC

Account 134233303

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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SAVE 07/17/2020 CALL \$20.00 / CUSIP: / Symbol:							
07/13/20	1.000	22.98	07/10/20	57.02	...	-34.04	Option sale to close-call <sup>25</sup>
07/13/20	1.000	22.98	07/10/20	40.00	17.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>45.96</b>		<b>97.02</b>	<b>17.02 W</b>	<b>-34.04</b>	
SWBI 12/18/2020 CALL \$17.50 / CUSIP: / Symbol:							
2 transactions for 12/16/20. Total proceeds and cost reported to the IRS.							
	1.000	24.98	12/15/20	2.00	...	22.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	24.98	12/15/20	2.00	...	22.98	2 of 2 - Option sale to close-call <sup>25</sup>
12/16/20	2.000	49.96	Various	4.00	...	45.96	Total of 2 transactions
TGT 11/20/2020 CALL \$182.50 / CUSIP: / Symbol:							
11/18/20	1.000	18.98	11/17/20	55.00	...	-36.02	Option sale to close-call <sup>25</sup>
TLRY 05/15/2020 CALL \$8.00 / CUSIP: / Symbol:							
05/12/20	1.000	22.98	05/12/20	28.00	...	-5.02	Option sale to close-call <sup>25</sup>
TLRY 05/15/2020 CALL \$8.50 / CUSIP: / Symbol:							
05/15/20	1.000	0.00	05/13/20	8.00	...	-8.00	Option expiration- long call
TLRY 05/29/2020 CALL \$12.00 / CUSIP: / Symbol:							
05/27/20	2.000	27.98	05/26/20	82.00	...	-54.02	Option sale to close-call <sup>25</sup>
TSLA 07/10/2020 PUT \$1,000.00 / CUSIP: / Symbol:							
07/07/20	1.000	149.98	07/06/20	101.00	...	48.98	Option sale to close-put <sup>25</sup>
07/08/20	1.000	78.98	07/08/20	83.00	...	-4.02	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>228.96</b>		<b>184.00</b>	...	<b>44.96</b>	
TSLA 07/17/2020 PUT \$1,000.00 / CUSIP: / Symbol:							
07/13/20	1.000	169.98	07/13/20	110.00	...	59.98	Option sale to close-put <sup>25</sup>
V 08/14/2020 CALL \$207.50 / CUSIP: / Symbol:							
08/12/20	1.000	19.98	08/11/20	76.02	...	-56.04	Option sale to close-call <sup>25</sup>
08/12/20	1.000	23.98	08/11/20	76.00	52.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>43.96</b>		<b>152.02</b>	<b>52.02 W</b>	<b>-56.04</b>	

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Account 134233303

Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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V 08/21/2020 CALL \$210.00 / CUSIP: / Symbol:							
2 transactions for 08/18/20. Total proceeds and cost reported to the IRS.							
	1.000	5.99	08/12/20	57.00	...	-51.01	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	5.99	08/12/20	57.00	...	-51.01	2 of 2 - Option sale to close-call <sup>25</sup>
08/18/20	2.000	11.98	Various	114.00	...	-102.02	Total of 2 transactions
V 08/28/2020 CALL \$215.00 / CUSIP: / Symbol:							
08/21/20	1.000	39.98	08/20/20	62.02	...	-22.04	Option sale to close-call <sup>25</sup>
08/21/20	1.000	42.98	08/19/20	67.00	24.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>82.96</b>		<b>129.02</b>	<b>24.02 W</b>	<b>-22.04</b>	
W 07/10/2020 PUT \$200.00 / CUSIP: / Symbol:							
07/08/20	1.000	39.98	07/07/20	55.00	...	-15.02	Option sale to close-put <sup>25</sup>
W 08/21/2020 PUT \$295.00 / CUSIP: / Symbol:							
08/19/20	1.000	14.98	08/18/20	60.00	...	-45.02	Option sale to close-put <sup>25</sup>
WKHS 11/27/2020 CALL \$24.00 / CUSIP: / Symbol:							
11/20/20	1.000	160.98	11/20/20	130.00	...	30.98	Option sale to close-call <sup>25</sup>
WMT 09/04/2020 CALL \$150.00 / CUSIP: / Symbol:							
09/02/20	1.000	219.98	09/01/20	241.00	...	-21.02	Option sale to close-call <sup>25</sup>
WORK 06/12/2020 CALL \$45.00 / CUSIP: / Symbol:							
2 transactions for 06/12/20. Total proceeds and cost reported to the IRS.							
	1.000	0.00	06/03/20	110.00	...	-110.00	1 of 2 - Option expiration- long call
	1.000	0.00	06/04/20	95.00	...	-95.00	2 of 2 - Option expiration- long call
06/12/20	2.000	0.00	Various	205.00	...	-205.00	Total of 2 transactions
ZM 05/01/2020 PUT \$130.00 / CUSIP: / Symbol:							
04/30/20	1.000	149.98	04/27/20	30.00	...	119.98	Option sale to close-put <sup>25</sup>
ZM 05/01/2020 PUT \$142.00 / CUSIP: / Symbol:							
04/29/20	1.000	239.98	04/24/20	300.00	...	-60.02	Option sale to close-put <sup>25</sup>

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2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
8 transactions for 04/28/20. Total proceeds and cost reported to the IRS.							
	1.000	3.85	04/17/20	3.35	...	0.50	1 of 8 - Sale <sup>25</sup>
	1.000	3.85	04/17/20	3.35	...	0.50	2 of 8 - Sale <sup>25</sup>
	3.000	11.55	04/17/20	10.05	...	1.50	3 of 8 - Sale <sup>25</sup>
	4.000	15.40	04/17/20	13.40	...	2.00	4 of 8 - Sale <sup>25</sup>
	9.000	34.65	04/17/20	30.15	...	4.50	5 of 8 - Sale <sup>25</sup>
	10.000	38.50	04/17/20	33.50	...	5.00	6 of 8 - Sale <sup>25</sup>
	23.000	88.55	04/17/20	77.05	...	11.50	7 of 8 - Sale <sup>25</sup>
	149.000	573.61	04/17/20	499.13	...	74.48	8 of 8 - Sale <sup>25</sup>
04/28/20	200.000	769.96	Various	669.98	...	99.98	Total of 8 transactions
08/06/20	100.000	410.99	06/19/20	569.79	...	-158.80	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,180.95</b>		<b>1,239.77</b>	...	<b>-58.82</b>	
ADVANCED MICRO DEVICES, INC. C OMMON STOCK / CUSIP: 007903107 / Symbol:							
11/23/20	10.000	857.63	09/02/20	904.57	...	-46.94	Sale <sup>25</sup>
AMERICAN AIRLINES GROUP INC. C OMMON STOCK / CUSIP: 02376R102 / Symbol:							
05/26/20	100.000	1,089.15	05/04/20	922.86	...	166.29	Sale <sup>25</sup>
05/26/20	100.000	1,089.16	04/15/20	1,253.00	163.84 W	0.00	Sale <sup>25</sup>
06/02/20	100.000	1,127.97	05/29/20	1,241.65	113.68 W	0.00	Sale <sup>25</sup>
06/12/20	50.000	849.99	06/11/20	804.34	...	45.65	Sale <sup>25</sup>
2 transactions for 08/10/20. Total proceeds and cost reported to the IRS.							
	50.000	699.97	06/22/20	807.25	...	-107.28	1 of 2 - Sale <sup>25</sup>
	25.000	349.99	06/22/20	375.20	...	-25.21	2 of 2 - Sale <sup>25</sup>
08/10/20	75.000	1,049.96	Various	1,182.45	...	-132.49	Total of 2 transactions
09/28/20	50.000	652.05	09/23/20	601.80	...	50.25	Sale <sup>25</sup>
10/05/20	50.000	649.98	09/30/20	614.34	...	35.64	Sale <sup>25</sup>
10/23/20	50.000	637.61	10/15/20	607.30	...	30.31	Sale <sup>25</sup>
10/23/20	50.000	637.62	10/12/20	649.41	11.79 W	0.00	Sale <sup>25</sup>
11/09/20	50.000	701.98	10/26/20	600.79	...	101.19	Sale <sup>25</sup>
	<b>Security total:</b>	<b>8,485.47</b>		<b>8,477.94</b>	<b>289.31 W</b>	<b>296.84</b>	
ASTRAZENECA PLC AMERICAN DEPOS ITARY SHARES / CUSIP: 046353108 / Symbol:							
07/06/20	10.000	538.68	06/26/20	528.60	...	10.08	Sale <sup>25</sup>

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2020 1099-B\* OMB No. 1545-0715

(continued)

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AYTU BIOSCIENCE, INC. COMMON S TOCK / CUSIP: 054754700 / Symbol:							
03/12/20	200.000	319.98	03/11/20	343.44	...	-23.46	Sale <sup>25</sup>
BIGCOMMERCE HOLDINGS, INC. SER IES 1 COMMON STOCK / CUSIP: 08975P108 / Symbol:							
2 transactions for 08/28/20. Total proceeds and cost reported to the IRS.							
	5.000	689.98	08/27/20	717.45	27.47 W	0.00	1 of 2 - Sale <sup>25</sup>
	2.000	276.00	08/27/20	293.03	17.03 W	0.00	2 of 2 - Sale <sup>25</sup>
08/28/20	7.000	965.98	Various	1,010.48	44.50 W	0.00	Total of 2 transactions
09/01/20	2.000	238.02	08/28/20	278.47	20.23 W	-20.22	Sale <sup>25</sup>
4 transactions for 10/05/20. Total proceeds and cost reported to the IRS.							
	1.000	92.00	08/31/20	121.00	...	-29.00	1 of 4 - Sale <sup>25</sup>
	1.000	92.00	08/31/20	117.98	...	-25.98	2 of 4 - Sale <sup>25</sup>
	1.000	92.00	09/01/20	131.89	...	-39.89	3 of 4 - Sale <sup>25</sup>
	1.000	92.00	09/01/20	120.17	...	-28.17	4 of 4 - Sale <sup>25</sup>
10/05/20	4.000	368.00	Various	491.04	...	-123.04	Total of 4 transactions
	<b>Security total:</b>	<b>1,572.00</b>		<b>1,779.99</b>	<b>64.73 W</b>	<b>-143.26</b>	
BLUE APRON HOLDINGS, INC. CLAS S A COMMON STOCK / CUSIP: 09523Q200 / Symbol:							
10/02/20	50.000	340.82	10/01/20	342.24	1.42 W	0.00	Sale <sup>25</sup>
2 transactions for 11/23/20. Total proceeds and cost reported to the IRS.							
	50.000	345.49	10/15/20	341.15	...	4.34	1 of 2 - Sale <sup>25</sup>
	50.000	345.48	10/23/20	323.90	...	21.58	2 of 2 - Sale <sup>25</sup>
11/23/20	100.000	690.97	Various	665.05	...	25.92	Total of 2 transactions
11/30/20	50.000	393.50	11/23/20	343.63	...	49.87	Sale <sup>25</sup>
12/09/20	25.000	198.25	11/30/20	195.97	...	2.28	Sale <sup>25</sup>
2 transactions for 12/21/20. Total proceeds and cost reported to the IRS.							
	25.000	159.50	12/10/20	174.75	15.25 W	0.00	1 of 2 - Sale <sup>25</sup>
	25.000	159.50	12/11/20	175.75	16.25 W	0.00	2 of 2 - Sale <sup>25</sup>
12/21/20	50.000	319.00	Various	350.50	31.50 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,942.54</b>		<b>1,897.39</b>	<b>32.92 W</b>	<b>78.07</b>	

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2020 1099-B\* OMB No. 1545-0715

(continued)

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CLOUDFLARE, INC. CLASS A COMMO N STOCK, PAR VALUE \$0.001 PER SHARE / CUSIP: 18915M107 / Symbol:							
3 transactions for 06/02/20. Total proceeds and cost reported to the IRS.							
	15.000	445.07	05/26/20	420.28	...	24.79	1 of 3 - Sale <sup>25</sup>
	15.000	445.07	05/27/20	389.78	...	55.29	2 of 3 - Sale <sup>25</sup>
	20.000	593.43	05/29/20	564.89	...	28.54	3 of 3 - Sale <sup>25</sup>
06/02/20	50.000	1,483.57	Various	1,374.95	...	108.62	Total of 3 transactions
3 transactions for 06/04/20. Total proceeds and cost reported to the IRS.							
	10.000	287.18	06/03/20	301.56	14.38 W	0.00	1 of 3 - Sale <sup>25</sup>
	10.000	287.18	06/03/20	298.90	11.72 W	0.00	2 of 3 - Sale <sup>25</sup>
	10.000	287.18	06/03/20	299.15	11.97 W	0.00	3 of 3 - Sale <sup>25</sup>
06/04/20	30.000	861.54	Various	899.61	38.07 W	0.00	Total of 3 transactions
2 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	10.000	359.29	06/22/20	382.48	23.19 W	0.00	1 of 2 - Sale <sup>25</sup>
	5.000	179.64	06/22/20	189.91	10.27 W	0.00	2 of 2 - Sale <sup>25</sup>
06/23/20	15.000	538.93	Various	572.39	33.46 W	0.00	Total of 2 transactions
6 transactions for 07/10/20. Total proceeds and cost reported to the IRS.							
	5.000	205.49	06/22/20	189.91	...	15.58	1 of 6 - Sale <sup>25</sup>
	10.000	410.99	06/22/20	380.07	...	30.92	2 of 6 - Sale <sup>25</sup>
	5.000	205.50	06/25/20	191.67	...	13.83	3 of 6 - Sale <sup>25</sup>
	10.000	410.99	06/25/20	388.18	...	22.81	4 of 6 - Sale <sup>25</sup>
	10.000	410.99	06/25/20	362.80	...	48.19	5 of 6 - Sale <sup>25</sup>
	10.000	410.99	07/09/20	387.40	...	23.59	6 of 6 - Sale <sup>25</sup>
07/10/20	50.000	2,054.95	Various	1,900.03	...	154.92	Total of 6 transactions
4 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	10.000	389.89	07/13/20	384.40	...	5.49	1 of 4 - Sale <sup>25</sup>
	10.000	389.88	07/16/20	351.85	...	38.03	2 of 4 - Sale <sup>25</sup>
	7.000	272.79	07/24/20	265.95	...	6.84	3 of 4 - Sale <sup>25</sup>
	3.000	116.97	07/24/20	107.40	...	9.57	4 of 4 - Sale <sup>25</sup>
07/30/20	30.000	1,169.53	Various	1,109.60	...	59.93	Total of 4 transactions
5 transactions for 07/30/20. Total proceeds and cost reported to the IRS.							
	10.000	389.89	07/10/20	411.80	21.91 W	0.00	1 of 5 - Sale <sup>25</sup>
	10.000	389.89	07/10/20	412.90	23.01 W	0.00	2 of 5 - Sale <sup>25</sup>
	10.000	389.89	07/10/20	413.60	23.71 W	0.00	3 of 5 - Sale <sup>25</sup>

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Account 134233303

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**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
CLOUDFLARE, INC. CLASS A COMMO N STOCK, PAR VALUE \$0.001 PER SHARE / CUSIP: 18915M107 / Symbol: (cont'd)							
	10.000	389.89	07/10/20	407.80	17.91 W	0.00	4 of 5 - Sale <sup>25</sup>
	10.000	389.89	07/10/20	401.50	11.61 W	0.00	5 of 5 - Sale <sup>25</sup>
07/30/20	50.000	1,949.45	Various	2,047.60	98.15 W	0.00	Total of 5 transactions
	12 transactions for 08/06/20. Total proceeds and cost reported to the IRS.						
	3.000	125.63	07/30/20	130.71	5.08 W	0.00	1 of 12 - Sale <sup>25</sup>
	7.000	293.15	07/30/20	305.77	12.62 W	0.00	2 of 12 - Sale <sup>25</sup>
	2.000	83.76	07/31/20	87.74	3.98 W	0.00	3 of 12 - Sale <sup>25</sup>
	3.000	125.63	07/31/20	131.40	5.77 W	0.00	4 of 12 - Sale <sup>25</sup>
	5.000	209.39	07/31/20	221.21	11.82 W	0.00	5 of 12 - Sale <sup>25</sup>
	3.000	125.63	07/31/20	128.70	3.07 W	0.00	6 of 12 - Sale <sup>25</sup>
	7.000	293.15	07/31/20	296.25	3.10 W	0.00	7 of 12 - Sale <sup>25</sup>
	3.000	125.63	07/31/20	130.91	5.28 W	0.00	8 of 12 - Sale <sup>25</sup>
	7.000	293.15	07/31/20	301.04	7.89 W	0.00	9 of 12 - Sale <sup>25</sup>
	10.000	418.78	08/03/20	420.30	0.30 W	-1.22	10 of 12 - Sale <sup>25</sup>
	3.000	125.63	08/03/20	129.36	3.73 W	0.00	11 of 12 - Sale <sup>25</sup>
	7.000	293.15	08/03/20	293.72	0.57 W	0.00	12 of 12 - Sale <sup>25</sup>
08/06/20	60.000	2,512.68	Various	2,577.11	63.21 W	-1.22	Total of 12 transactions
	5 transactions for 08/12/20. Total proceeds and cost reported to the IRS.						
	7.000	274.88	08/07/20	305.15	...	-30.27	1 of 5 - Sale <sup>25</sup>
	3.000	117.81	08/07/20	130.45	...	-12.64	2 of 5 - Sale <sup>25</sup>
	5.000	196.34	08/10/20	197.55	...	-1.21	3 of 5 - Sale <sup>25</sup>
	2.000	78.54	08/10/20	78.27	...	0.27	4 of 5 - Sale <sup>25</sup>
	3.000	117.81	08/10/20	117.20	...	0.61	5 of 5 - Sale <sup>25</sup>
08/12/20	20.000	785.38	Various	828.62	...	-43.24	Total of 5 transactions
	4 transactions for 08/18/20. Total proceeds and cost reported to the IRS.						
	3.000	119.82	08/12/20	119.77	...	0.05	1 of 4 - Sale <sup>25</sup>
	7.000	279.58	08/12/20	275.40	...	4.18	2 of 4 - Sale <sup>25</sup>
	3.000	119.82	08/17/20	120.41	...	-0.59	3 of 4 - Sale <sup>25</sup>
	2.000	79.88	08/17/20	79.00	...	0.88	4 of 4 - Sale <sup>25</sup>
08/18/20	15.000	599.10	Various	594.58	...	4.52	Total of 4 transactions
	3 transactions for 08/26/20. Total proceeds and cost reported to the IRS.						
	4.000	159.85	08/19/20	163.54	...	-3.69	1 of 3 - Sale <sup>25</sup>
	1.000	39.86	08/19/20	40.89	...	-1.03	2 of 3 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 134233303

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**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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CLOUDFLARE, INC. CLASS A COMMON STOCK, PAR VALUE \$0.001 PER SHARE / CUSIP: 18915M107 / Symbol: (cont'd)							
	2.000	79.72	08/25/20	79.27	...	0.45	3 of 3 - Sale <sup>25</sup>
08/26/20	7.000	279.43	Various	283.70	...	-4.27	Total of 3 transactions
	3 transactions for 08/28/20. Total proceeds and cost reported to the IRS.						
	1.000	40.32	08/27/20	40.28	...	0.04	1 of 3 - Sale <sup>25</sup>
	2.000	80.63	08/27/20	78.37	...	2.26	2 of 3 - Sale <sup>25</sup>
	7.000	282.20	08/27/20	273.81	...	8.39	3 of 3 - Sale <sup>25</sup>
08/28/20	10.000	403.15	Various	392.46	...	10.69	Total of 3 transactions
10/16/20	5.000	302.50	10/14/20	306.44	...	-3.94	Sale <sup>25</sup>
	<b>Security total:</b>	<b>12,940.21</b>		<b>12,887.09</b>	<b>232.89 W</b>	<b>286.01</b>	
DIREXION DAILY GOLD MINERS IND EX BEAR 2X SHARES / CUSIP: 25460G880 / Symbol:							
12/21/20	10.000	195.80	12/17/20	187.70	...	8.10	Sale <sup>25</sup>
DRAFTKINGS INC. CLASS A COMMON STOCK / CUSIP: 26142R104 / Symbol:							
11/30/20	10.000	507.28	11/23/20	479.98	...	27.30	Sale <sup>25</sup>
	4 transactions for 12/08/20. Total proceeds and cost reported to the IRS.						
	10.000	458.29	11/23/20	479.98	21.69 W	0.00	1 of 4 - Sale <sup>25</sup>
	5.000	229.14	11/30/20	251.68	22.54 W	0.00	2 of 4 - Sale <sup>25</sup>
	5.000	229.14	12/01/20	253.30	24.16 W	0.00	3 of 4 - Sale <sup>25</sup>
	10.000	458.29	12/03/20	507.00	48.71 W	0.00	4 of 4 - Sale <sup>25</sup>
12/08/20	30.000	1,374.86	Various	1,491.96	117.10 W	0.00	Total of 4 transactions
12/21/20	10.000	523.49	12/09/20	518.15	...	5.34	Sale <sup>25</sup>
	3 transactions for 12/21/20. Total proceeds and cost reported to the IRS.						
	5.000	261.74	12/09/20	281.44	19.70 W	0.00	1 of 3 - Sale <sup>25</sup>
	5.000	261.75	12/10/20	270.99	9.24 W	0.00	2 of 3 - Sale <sup>25</sup>
	5.000	261.74	12/10/20	271.19	9.45 W	0.00	3 of 3 - Sale <sup>25</sup>
12/21/20	15.000	785.23	Various	823.62	38.39 W	0.00	Total of 3 transactions
	<b>Security total:</b>	<b>3,190.86</b>		<b>3,313.71</b>	<b>155.49 W</b>	<b>32.64</b>	
EASTMAN KODAK COMPANY / CUSIP: 277461406 / Symbol:							
11/13/20	25.000	172.50	11/09/20	171.06	...	1.44	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 134233303

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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FASTLY, INC. / CUSIP: 31188V100 / Symbol:							
<i>4 transactions for 06/02/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	470.89	05/26/20	400.15	...	70.74	1 of 4 - Sale <sup>25</sup>
	10.000	470.89	05/27/20	363.25	...	107.64	2 of 4 - Sale <sup>25</sup>
	10.000	470.89	05/29/20	420.10	...	50.79	3 of 4 - Sale <sup>25</sup>
	5.000	235.44	06/01/20	229.88	...	5.56	4 of 4 - Sale <sup>25</sup>
06/02/20	35.000	1,648.11	Various	1,413.38	...	234.73	Total of 4 transactions
<i>3 transactions for 06/05/20. Total proceeds and cost reported to the IRS.</i>							
	15.000	673.11	06/02/20	705.94	32.83 W	0.00	1 of 3 - Sale <sup>25</sup>
	10.000	448.74	06/03/20	484.30	35.56 W	0.00	2 of 3 - Sale <sup>25</sup>
	5.000	224.37	06/03/20	246.29	21.92 W	0.00	3 of 3 - Sale <sup>25</sup>
06/05/20	30.000	1,346.22	Various	1,436.53	90.31 W	0.00	Total of 3 transactions
06/22/20	15.000	1,053.27	06/19/20	981.62	...	71.65	Sale <sup>25</sup>
<i>4 transactions for 06/24/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	736.98	06/23/20	789.14	52.16 W	0.00	1 of 4 - Sale <sup>25</sup>
	5.000	368.49	06/23/20	402.42	33.93 W	0.00	2 of 4 - Sale <sup>25</sup>
	5.000	368.49	06/23/20	380.50	12.01 W	0.00	3 of 4 - Sale <sup>25</sup>
	10.000	736.99	06/23/20	784.85	47.86 W	0.00	4 of 4 - Sale <sup>25</sup>
06/24/20	30.000	2,210.95	Various	2,356.91	145.96 W	0.00	Total of 4 transactions
06/26/20	5.000	410.59	06/25/20	408.25	...	2.34	Sale <sup>25</sup>
<i>3 transactions for 06/26/20. Total proceeds and cost reported to the IRS.</i>							
	5.000	410.59	06/25/20	420.57	9.98 W	0.00	1 of 3 - Sale <sup>25</sup>
	10.000	821.18	06/25/20	825.43	4.25 W	0.00	2 of 3 - Sale <sup>25</sup>
	5.000	410.59	06/25/20	420.17	9.58 W	0.00	3 of 3 - Sale <sup>25</sup>
06/26/20	20.000	1,642.36	Various	1,666.17	23.81 W	0.00	Total of 3 transactions
<i>2 transactions for 06/29/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	801.98	06/29/20	875.62	73.64 W	0.00	1 of 2 - Sale <sup>25</sup>
	5.000	400.99	06/29/20	459.62	58.63 W	0.00	2 of 2 - Sale <sup>25</sup>
06/29/20	15.000	1,202.97	Various	1,335.24	132.27 W	0.00	Total of 2 transactions
<i>2 transactions for 07/01/20. Total proceeds and cost reported to the IRS.</i>							
	5.000	414.34	06/29/20	402.08	...	12.26	1 of 2 - Sale <sup>25</sup>
	5.000	414.34	06/29/20	401.68	...	12.66	2 of 2 - Sale <sup>25</sup>
07/01/20	10.000	828.68	Various	803.76	...	24.92	Total of 2 transactions

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Account 134233303

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2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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FASTLY, INC. / CUSIP: 31188V100 / Symbol: (cont'd)							
07/01/20	5.000	414.34	06/29/20	428.92	14.58 W	0.00	Sale <sup>25</sup>
	2 transactions for 07/08/20. Total proceeds and cost reported to the IRS.						
	5.000	461.69	07/01/20	442.21	...	19.48	1 of 2 - Sale <sup>25</sup>
	10.000	923.37	07/06/20	826.40	...	96.97	2 of 2 - Sale <sup>25</sup>
07/08/20	15.000	1,385.06	Various	1,268.61	...	116.45	Total of 2 transactions
	2 transactions for 07/08/20. Total proceeds and cost reported to the IRS.						
	5.000	461.69	07/01/20	464.46	2.77 W	0.00	1 of 2 - Sale <sup>25</sup>
	5.000	461.69	07/01/20	486.27	24.58 W	0.00	2 of 2 - Sale <sup>25</sup>
07/08/20	10.000	923.38	Various	950.73	27.35 W	0.00	Total of 2 transactions
	2 transactions for 07/10/20. Total proceeds and cost reported to the IRS.						
	5.000	486.65	07/09/20	475.27	...	11.38	1 of 2 - Sale <sup>25</sup>
	5.000	486.64	07/09/20	472.50	...	14.14	2 of 2 - Sale <sup>25</sup>
07/10/20	10.000	973.29	Various	947.77	...	25.52	Total of 2 transactions
	2 transactions for 07/10/20. Total proceeds and cost reported to the IRS.						
	5.000	486.64	07/09/20	497.08	10.44 W	0.00	1 of 2 - Sale <sup>25</sup>
	5.000	486.65	07/09/20	486.74	0.09 W	0.00	2 of 2 - Sale <sup>25</sup>
07/10/20	10.000	973.29	Various	983.82	10.53 W	0.00	Total of 2 transactions
07/30/20	10.000	923.83	07/13/20	870.09	...	53.74	Sale <sup>25</sup>
	3 transactions for 07/30/20. Total proceeds and cost reported to the IRS.						
	5.000	461.91	07/10/20	505.94	44.03 W	0.00	1 of 3 - Sale <sup>25</sup>
	5.000	461.91	07/10/20	495.58	33.67 W	0.00	2 of 3 - Sale <sup>25</sup>
	10.000	923.83	07/10/20	944.59	20.76 W	0.00	3 of 3 - Sale <sup>25</sup>
07/30/20	20.000	1,847.65	Various	1,946.11	98.46 W	0.00	Total of 3 transactions
	2 transactions for 07/31/20. Total proceeds and cost reported to the IRS.						
	5.000	473.79	07/16/20	436.33	...	37.46	1 of 2 - Sale <sup>25</sup>
	5.000	473.78	07/16/20	425.96	...	47.82	2 of 2 - Sale <sup>25</sup>
07/31/20	10.000	947.57	Various	862.29	...	85.28	Total of 2 transactions
08/03/20	10.000	1,022.31	07/31/20	934.26	...	88.05	Sale <sup>25</sup>
	2 transactions for 08/04/20. Total proceeds and cost reported to the IRS.						
	1.000	110.11	08/03/20	107.56	...	2.55	1 of 2 - Sale <sup>25</sup>
	9.000	981.29	08/03/20	968.06	...	13.23	2 of 2 - Sale <sup>25</sup>
08/04/20	10.000	1,091.40	Various	1,075.62	...	15.78	Total of 2 transactions

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(continued)

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FASTLY, INC. / CUSIP: 31188V100 / Symbol: (cont'd)							
<i>2 transactions for 08/07/20. Total proceeds and cost reported to the IRS.</i>							
	5.000	416.26	08/05/20	572.50	156.24 W	0.00	1 of 2 - Sale <sup>25</sup>
	5.000	416.26	08/06/20	467.00	50.74 W	0.00	2 of 2 - Sale <sup>25</sup>
08/07/20	10.000	832.52	Various	1,039.50	206.98 W	0.00	Total of 2 transactions
08/14/20	5.000	396.05	08/13/20	552.16	156.11 W	0.00	Sale <sup>25</sup>
08/19/20	5.000	404.65	08/17/20	444.94	40.29 W	0.00	Sale <sup>25</sup>
<i>2 transactions for 08/20/20. Total proceeds and cost reported to the IRS.</i>							
	5.000	410.60	08/19/20	551.96	141.36 W	0.00	1 of 2 - Sale <sup>25</sup>
	5.000	419.55	08/20/20	433.62	14.07 W	0.00	2 of 2 - Sale <sup>25</sup>
08/20/20	10.000	830.15	Various	985.58	155.43 W	0.00	Total of 2 transactions
<i>2 transactions for 08/25/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	178.78	08/21/20	234.94	56.16 W	0.00	1 of 2 - Sale <sup>25</sup>
	2.000	178.78	08/24/20	235.13	56.35 W	0.00	2 of 2 - Sale <sup>25</sup>
08/25/20	4.000	357.56	Various	470.07	112.51 W	0.00	Total of 2 transactions
08/27/20	1.000	93.24	08/26/20	91.62	...	1.62	Sale <sup>25</sup>
08/27/20	1.000	93.24	08/26/20	117.09	23.85 W	0.00	Sale <sup>25</sup>
<i>2 transactions for 09/01/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	195.43	08/27/20	193.53	...	1.90	1 of 2 - Sale <sup>25</sup>
	1.000	97.72	08/28/20	94.25	...	3.47	2 of 2 - Sale <sup>25</sup>
09/01/20	3.000	293.15	Various	287.78	...	5.37	Total of 2 transactions
<i>4 transactions for 09/01/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	195.44	08/28/20	196.13	0.69 W	0.00	1 of 4 - Sale <sup>25</sup>
	2.000	195.43	08/28/20	244.08	48.65 W	0.00	2 of 4 - Sale <sup>25</sup>
	1.000	97.72	08/28/20	118.10	20.38 W	0.00	3 of 4 - Sale <sup>25</sup>
	2.000	195.43	08/28/20	244.85	49.42 W	0.00	4 of 4 - Sale <sup>25</sup>
09/01/20	7.000	684.02	Various	803.16	119.14 W	0.00	Total of 4 transactions
<i>2 transactions for 09/21/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	87.90	09/09/20	83.10	...	4.80	1 of 2 - Sale <sup>25</sup>
	1.000	88.00	09/09/20	83.11	...	4.89	2 of 2 - Sale <sup>25</sup>
09/21/20	2.000	175.90	Various	166.21	...	9.69	Total of 2 transactions

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(continued)

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FASTLY, INC. / CUSIP: 31188V100 / Symbol: (cont'd)							
<i>3 transactions for 09/21/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	88.00	09/09/20	107.09	19.09 W	0.00	1 of 3 - Sale <sup>25</sup>
	1.000	87.90	09/11/20	101.89	13.99 W	0.00	2 of 3 - Sale <sup>25</sup>
	2.000	175.80	09/11/20	204.57	28.77 W	0.00	3 of 3 - Sale <sup>25</sup>
09/21/20	4.000	351.70	Various	413.55	61.85 W	0.00	Total of 3 transactions
<i>2 transactions for 09/23/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	92.74	09/22/20	109.44	...	-16.70	1 of 2 - Sale <sup>25</sup>
	1.000	92.73	09/22/20	103.05	...	-10.32	2 of 2 - Sale <sup>25</sup>
09/23/20	2.000	185.47	Various	212.49	...	-27.02	Total of 2 transactions
09/23/20	1.000	92.73	09/22/20	108.15	15.42 W	0.00	Sale <sup>25</sup>
<i>2 transactions for 09/24/20. Total proceeds and cost reported to the IRS.</i>							
	2.000	178.37	09/23/20	205.00	...	-26.63	1 of 2 - Sale <sup>25</sup>
	1.000	89.19	09/23/20	103.54	...	-14.35	2 of 2 - Sale <sup>25</sup>
09/24/20	3.000	267.56	Various	308.54	...	-40.98	Total of 2 transactions
12/03/20	10.000	824.98	12/01/20	806.30	...	18.68	Sale <sup>25</sup>
12/21/20	5.000	495.65	12/11/20	490.20	...	5.45	Sale <sup>25</sup>
	<b>Security total:</b>	<b>27,223.84</b>		<b>27,967.42</b>	<b>1,434.85 W</b>	<b>691.27</b>	
FORUM ENERGY TECHNOLOGIES, INC. / CUSIP: 34984V100 / Symbol:							
04/24/20	850.000	280.83	04/09/20	202.13	...	78.70	Sale <sup>25</sup>
04/30/20	300.000	137.96	04/24/20	96.03	...	41.93	Sale <sup>25</sup>
<i>2 transactions for 07/20/20. Total proceeds and cost reported to the IRS.</i>							
	80.000	45.97	06/25/20	51.20	...	-5.23	1 of 2 - Sale <sup>25</sup>
	20.000	11.49	06/25/20	14.54	...	-3.05	2 of 2 - Sale <sup>25</sup>
07/20/20	100.000	57.46	Various	65.74	...	-8.28	Total of 2 transactions
<i>3 transactions for 07/20/20. Total proceeds and cost reported to the IRS.</i>							
	200.000	101.98	06/19/20	135.98	34.00 W	0.00	1 of 3 - Sale <sup>25</sup>
	100.000	52.99	06/22/20	78.70	25.71 W	0.00	2 of 3 - Sale <sup>25</sup>
	20.000	11.49	06/24/20	13.60	2.11 W	0.00	3 of 3 - Sale <sup>25</sup>
07/20/20	320.000	166.46	Various	228.28	61.82 W	0.00	Total of 3 transactions

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Robinhood Securities LLC

Account 134233303

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**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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FORUM ENERGY TECHNOLOGIES, INC. / CUSIP: 34984V100 / Symbol: (cont'd)							
2 transactions for 08/20/20. Total proceeds and cost reported to the IRS.							
	80.000	45.75	08/05/20	63.15	17.40 W	0.00	1 of 2 - Sale <sup>25</sup>
	20.000	11.44	08/05/20	12.76	1.32 W	0.00	2 of 2 - Sale <sup>25</sup>
08/20/20	100.000	57.19	Various	75.91	18.72 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>699.90</b>		<b>668.09</b>	<b>80.54 W</b>	<b>112.35</b>	
FORUM ENERGY TECHNOLOGIES, INC. / CUSIP: 34984V209 / Symbol:							
4 transactions for 11/10/20. Total proceeds and cost reported to the IRS.							
	4.000	32.40	09/01/20	58.94	...	-26.54	1 of 4 - Sale <sup>25</sup>
	1.000	8.10	09/01/20	11.71	...	-3.61	2 of 4 - Sale <sup>25</sup>
	5.000	40.50	10/23/20	53.36	...	-12.86	3 of 4 - Sale <sup>25</sup>
	5.000	40.50	10/26/20	51.62	...	-11.12	4 of 4 - Sale <sup>25</sup>
11/10/20	15.000	121.50	Various	175.63	...	-54.13	Total of 4 transactions
INOVIO PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 45773H201 / Symbol:							
5 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	22.000	236.72	03/03/20	153.34	...	83.38	1 of 5 - Sale <sup>25</sup>
	22.000	236.71	03/03/20	149.60	...	87.11	2 of 5 - Sale <sup>25</sup>
	28.000	301.27	03/03/20	190.40	...	110.87	3 of 5 - Sale <sup>25</sup>
	40.000	430.38	03/03/20	275.60	...	154.78	4 of 5 - Sale <sup>25</sup>
	78.000	839.25	03/03/20	543.66	...	295.59	5 of 5 - Sale <sup>25</sup>
03/09/20	190.000	2,044.33	Various	1,312.60	...	731.73	Total of 5 transactions
03/09/20	100.000	879.97	03/09/20	1,190.99	311.02 W	0.00	Sale <sup>25</sup>
03/12/20	100.000	1,099.96	03/11/20	1,060.01	...	39.95	Sale <sup>25</sup>
06/25/20	30.000	878.09	06/25/20	782.40	...	95.69	Sale <sup>25</sup>
2 transactions for 06/29/20. Total proceeds and cost reported to the IRS.							
	20.000	536.26	06/26/20	595.09	...	-58.83	1 of 2 - Sale <sup>25</sup>
	10.000	268.13	06/26/20	292.00	...	-23.87	2 of 2 - Sale <sup>25</sup>
06/29/20	30.000	804.39	Various	887.09	...	-82.70	Total of 2 transactions
08/06/20	15.000	316.98	07/30/20	315.00	...	1.98	Sale <sup>25</sup>
	<b>Security total:</b>	<b>6,023.72</b>		<b>5,548.09</b>	<b>311.02 W</b>	<b>786.65</b>	

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Robinhood Securities LLC

Account 134233303

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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JUMIA TECHNOLOGIES AG / CUSIP: 48138M105 / Symbol:							
2 transactions for 08/07/20. Total proceeds and cost reported to the IRS.							
	10.000	179.40	08/04/20	176.85	...	2.55	1 of 2 - Sale <sup>25</sup>
	10.000	179.39	08/05/20	171.10	...	8.29	2 of 2 - Sale <sup>25</sup>
08/07/20	20.000	358.79	Various	347.95	...	10.84	Total of 2 transactions
08/07/20	10.000	179.39	08/04/20	193.45	14.06 W	0.00	Sale <sup>25</sup>
08/26/20	10.000	101.71	08/25/20	115.66	...	-13.95	Sale <sup>25</sup>
	<b>Security total:</b>	<b>639.89</b>		<b>657.06</b>	<b>14.06 W</b>	<b>-3.11</b>	
LEMONADE, INC. / CUSIP: 52567D107 / Symbol:							
4 transactions for 10/05/20. Total proceeds and cost reported to the IRS.							
	5.000	264.74	08/28/20	297.00	...	-32.26	1 of 4 - Sale <sup>25</sup>
	5.000	264.74	08/28/20	292.43	...	-27.69	2 of 4 - Sale <sup>25</sup>
	10.000	529.49	09/01/20	571.90	...	-42.41	3 of 4 - Sale <sup>25</sup>
	10.000	529.49	09/09/20	493.80	...	35.69	4 of 4 - Sale <sup>25</sup>
10/05/20	30.000	1,588.46	Various	1,655.13	...	-66.67	Total of 4 transactions
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
03/30/20	5.000	801.98	03/10/20	770.00	...	31.98	Sale <sup>25</sup>
MICRON TECHNOLOGY, INC. COMMON STOCK / CUSIP: 595112103 / Symbol:							
3 transactions for 06/05/20. Total proceeds and cost reported to the IRS.							
	20.000	1,079.97	06/02/20	936.80	...	143.17	1 of 3 - Sale <sup>25</sup>
	20.000	1,079.98	06/02/20	931.17	...	148.81	2 of 3 - Sale <sup>25</sup>
	10.000	539.99	06/03/20	480.28	...	59.71	3 of 3 - Sale <sup>25</sup>
06/05/20	50.000	2,699.94	Various	2,348.25	...	351.69	Total of 3 transactions
2 transactions for 06/11/20. Total proceeds and cost reported to the IRS.							
	25.000	1,242.97	06/08/20	1,320.46	77.49 W	0.00	1 of 2 - Sale <sup>25</sup>
	10.000	497.19	06/10/20	519.09	10.95 W	-10.95	2 of 2 - Sale <sup>25</sup>
06/11/20	35.000	1,740.16	Various	1,839.55	88.44 W	-10.95	Total of 2 transactions
2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	25.000	1,247.97	07/08/20	1,312.49	...	-64.52	1 of 2 - Sale <sup>25</sup>
	5.000	249.59	07/08/20	257.95	...	-8.36	2 of 2 - Sale <sup>25</sup>
07/09/20	30.000	1,497.56	Various	1,570.44	...	-72.88	Total of 2 transactions

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Account 134233303

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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MICRON TECHNOLOGY, INC. COMMON STOCK / CUSIP: 595112103 / Symbol: (cont'd)							
<b>Security total:</b>		<b>5,937.66</b>		<b>5,758.24</b>		<b>88.44 W</b>	<b>267.86</b>
MOGO INC. COMMON SHARES / CUSIP: 60800C109 / Symbol:							
2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	50.000	99.99	07/31/20	107.50	...	-7.51	1 of 2 - Sale <sup>25</sup>
	50.000	100.00	07/31/20	106.25	...	-6.25	2 of 2 - Sale <sup>25</sup>
08/03/20	100.000	199.99	Various	213.75	...	-13.76	Total of 2 transactions
NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol:							
06/12/20	10.000	640.98	06/10/20	655.35	14.37 W	0.00	Sale <sup>25</sup>
2 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	5.000	284.99	07/08/20	269.31	...	15.68	1 of 2 - Sale <sup>25</sup>
	10.000	569.99	07/08/20	553.00	...	16.99	2 of 2 - Sale <sup>25</sup>
07/09/20	15.000	854.98	Various	822.31	...	32.67	Total of 2 transactions
08/04/20	10.000	375.70	08/03/20	364.10	...	11.60	Sale <sup>25</sup>
08/28/20	10.000	410.00	08/19/20	429.15	...	-19.15	Sale <sup>25</sup>
11/23/20	10.000	274.22	11/19/20	257.78	...	16.44	Sale <sup>25</sup>
<b>Security total:</b>		<b>2,555.88</b>		<b>2,528.69</b>	<b>14.37 W</b>	<b>41.56</b>	
OASIS PETROLEUM INC. COMMON ST OCK / CUSIP: 674215108 / Symbol:							
08/05/20	6.000	5.33	07/07/20	4.28	...	1.05	Sale <sup>25</sup>
OVERSTOCK.COM, INC. COMMON STO CK / CUSIP: 690370101 / Symbol:							
3 transactions for 12/11/20. Total proceeds and cost reported to the IRS.							
	5.000	280.00	08/28/20	500.70	...	-220.70	1 of 3 - Sale <sup>25</sup>
	2.000	112.00	08/28/20	199.88	...	-87.88	2 of 3 - Sale <sup>25</sup>
	1.000	56.00	08/28/20	96.81	...	-40.81	3 of 3 - Sale <sup>25</sup>
12/11/20	8.000	448.00	Various	797.39	...	-349.39	Total of 3 transactions

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## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

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OVID THERAPEUTICS INC. COMMON STOCK / CUSIP: 690469101 / Symbol:							
3 transactions for 08/20/20. Total proceeds and cost reported to the IRS.							
	10.000	82.20	08/19/20	82.70	...	-0.50	1 of 3 - Sale <sup>25</sup>
	25.000	205.50	08/19/20	205.25	...	0.25	2 of 3 - Sale <sup>25</sup>
	10.000	82.20	08/19/20	81.80	...	0.40	3 of 3 - Sale <sup>25</sup>
08/20/20	45.000	369.90	Various	369.75	...	0.15	Total of 3 transactions
PFIZER INC. / CUSIP: 717081103 / Symbol:							
07/06/20	10.000	346.33	07/01/20	342.40	...	3.93	Sale <sup>25</sup>
2 transactions for 12/02/20. Total proceeds and cost reported to the IRS.							
	2.000	81.16	11/09/20	78.80	...	2.36	1 of 2 - Sale <sup>25</sup>
	18.000	730.42	11/09/20	709.20	...	21.22	2 of 2 - Sale <sup>25</sup>
12/02/20	20.000	811.58	Various	788.00	...	23.58	Total of 2 transactions
12/09/20	20.000	848.78	12/03/20	816.35	...	32.43	Sale <sup>25</sup>
12/09/20	10.000	424.39	12/08/20	427.28	2.89 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,431.08</b>		<b>2,374.03</b>	<b>2.89 W</b>	<b>59.94</b>	
PHUNWARE, INC. COMMON STOCK / CUSIP: 71948P100 / Symbol:							
2 transactions for 08/17/20. Total proceeds and cost reported to the IRS.							
	150.000	207.74	08/14/20	209.25	...	-1.51	1 of 2 - Sale <sup>25</sup>
	50.000	69.24	08/14/20	67.25	...	1.99	2 of 2 - Sale <sup>25</sup>
08/17/20	200.000	276.98	Various	276.50	...	0.48	Total of 2 transactions
PING IDENTITY HOLDING CORP. / CUSIP: 72341T103 / Symbol:							
08/13/20	25.000	817.48	08/12/20	835.25	7.11 W	-10.66	Sale <sup>25</sup>
08/14/20	10.000	323.83	08/13/20	325.11	...	-1.28	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,141.31</b>		<b>1,160.36</b>	<b>7.11 W</b>	<b>-11.94</b>	
REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K102 / Symbol:							
06/04/20	250.000	739.95	06/04/20	770.00	...	-30.05	Sale <sup>25</sup>

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SLACK TECHNOLOGIES, INC. / CUSIP: 83088V102 / Symbol:							
3 transactions for 06/12/20. Total proceeds and cost reported to the IRS.							
	40.000	1,188.53	06/03/20	1,549.52	...	-360.99	1 of 3 - Sale <sup>25</sup>
	10.000	297.13	06/04/20	389.66	...	-92.53	2 of 3 - Sale <sup>25</sup>
	49.000	1,455.95	06/08/20	1,549.38	...	-93.43	3 of 3 - Sale <sup>25</sup>
06/12/20	99.000	2,941.61	Various	3,488.56	...	-546.95	Total of 3 transactions
SPIRIT AIRLINES, INC. / CUSIP: 848577102 / Symbol:							
3 transactions for 03/25/20. Total proceeds and cost reported to the IRS.							
	1.000	17.60	03/12/20	15.00	...	2.60	1 of 3 - Sale <sup>25</sup>
	49.000	862.37	03/12/20	735.00	...	127.37	2 of 3 - Sale <sup>25</sup>
	40.000	703.98	03/13/20	580.00	...	123.98	3 of 3 - Sale <sup>25</sup>
03/25/20	90.000	1,583.95	Various	1,330.00	...	253.95	Total of 3 transactions
04/09/20	50.000	702.99	04/07/20	600.00	...	102.99	Sale <sup>25</sup>
4 transactions for 05/26/20. Total proceeds and cost reported to the IRS.							
	50.000	605.49	05/07/20	489.00	...	116.49	1 of 4 - Sale <sup>25</sup>
	50.000	605.48	05/12/20	504.50	...	100.98	2 of 4 - Sale <sup>25</sup>
	50.000	605.49	05/13/20	448.13	...	157.36	3 of 4 - Sale <sup>25</sup>
	50.000	605.48	05/13/20	416.94	...	188.54	4 of 4 - Sale <sup>25</sup>
05/26/20	200.000	2,421.94	Various	1,858.57	...	563.37	Total of 4 transactions
06/02/20	100.000	1,435.08	05/29/20	1,267.99	...	167.09	Sale <sup>25</sup>
07/16/20	75.000	1,367.20	06/19/20	1,421.63	...	-54.43	Sale <sup>25</sup>
	<b>Security total:</b>	<b>7,511.16</b>		<b>6,478.19</b>	...	<b>1,032.97</b>	
SUPERIOR INDUSTRIES INTERNATIONAL, INC. / CUSIP: 868168105 / Symbol:							
08/18/20	300.000	530.94	08/17/20	567.00	...	-36.06	Sale <sup>25</sup>
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
04/14/20	1.000	725.85	03/10/20	632.35	...	93.50	Sale <sup>25</sup>
TEVA PHARMACEUTICAL INDUSTRIES LIMITED AMERICAN DEPOSITARY SHARES / CUSIP: 881624209 / Symbol:							
03/03/20	15.000	169.65	02/28/20	225.80	...	-56.15	Sale <sup>25</sup>
2 transactions for 03/03/20. Total proceeds and cost reported to the IRS.							
	15.000	169.38	04/16/19	219.90	50.52 W	0.00	1 of 2 - Sale <sup>25</sup>

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2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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TEVA PHARMACEUTICAL INDUSTRIES LIMITED AMERICAN DEPOSITARY SHARES / CUSIP: 881624209 / Symbol: (cont'd)							
	30.000	338.76	05/14/19	369.00	30.24 W	0.00	2 of 2 - Sale <sup>25</sup>
03/03/20	45.000	508.14	Various	588.90	80.76 W	0.00	Total of 2 transactions
05/07/20	30.000	343.21	02/28/20	380.79	...	-37.58	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,021.00</b>		<b>1,195.49</b>	<b>80.76 W</b>	<b>-93.73</b>	
TILRAY, INC. CLASS 2 COMMON STOCK / CUSIP: 88688T100 / Symbol:							
10/07/20	50.000	253.78	10/05/20	252.43	...	1.35	Sale <sup>25</sup>
TWILIO INC. / CUSIP: 90138F102 / Symbol:							
08/26/20	5.000	1,317.47	08/06/20	1,404.93	...	-87.46	Sale <sup>25</sup>
	2 transactions for 08/26/20. Total proceeds and cost reported to the IRS.						
	5.000	1,290.72	08/05/20	1,385.00	94.28 W	0.00	1 of 2 - Sale <sup>25</sup>
	5.000	1,305.22	08/05/20	1,385.00	79.78 W	0.00	2 of 2 - Sale <sup>25</sup>
08/26/20	10.000	2,595.94	Various	2,770.00	174.06 W	0.00	Total of 2 transactions
08/28/20	5.000	1,323.78	08/27/20	1,388.09	...	-64.31	Sale <sup>25</sup>
	<b>Security total:</b>	<b>5,237.19</b>		<b>5,563.02</b>	<b>174.06 W</b>	<b>-151.77</b>	
UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
06/09/20	50.000	1,395.97	06/08/20	1,435.00	...	-39.03	Sale <sup>25</sup>
VECTOIQ ACQUISITION CORP. COMMON STOCK / CUSIP: 92243N103 / Symbol:							
	5 transactions for 06/02/20. Total proceeds and cost reported to the IRS.						
	20.000	641.98	06/01/20	637.60	...	4.38	1 of 5 - Sale <sup>25</sup>
	25.000	775.23	06/02/20	938.77	...	-163.54	2 of 5 - Sale <sup>25</sup>
	13.000	403.12	06/02/20	431.73	...	-28.61	3 of 5 - Sale <sup>25</sup>
	7.000	217.00	06/02/20	232.47	...	-15.47	4 of 5 - Sale <sup>25</sup>
	5.000	155.05	06/02/20	168.45	...	-13.40	5 of 5 - Sale <sup>25</sup>
06/02/20	70.000	2,192.38	Various	2,409.02	...	-216.64	Total of 5 transactions
	2 transactions for 06/02/20. Total proceeds and cost reported to the IRS.						
	5.000	160.50	06/01/20	162.90	2.40 W	0.00	1 of 2 - Sale <sup>25</sup>
	25.000	802.48	06/02/20	911.00	108.52 W	0.00	2 of 2 - Sale <sup>25</sup>
06/02/20	30.000	962.98	Various	1,073.90	110.92 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>3,155.36</b>		<b>3,482.92</b>	<b>110.92 W</b>	<b>-216.64</b>	

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Robinhood Securities LLC

Account 134233303

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**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
VIATRIS INC. COMMON STOCK / CUSIP: 92556V106 / Symbol:							
2 transactions for 11/17/20. Total proceeds and cost reported to the IRS.							
	0.248	4.34	11/09/20	0.00	...	4.34	1 of 2 - Sale <sup>25</sup>
	1.752	30.66	11/09/20	0.00	...	30.66	2 of 2 - Sale <sup>25</sup>
11/17/20	2.000	35.00	Various	0.00	...	35.00	Total of 2 transactions
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol:							
9 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	5.000	90.00	08/26/20	89.31	...	0.69	1 of 9 - Sale <sup>25</sup>
	1.000	18.00	08/26/20	17.23	...	0.77	2 of 9 - Sale <sup>25</sup>
	5.000	90.00	08/26/20	88.56	...	1.44	3 of 9 - Sale <sup>25</sup>
	5.000	90.00	08/26/20	88.55	...	1.45	4 of 9 - Sale <sup>25</sup>
	2.000	36.00	08/26/20	34.47	...	1.53	5 of 9 - Sale <sup>25</sup>
	2.000	36.00	08/26/20	34.46	...	1.54	6 of 9 - Sale <sup>25</sup>
	15.000	269.99	08/26/20	257.85	...	12.14	7 of 9 - Sale <sup>25</sup>
	10.000	179.99	08/27/20	168.92	...	11.07	8 of 9 - Sale <sup>25</sup>
	40.000	719.97	08/27/20	674.00	...	45.97	9 of 9 - Sale <sup>25</sup>
08/31/20	85.000	1,529.95	Various	1,453.35	...	76.60	Total of 9 transactions
5 transactions for 08/31/20. Total proceeds and cost reported to the IRS.							
	20.000	359.99	08/26/20	376.82	16.83 W	0.00	1 of 5 - Sale <sup>25</sup>
	10.000	179.99	08/26/20	184.30	4.31 W	0.00	2 of 5 - Sale <sup>25</sup>
	15.000	270.00	08/26/20	281.42	11.42 W	0.00	3 of 5 - Sale <sup>25</sup>
	5.000	90.00	08/26/20	93.36	3.36 W	0.00	4 of 5 - Sale <sup>25</sup>
	15.000	269.99	08/26/20	270.62	0.63 W	0.00	5 of 5 - Sale <sup>25</sup>
08/31/20	65.000	1,169.97	Various	1,206.52	36.55 W	0.00	Total of 5 transactions
2 transactions for 09/01/20. Total proceeds and cost reported to the IRS.							
	7.000	130.94	08/31/20	124.63	...	6.31	1 of 2 - Sale <sup>25</sup>
	43.000	804.08	08/31/20	765.62	...	38.46	2 of 2 - Sale <sup>25</sup>
09/01/20	50.000	935.02	Various	890.25	...	44.77	Total of 2 transactions
2 transactions for 09/02/20. Total proceeds and cost reported to the IRS.							
	10.000	199.50	09/01/20	190.90	...	8.60	1 of 2 - Sale <sup>25</sup>
	10.000	199.50	09/01/20	185.79	...	13.71	2 of 2 - Sale <sup>25</sup>
09/02/20	20.000	399.00	Various	376.69	...	22.31	Total of 2 transactions
09/04/20	25.000	462.48	09/02/20	458.50	...	3.98	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 134233303

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**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
WORKHORSE GROUP, INC. COMMON S TOCK / CUSIP: 98138J206 / Symbol: (cont'd)							
09/04/20	25.000	462.49	09/02/20	468.00	2.20 W	-3.31	Sale <sup>25</sup>
09/08/20	10.000	194.91	09/04/20	185.70	...	9.21	Sale <sup>25</sup>
	4 transactions for 11/23/20. Total proceeds and cost reported to the IRS.						
	10.000	273.27	10/14/20	228.98	...	44.29	1 of 4 - Sale <sup>25</sup>
	10.000	273.27	10/15/20	220.92	...	52.35	2 of 4 - Sale <sup>25</sup>
	2.000	54.65	11/19/20	46.50	...	8.15	3 of 4 - Sale <sup>25</sup>
	3.000	81.98	11/19/20	69.75	...	12.23	4 of 4 - Sale <sup>25</sup>
11/23/20	25.000	683.17	Various	566.15	...	117.02	Total of 4 transactions
	4 transactions for 12/07/20. Total proceeds and cost reported to the IRS.						
	8.000	168.00	11/23/20	221.80	53.80 W	0.00	1 of 4 - Sale <sup>25</sup>
	2.000	42.00	11/23/20	55.45	13.45 W	0.00	2 of 4 - Sale <sup>25</sup>
	8.000	168.00	11/24/20	258.19	90.19 W	0.00	3 of 4 - Sale <sup>25</sup>
	2.000	42.00	11/24/20	51.10	9.10 W	0.00	4 of 4 - Sale <sup>25</sup>
12/07/20	20.000	420.00	Various	586.54	166.54 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>6,256.99</b>		<b>6,191.70</b>	<b>205.29 W</b>	<b>270.58</b>	
XPENG INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TWO CLASS A ORDINARY SHARES / CUSIP: 98422D105 / Symbol:							
11/19/20	20.000	933.77	11/16/20	890.70	...	43.07	Sale <sup>25</sup>
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y180 / Symbol:							
	2 transactions for 08/20/20. Total proceeds and cost reported to the IRS.						
	250.000	382.80	08/20/20	366.50	...	16.30	1 of 2 - Sale <sup>25</sup>
	250.000	422.80	08/20/20	366.50	...	56.30	2 of 2 - Sale <sup>25</sup>
08/20/20	500.000	805.60	Various	733.00	...	72.60	Total of 2 transactions
<b>Totals :</b>		<b>118,771.81</b>		<b>122,082.15</b>	<b>3,499.77 W</b>	<b>189.43</b>	

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Robinhood Securities LLC

Account 134233303

**Proceeds from Broker and Barter Exchange Transactions**

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
TEVA PHARMACEUTICAL INDUSTRIES LIMITED AMERICAN DEPOSITARY S HARES / CUSIP: 881624209 / Symbol:							
03/03/20	15.000	169.65	02/28/20	335.45	...	-165.80	Sale <sup>25</sup>
03/03/20	15.000	169.38	11/29/18	329.55	160.17 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>339.03</b>		<b>665.00</b>	<b>160.17 W</b>	<b>-165.80</b>	
<b>Totals :</b>		<b>339.03</b>		<b>665.00</b>	<b>160.17 W</b>	<b>-165.80</b>	

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

Robinhood Securities LLC

Account 134233303

**Proceeds Not Reported to the IRS**

2020

02/14/2021

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
VIATRIS INC. COMMON STOCK / CUSIP: 92556V106 / Symbol: 11/23/20	0.482	7.41	11/09/20	0.00	...	7.41	Gain or loss
<b>Totals:</b>		<b>7.41</b>		<b>0.00</b>	...	<b>7.41</b>	

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

Report on Form 8949, Part II, with Box F 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
GROUPON, INC. COMMON STOCK / CUSIP: 399473206 / Symbol: 06/18/20	0.050	1.05	06/08/18	4.65	...	-3.60	Gain or loss
T-MOBILE US, INC. COMMON STOCK / CUSIP: 872590104 / Symbol: 04/06/20	0.103	8.93	12/15/17	5.64	...	3.29	Gain or loss
<b>Totals:</b>		<b>9.98</b>		<b>10.29</b>	...	<b>-0.31</b>	

Robinhood Securities LLC

Account 134233303

## Non-Reportable Actions

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
SPRINT CORPORATION	85207U105	04/01/20	-1.00	0.00	Merger	
VIATRIS INC. COMMON STOCK	92556V106	11/17/20	2.00	0.00	Stock spinoff	

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.

**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.

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

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

**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)

**Instructions for Recipient**

(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.

**Box 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).

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