

<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 462389008</b>	Statement Date: 02/11/2022 Document ID: H75R UV0 977T	2021
	Suresh Chitla 4391 N O'Connor Rd 4391 Irving, TX 75038  RECIPIENT'S TIN: XXX-XX-5835		

**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)      7.77</p> <p>1b- Qualified dividends      7.77</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)	65,938.62	75,279.14	0.00	398.06	-8,942.46
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)	14.86	18.25	0.00	0.00	-3.39
	<b>Total Short-term</b>	<b>65,953.48</b>	<b>75,297.39</b>	<b>0.00</b>	<b>398.06</b>	<b>-8,945.85</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>65,953.48</b>	<b>75,297.39</b>	<b>0.00</b>	<b>398.06</b>	<b>-8,945.85</b>

Withholding	Amount
Federal income tax withheld	0.00

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

Robinhood Securities LLC

Account 462389008

**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	82.10
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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**Proceeds from Broker and Barter Exchange Transactions**

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

02/11/2022

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 For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMC 12/10/2021 CALL \$32.00 / CUSIP: / Symbol:							
2 transactions for 12/10/21. Total proceeds and cost reported to the IRS.							
	1.000	0.00	12/09/21	75.00	...	-75.00	1 of 2 - Option expiration- long call
	1.000	0.00	12/09/21	75.00	...	-75.00	2 of 2 - Option expiration- long call
12/10/21	2.000	0.00	Various	150.00	...	-150.00	Total of 2 transactions
BBIG 09/17/2021 CALL \$9.00 / CUSIP: / Symbol:							
09/08/21	1.000	389.98	08/30/21	310.00	...	79.98	Option sale to close-call <sup>25</sup>
CCL 07/30/2021 CALL \$24.00 / CUSIP: / Symbol:							
2 transactions for 07/30/21. Total proceeds and cost reported to the IRS.							
	7.000	0.00	07/21/21	329.00	...	-329.00	1 of 2 - Option expiration- long call
	3.000	0.00	07/21/21	141.00	...	-141.00	2 of 2 - Option expiration- long call
07/30/21	10.000	0.00	Various	470.00	...	-470.00	Total of 2 transactions

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

**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
CLOV 01/21/2022 CALL \$8.00 / CUSIP: / Symbol:							
2 transactions for 11/18/21. Total proceeds and cost reported to the IRS.							
	1.000	34.98	11/18/21	35.00	...	-0.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	35.98	11/18/21	35.00	...	0.98	2 of 2 - Option sale to close-call <sup>25</sup>
11/18/21	2.000	70.96	Various	70.00	...	0.96	Total of 2 transactions
CLOV 09/24/2021 CALL \$10.50 / CUSIP: / Symbol:							
09/24/21	5.000	0.00	09/08/21	380.00	...	-380.00	Option expiration- long call
CLOV 10/15/2021 CALL \$8.50 / CUSIP: / Symbol:							
10/15/21	8.000	0.00	10/14/21	144.00	...	-144.00	Option expiration- long call
DLPN 09/17/2021 CALL \$15.00 / CUSIP: / Symbol:							
09/17/21	2.000	0.00	08/26/21	290.00	...	-290.00	Option expiration- long call
EDU 08/20/2021 CALL \$2.50 / CUSIP: / Symbol:							
2 transactions for 08/10/21. Total proceeds and cost reported to the IRS.							
	5.000	74.98	07/30/21	175.00	...	-100.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	14.98	07/30/21	35.00	...	-20.02	2 of 2 - Option sale to close-call <sup>25</sup>
08/10/21	6.000	89.96	Various	210.00	...	-120.04	Total of 2 transactions
ENG 07/16/2021 CALL \$5.00 / CUSIP: / Symbol:							
06/24/21	1.000	34.98	06/23/21	30.00	...	4.98	Option sale to close-call <sup>25</sup>
GOTU 09/17/2021 CALL \$3.00 / CUSIP: / Symbol:							
09/17/21	4.000	0.00	09/14/21	40.00	...	-40.00	Option expiration- long call
HOOD 08/20/2021 CALL \$55.00 / CUSIP: / Symbol:							
2 transactions for 08/20/21. Total proceeds and cost reported to the IRS.							
	1.000	0.00	08/16/21	75.00	...	-75.00	1 of 2 - Option expiration- long call
	1.000	0.00	08/16/21	75.00	...	-75.00	2 of 2 - Option expiration- long call
08/20/21	2.000	0.00	Various	150.00	...	-150.00	Total of 2 transactions

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

**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
HOOD 10/22/2021 CALL \$50.00 / CUSIP: / Symbol:							
3 transactions for 10/22/21. Total proceeds and cost reported to the IRS.							
	7.000	0.00	10/20/21	35.00	...	-35.00	1 of 3 - Option expiration- long call
	6.000	0.00	10/20/21	30.00	...	-30.00	2 of 3 - Option expiration- long call
	2.000	0.00	10/20/21	10.00	...	-10.00	3 of 3 - Option expiration- long call
10/22/21	15.000	0.00	Various	75.00	...	-75.00	Total of 3 transactions
IGC 09/17/2021 CALL \$2.00 / CUSIP: / Symbol:							
09/17/21	34.000	0.00	09/08/21	170.00	...	-170.00	Option expiration- long call
PLTR 09/17/2021 CALL \$25.50 / CUSIP: / Symbol:							
2 transactions for 09/10/21. Total proceeds and cost reported to the IRS.							
	1.000	117.99	08/24/21	105.00	...	12.99	1 of 2 - Option sale to close-call <sup>25</sup>
	3.000	353.99	08/24/21	315.00	...	38.99	2 of 2 - Option sale to close-call <sup>25</sup>
09/10/21	4.000	471.98	Various	420.00	...	51.98	Total of 2 transactions
SIEB 09/17/2021 CALL \$5.00 / CUSIP: / Symbol:							
09/17/21	3.000	0.00	08/23/21	150.00	...	-150.00	Option expiration- long call
SOS 06/11/2021 CALL \$4.00 / CUSIP: / Symbol:							
06/11/21	1.000	0.00	06/07/21	18.00	...	-18.00	Option expiration- long call
SPCE 07/02/2021 CALL \$52.00 / CUSIP: / Symbol:							
07/02/21	1.000	0.00	06/29/21	248.00	...	-248.00	Option expiration- long call
SSYS 11/05/2021 CALL \$45.00 / CUSIP: / Symbol:							
11/05/21	6.000	0.00	11/04/21	180.00	...	-180.00	Option expiration- long call
TAL 09/17/2021 CALL \$5.50 / CUSIP: / Symbol:							
09/17/21	50.000	0.00	09/13/21	500.00	...	-500.00	Option expiration- long call
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
11/17/21	50.000	2,117.56	08/10/21	1,805.00	...	312.56	Sale <sup>25</sup>
AGENUS INC. COMMON STOCK / CUSIP: 00847G705 / Symbol:							
02/19/21	1.000	4.51	02/04/21	4.40	...	0.11	Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ATHENEX, INC. COMMON STOCK / CUSIP: 04685N103 / Symbol:							
2 transactions for 05/21/21. Total proceeds and cost reported to the IRS.							
	43.000	209.41	03/01/21	245.10	...	-35.69	1 of 2 - Sale <sup>25</sup>
	7.000	34.09	03/01/21	39.90	...	-5.81	2 of 2 - Sale <sup>25</sup>
05/21/21	50.000	243.50	Various	285.00	...	-41.50	Total of 2 transactions
AYTU BIOPHARMA, INC. COMMON STOCK / CUSIP: 054754874 / Symbol:							
04/15/21	10.000	66.50	02/09/21	93.75	...	-27.25	Sale <sup>25</sup>
BOWX ACQUISITION CORP. CLASS A COMMON STOCK / CUSIP: 103085106 / Symbol:							
05/04/21	40.000	476.40	03/26/21	409.20	...	67.20	Sale <sup>25</sup>
CAMBER ENERGY, INC / CUSIP: 13200M508 / Symbol:							
08/19/21	4,999.000	1,849.02	08/16/21	1,999.60	...	-150.58	Sale <sup>25</sup>
08/19/21	11.000	4.07	08/16/21	4.40	0.03 W	-0.30	Sale <sup>25</sup>
	<b>Security total:</b>	<b>1,853.09</b>		<b>2,004.00</b>	<b>0.03 W</b>	<b>-150.88</b>	
CARLOTZ, INC. CLASS A COMMON STOCK / CUSIP: 142552108 / Symbol:							
2 transactions for 12/02/21. Total proceeds and cost reported to the IRS.							
	546.000	1,524.14	11/01/21	2,128.36	...	-604.22	1 of 2 - Sale <sup>25</sup>
	0.595	1.66	11/01/21	2.32	...	-0.66	2 of 2 - Sale <sup>25</sup>
12/02/21	546.595	1,525.80	Various	2,130.68	...	-604.88	Total of 2 transactions
CARNIVAL CORPORATION / CUSIP: 143658300 / Symbol:							
08/06/21	100.000	2,279.97	07/21/21	2,280.00	...	-0.03	Sale <sup>25</sup>
CHURCHILL CAPITAL CORP IV / CUSIP: 171439102 / Symbol:							
2 transactions for 05/11/21. Total proceeds and cost reported to the IRS.							
	9.000	166.68	02/23/21	324.00	...	-157.32	1 of 2 - Sale <sup>25</sup>
	10.000	185.20	03/03/21	250.00	...	-64.80	2 of 2 - Sale <sup>25</sup>
05/11/21	19.000	351.88	Various	574.00	...	-222.12	Total of 2 transactions
CLARUS THERAPEUTICS HOLDINGS, INC. COMMON STOCK / CUSIP: 18271L107 / Symbol:							
3 transactions for 11/15/21. Total proceeds and cost reported to the IRS.							
	11.672	52.29	08/26/21	128.97	...	-76.68	1 of 3 - Sale <sup>25</sup>
	10.000	44.80	08/26/21	110.50	...	-65.70	2 of 3 - Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CLARUS THERAPEUTICS HOLDINGS, INC. COMMON STOCK / CUSIP: 18271L107 / Symbol: (cont'd)							
	7.780	33.77	08/26/21	85.97	...	-52.20	3 of 3 - Sale <sup>25</sup>
11/15/21	29.452	130.86	Various	325.44	...	-194.58	Total of 3 transactions
	3 transactions for 11/24/21. Total proceeds and cost reported to the IRS.						
	191.548	861.95	08/26/21	2,116.61	...	-1,254.66	1 of 3 - Sale <sup>25</sup>
	62.125	279.56	08/26/21	683.37	...	-403.81	2 of 3 - Sale <sup>25</sup>
	50.000	225.00	08/26/21	550.00	...	-325.00	3 of 3 - Sale <sup>25</sup>
11/24/21	303.673	1,366.51	Various	3,349.98	...	-1,983.47	Total of 3 transactions
	<b>Security total:</b>	<b>1,497.37</b>		<b>3,675.42</b>	...	<b>-2,178.05</b>	
CLEAR SECURE, INC. / CUSIP: 18467V109 / Symbol:							
06/30/21	100.000	4,197.96	06/30/21	3,855.00	...	342.96	Sale <sup>25</sup>
CLOVER HEALTH INVESTMENTS, COR P. CLASS A COMMON STOCK / CUSIP: 18914F103 / Symbol:							
04/28/21	20.000	217.00	02/18/21	217.00	...	0.00	Sale <sup>25</sup>
COINBASE GLOBAL, INC. CLASS A COMMON STOCK / CUSIP: 19260Q107 / Symbol:							
05/12/21	2.000	573.59	04/14/21	762.00	...	-188.41	Sale <sup>25</sup>
DIDI GLOBAL INC. AMERICAN DEPO SITARY SHARES, EACH FOUR REPRE SENTING ONE CLASS A ORDINARY S / CUSIP: 23292E108 / Symbol:							
07/06/21	200.000	2,329.96	06/30/21	3,330.00	...	-1,000.04	Sale <sup>25</sup>
ENGLOBAL CORPORATION COMMON ST OCK / CUSIP: 293306106 / Symbol:							
06/23/21	5.000	16.80	06/10/21	14.80	...	2.00	Sale <sup>25</sup>
ENSYSCE BIOSCIENCES, INC. COMM ON STOCK / CUSIP: 293602108 / Symbol:							
12/15/21	7.763	28.72	08/05/21	43.47	...	-14.75	Sale <sup>25</sup>
	4 transactions for 12/23/21. Total proceeds and cost reported to the IRS.						
	67.000	365.92	08/05/21	375.20	...	-9.28	1 of 4 - Sale <sup>25</sup>
	0.151	0.82	08/05/21	0.84	...	-0.02	2 of 4 - Sale <sup>25</sup>
	0.913	5.48	08/05/21	4.47	...	1.01	3 of 4 - Sale <sup>25</sup>
	125.087	750.50	08/05/21	700.49	...	50.01	4 of 4 - Sale <sup>25</sup>
12/23/21	193.151	1,122.72	Various	1,081.00	...	41.72	Total of 4 transactions
	<b>Security total:</b>	<b>1,151.44</b>		<b>1,124.47</b>	...	<b>26.97</b>	

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Robinhood Securities LLC

Account 462389008

**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
ENVERIC BIOSCIENCES, INC. COMM ON STOCK / CUSIP: 29405E109 / Symbol:							
10/22/21	100.000	175.49	08/18/21	201.00	...	-25.51	Sale <sup>25</sup>
FOLEY TRASIMENE ACQUISITION CO RP. / CUSIP: 34431F104 / Symbol:							
<i>2 transactions for 03/05/21. Total proceeds and cost reported to the IRS.</i>							
	45.000	454.49	02/16/21	486.00	...	-31.51	1 of 2 - Sale <sup>25</sup>
	5.000	50.50	02/16/21	54.00	...	-3.50	2 of 2 - Sale <sup>25</sup>
03/05/21	50.000	504.99	Various	540.00	...	-35.01	Total of 2 transactions
FORTE BIOSCIENCES, INC. COMMON STOCK / CUSIP: 34962G109 / Symbol:							
<i>3 transactions for 10/22/21. Total proceeds and cost reported to the IRS.</i>							
	46.000	124.89	09/03/21	250.70	...	-125.81	1 of 3 - Sale <sup>25</sup>
	13.000	35.29	09/03/21	70.85	...	-35.56	2 of 3 - Sale <sup>25</sup>
	1.000	2.71	09/03/21	5.45	...	-2.74	3 of 3 - Sale <sup>25</sup>
10/22/21	60.000	162.89	Various	327.00	...	-164.11	Total of 3 transactions
FUBOTV INC. / CUSIP: 35953D104 / Symbol:							
02/23/21	5.000	169.99	02/18/21	215.00	...	-45.01	Sale <sup>25</sup>
02/23/21	10.000	339.99	02/16/21	431.60	91.61 W	0.00	Sale <sup>25</sup>
<i>3 transactions for 05/12/21. Total proceeds and cost reported to the IRS.</i>							
	4.000	79.04	02/18/21	208.65	...	-129.61	1 of 3 - Sale <sup>25</sup>
	1.000	19.76	02/18/21	52.16	...	-32.40	2 of 3 - Sale <sup>25</sup>
	5.000	98.80	03/04/21	210.80	...	-112.00	3 of 3 - Sale <sup>25</sup>
05/12/21	10.000	197.60	Various	471.61	...	-274.01	Total of 3 transactions
	<b>Security total:</b>	<b>707.58</b>		<b>1,118.21</b>	<b>91.61 W</b>	<b>-319.02</b>	
GAOTU TECHEDU INC. AMERICAN DE POSITARY SHARES, THREE OF WHIC H REPRESENTING TWO CLASS A ORD / CUSIP: 36257Y109 / Symbol:							
09/07/21	1.000	3.24	08/10/21	3.30	...	-0.06	Sale <sup>25</sup>
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
05/10/21	20.000	268.60	03/08/21	281.20	...	-12.60	Sale <sup>25</sup>
GOLD STANDARD VENTURES CORP. / CUSIP: 380738104 / Symbol:							
02/19/21	100.000	75.29	02/11/21	90.00	...	-14.71	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 462389008

**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**

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GRAN TIERRA ENERGY INC. / CUSIP: 38500T101 / Symbol:							
05/10/21	100.000	69.19	02/11/21	114.50	...	-45.31	Sale <sup>25</sup>
GUARDION HEALTH SCIENCES, INC. COMMON STOCK / CUSIP: 40145Q401 / Symbol:							
2 transactions for 05/10/21. Total proceeds and cost reported to the IRS.							
	22.000	33.88	02/23/21	99.33	...	-65.45	1 of 2 - Sale <sup>25</sup>
	1.000	1.54	02/23/21	4.52	...	-2.98	2 of 2 - Sale <sup>25</sup>
05/10/21	23.000	35.42	Various	103.85	...	-68.43	Total of 2 transactions
IMMUNOPRECISE ANTIBODIES LTD. COMMON STOCK / CUSIP: 45257F200 / Symbol:							
2 transactions for 07/22/21. Total proceeds and cost reported to the IRS.							
	1.000	10.70	07/22/21	8.01	...	2.69	1 of 2 - Sale <sup>25</sup>
	71.000	759.68	07/22/21	568.65	...	191.03	2 of 2 - Sale <sup>25</sup>
07/22/21	72.000	770.38	Various	576.66	...	193.72	Total of 2 transactions
INSPIREMD INC. COMMON STOCK / CUSIP: 45779A846 / Symbol:							
2 transactions for 05/10/21. Total proceeds and cost reported to the IRS.							
	7.000	33.36	02/09/21	117.00	...	-83.64	1 of 2 - Sale <sup>25</sup>
	7.000	33.35	03/09/21	77.00	...	-43.65	2 of 2 - Sale <sup>25</sup>
05/10/21	14.000	66.71	Various	194.00	...	-127.29	Total of 2 transactions
INUVO, INC. / CUSIP: 46122W204 / Symbol:							
08/04/21	1.000	0.80	02/10/21	1.95	...	-1.15	Sale <sup>25</sup>
4 transactions for 08/05/21. Total proceeds and cost reported to the IRS.							
	49.000	41.16	02/10/21	95.55	...	-54.39	1 of 4 - Sale <sup>25</sup>
	50.000	42.01	02/10/21	95.00	...	-52.99	2 of 4 - Sale <sup>25</sup>
	56.000	47.04	05/11/21	36.96	...	10.08	3 of 4 - Sale <sup>25</sup>
	100.000	84.01	05/11/21	66.00	...	18.01	4 of 4 - Sale <sup>25</sup>
08/05/21	255.000	214.22	Various	293.51	...	-79.29	Total of 4 transactions
	<b>Security total:</b>	<b>215.02</b>		<b>295.46</b>	...	<b>-80.44</b>	
KRISPY KREME, INC. COMMON STOC K / CUSIP: 50101L106 / Symbol:							
07/01/21	61.000	1,218.76	07/01/21	994.30	...	224.46	Sale <sup>25</sup>
LI AUTO INC. AMERICAN DEPOSITA RY SHARES / CUSIP: 50202M102 / Symbol:							
05/04/21	19.000	360.91	04/15/21	379.05	...	-18.14	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 462389008

## 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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LM FUNDING AMERICA, INC. COMMO N STOCK / CUSIP: 502074404 / Symbol:							
2 transactions for 08/24/21. Total proceeds and cost reported to the IRS.							
	28.000	149.24	08/17/21	145.88	...	3.36	1 of 2 - Sale <sup>25</sup>
	72.000	383.75	08/17/21	375.12	...	8.63	2 of 2 - Sale <sup>25</sup>
08/24/21	100.000	532.99	Various	521.00	...	11.99	Total of 2 transactions
THE LION ELECTRIC COMPANY / CUSIP: 536221104 / Symbol:							
3 transactions for 05/10/21. Total proceeds and cost reported to the IRS.							
	6.000	109.20	02/17/21	137.86	...	-28.66	1 of 3 - Sale <sup>25</sup>
	2.000	36.40	02/17/21	45.96	...	-9.56	2 of 3 - Sale <sup>25</sup>
	2.000	36.40	02/17/21	45.96	...	-9.56	3 of 3 - Sale <sup>25</sup>
05/10/21	10.000	182.00	Various	229.78	...	-47.78	Total of 3 transactions
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
05/04/21	10.000	380.15	04/15/21	360.00	...	20.15	Sale <sup>25</sup>
2 transactions for 05/12/21. Total proceeds and cost reported to the IRS.							
	10.000	342.80	05/10/21	345.10	...	-2.30	1 of 2 - Sale <sup>25</sup>
	1.000	34.28	05/10/21	34.51	...	-0.23	2 of 2 - Sale <sup>25</sup>
05/12/21	11.000	377.08	Various	379.61	...	-2.53	Total of 2 transactions
	<b>Security total:</b>	<b>757.23</b>		<b>739.61</b>	...	<b>17.62</b>	
NANOVI BRONIX, INC. COMMON STOC K / CUSIP: 63008J108 / Symbol:							
4 transactions for 08/16/21. Total proceeds and cost reported to the IRS.							
	8.000	31.76	08/16/21	25.68	...	6.08	1 of 4 - Sale <sup>25</sup>
	100.000	396.99	08/16/21	321.00	...	75.99	2 of 4 - Sale <sup>25</sup>
	192.000	762.21	08/16/21	616.32	...	145.89	3 of 4 - Sale <sup>25</sup>
	400.000	1,587.94	08/16/21	1,284.00	...	303.94	4 of 4 - Sale <sup>25</sup>
08/16/21	700.000	2,778.90	Various	2,247.00	...	531.90	Total of 4 transactions
NEW ORIENTAL EDUCATION AND TEC HNOLOGY GROUP, INC. / CUSIP: 647581107 / Symbol:							
07/28/21	2,500.000	5,924.66	07/28/21	5,875.00	...	49.66	Sale <sup>25</sup>
07/30/21	150.000	335.98	07/30/21	345.00	9.02 W	0.00	Sale <sup>25</sup>
2 transactions for 08/10/21. Total proceeds and cost reported to the IRS.							
	150.000	332.98	08/09/21	341.74	...	-8.76	1 of 2 - Sale <sup>25</sup>

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Account 462389008

## 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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NEW ORIENTAL EDUCATION AND TEC HNOLOGY GROUP, INC. / CUSIP: 647581107 / Symbol: (cont'd)							
	850.000	1,886.88	08/09/21	1,885.38	...	1.50	2 of 2 - Sale <sup>25</sup>
08/10/21	1,000.000	2,219.86	Various	2,227.12	...	-7.26	Total of 2 transactions
	<b>Security total:</b>	<b>8,480.50</b>		<b>8,447.12</b>	<b>9.02 W</b>	<b>42.40</b>	
ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V801 / Symbol:							
6 transactions for 05/21/21. Total proceeds and cost reported to the IRS.							
	2.667	24.53	03/04/21	40.00	...	-15.47	1 of 6 - Sale <sup>25</sup>
	6.667	61.33	04/05/21	92.00	...	-30.67	2 of 6 - Sale <sup>25</sup>
	6.667	61.33	04/05/21	92.00	...	-30.67	3 of 6 - Sale <sup>25</sup>
	6.667	61.33	04/05/21	92.00	...	-30.67	4 of 6 - Sale <sup>25</sup>
	10.000	92.00	05/11/21	135.63	...	-43.63	5 of 6 - Sale <sup>25</sup>
	23.333	214.66	05/11/21	181.12	...	33.54	6 of 6 - Sale <sup>25</sup>
05/21/21	56.000	515.18	Various	632.75	...	-117.57	Total of 6 transactions
05/21/21	10.000	92.00	03/04/21	150.00	58.00 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>607.18</b>		<b>782.75</b>	<b>58.00 W</b>	<b>-117.57</b>	
OUTBRAIN INC. COMMON STOCK / CUSIP: 69002R103 / Symbol:							
07/30/21	10.000	198.15	07/23/21	200.00	...	-1.85	Sale <sup>25</sup>
PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
7 transactions for 05/12/21. Total proceeds and cost reported to the IRS.							
	7.000	140.00	02/22/21	195.93	...	-55.93	1 of 7 - Sale <sup>25</sup>
	3.000	60.00	02/22/21	83.97	...	-23.97	2 of 7 - Sale <sup>25</sup>
	16.000	319.99	03/02/21	392.00	...	-72.01	3 of 7 - Sale <sup>25</sup>
	4.000	80.00	03/02/21	98.00	...	-18.00	4 of 7 - Sale <sup>25</sup>
	10.000	200.00	03/08/21	235.10	...	-35.10	5 of 7 - Sale <sup>25</sup>
	4.000	80.00	05/11/21	105.63	...	-25.63	6 of 7 - Sale <sup>25</sup>
	3.000	60.00	05/11/21	79.23	...	-19.23	7 of 7 - Sale <sup>25</sup>
05/12/21	47.000	939.99	Various	1,189.86	...	-249.87	Total of 7 transactions
2 transactions for 05/12/21. Total proceeds and cost reported to the IRS.							
	7.000	140.00	02/19/21	189.00	28.00 W	-21.00	1 of 2 - Sale <sup>25</sup>
	3.000	60.00	02/19/21	81.00	21.00 W	0.00	2 of 2 - Sale <sup>25</sup>
05/12/21	10.000	200.00	Various	270.00	49.00 W	-21.00	Total of 2 transactions

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Account 462389008

## 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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PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol: (cont'd)							
3 transactions for 08/25/21. Total proceeds and cost reported to the IRS.							
	80.000	1,935.98	08/12/21	1,952.00	...	-16.02	1 of 3 - Sale <sup>25</sup>
	20.000	483.99	08/12/21	488.00	...	-4.01	2 of 3 - Sale <sup>25</sup>
	200.000	4,839.95	08/12/21	4,802.00	...	37.95	3 of 3 - Sale <sup>25</sup>
08/25/21	300.000	7,259.92	Various	7,242.00	...	17.92	Total of 3 transactions
	<b>Security total:</b>	<b>8,399.91</b>		<b>8,701.86</b>	<b>49.00 W</b>	<b>-252.95</b>	
PROSHARES ULTRAPRO SHORT QQQ / CUSIP: 74347G861 / Symbol:							
03/18/21	10.000	141.00	03/10/21	143.00	...	-2.00	Sale <sup>25</sup>
ROBINHOOD MARKETS, INC. CLASS A COMMON STOCK / CUSIP: 770700102 / Symbol:							
2 transactions for 08/04/21. Total proceeds and cost reported to the IRS.							
	1.000	69.97	07/29/21	38.00	...	31.97	1 of 2 - Sale <sup>25</sup>
	19.000	1,329.42	07/29/21	722.00	...	607.42	2 of 2 - Sale <sup>25</sup>
08/04/21	20.000	1,399.39	Various	760.00	...	639.39	Total of 2 transactions
08/06/21	20.000	1,099.39	07/29/21	760.00	...	339.39	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,498.78</b>		<b>1,520.00</b>	...	<b>978.78</b>	
ROCKET COMPANIES, INC. / CUSIP: 77311W101 / Symbol:							
02/22/21	15.000	305.10	02/17/21	303.00	...	2.10	Sale <sup>25</sup>
03/02/21	8.000	336.00	02/17/21	161.60	...	174.40	Sale <sup>25</sup>
2 transactions for 05/10/21. Total proceeds and cost reported to the IRS.							
	2.000	34.80	02/17/21	40.40	...	-5.60	1 of 2 - Sale <sup>25</sup>
	5.000	87.00	03/02/21	203.20	...	-116.20	2 of 2 - Sale <sup>25</sup>
05/10/21	7.000	121.80	Various	243.60	...	-121.80	Total of 2 transactions
	<b>Security total:</b>	<b>762.90</b>		<b>708.20</b>	...	<b>54.70</b>	
ROLLS ROYCE HOLDINGS PLC SPONS ORED AMERICAN DEPOSITARY SHARE S / CUSIP: 775781206 / Symbol:							
11 transactions for 05/10/21. Total proceeds and cost reported to the IRS.							
	1.000	1.52	03/31/21	1.50	...	0.02	1 of 11 - Sale <sup>25</sup>
	1.000	1.52	03/31/21	1.50	...	0.02	2 of 11 - Sale <sup>25</sup>
	5.000	7.60	03/31/21	7.50	...	0.10	3 of 11 - Sale <sup>25</sup>
	5.000	7.60	03/31/21	7.50	...	0.10	4 of 11 - Sale <sup>25</sup>
	7.000	10.64	03/31/21	10.50	...	0.14	5 of 11 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 462389008

## 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
ROLLS ROYCE HOLDINGS PLC SPONS ORED AMERICAN DEPOSITORY SHARE S / CUSIP: 775781206 / Symbol: (cont'd)							
	9.000	13.68	03/31/21	13.50	...	0.18	6 of 11 - Sale <sup>25</sup>
	10.000	15.20	03/31/21	15.00	...	0.20	7 of 11 - Sale <sup>25</sup>
	16.000	24.32	03/31/21	24.00	...	0.32	8 of 11 - Sale <sup>25</sup>
	40.000	60.80	03/31/21	60.00	...	0.80	9 of 11 - Sale <sup>25</sup>
	70.000	106.39	03/31/21	105.00	...	1.39	10 of 11 - Sale <sup>25</sup>
	100.000	151.99	03/31/21	150.00	...	1.99	11 of 11 - Sale <sup>25</sup>
05/10/21	264.000	401.26	Various	396.00	...	5.26	Total of 11 transactions
SCWORX CORP. COMMON STOCK / CUSIP: 78396V109 / Symbol:							
08/06/21	400.000	1,275.94	08/06/21	1,240.00	...	35.94	Sale <sup>25</sup>
	2 transactions for 08/09/21. Total proceeds and cost reported to the IRS.						
	1.000	4.99	08/09/21	3.91	...	1.08	1 of 2 - Sale <sup>25</sup>
	400.000	1,995.93	08/09/21	1,564.00	...	431.93	2 of 2 - Sale <sup>25</sup>
08/09/21	401.000	2,000.92	Various	1,567.91	...	433.01	Total of 2 transactions
	2 transactions for 10/22/21. Total proceeds and cost reported to the IRS.						
	97.000	181.30	08/09/21	379.27	...	-197.97	1 of 2 - Sale <sup>25</sup>
	3.000	5.61	08/09/21	11.73	...	-6.12	2 of 2 - Sale <sup>25</sup>
10/22/21	100.000	186.91	Various	391.00	...	-204.09	Total of 2 transactions
	<b>Security total:</b>	<b>3,463.77</b>		<b>3,198.91</b>	...	<b>264.86</b>	
SONOMA PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 83558L204 / Symbol:							
	2 transactions for 12/14/21. Total proceeds and cost reported to the IRS.						
	4.684	21.94	08/19/21	53.87	...	-31.93	1 of 2 - Sale <sup>25</sup>
	1.000	4.68	08/19/21	10.80	...	-6.12	2 of 2 - Sale <sup>25</sup>
12/14/21	5.684	26.62	Various	64.67	...	-38.05	Total of 2 transactions
12/30/21	67.686	311.68	08/19/21	778.38	...	-466.70	Sale <sup>25</sup>
	<b>Security total:</b>	<b>338.30</b>		<b>843.05</b>	...	<b>-504.75</b>	
SPECTRUM PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 84763A108 / Symbol:							
02/19/21	1.000	3.60	02/04/21	3.76	...	-0.16	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 462389008

## 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
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
3 transactions for 02/10/21. Total proceeds and cost reported to the IRS.							
	5.285	14.98	02/09/21	9.09	...	5.89	1 of 3 - Sale <sup>25</sup>
	30.000	85.02	02/09/21	50.40	...	34.62	2 of 3 - Sale <sup>25</sup>
	64.715	189.61	02/09/21	111.31	...	78.30	3 of 3 - Sale <sup>25</sup>
02/10/21	100.000	289.61	Various	170.80	...	118.81	Total of 3 transactions
TAL EDUCATION GROUP / CUSIP: 874080104 / Symbol:							
2 transactions for 08/06/21. Total proceeds and cost reported to the IRS.							
	100.000	599.98	07/27/21	507.00	...	92.98	1 of 2 - Sale <sup>25</sup>
	400.000	2,399.93	07/27/21	2,028.00	...	371.93	2 of 2 - Sale <sup>25</sup>
08/06/21	500.000	2,999.91	Various	2,535.00	...	464.91	Total of 2 transactions
5 transactions for 08/11/21. Total proceeds and cost reported to the IRS.							
	3.000	18.09	07/27/21	15.21	...	2.88	1 of 5 - Sale <sup>25</sup>
	84.000	506.51	07/27/21	425.88	...	80.63	2 of 5 - Sale <sup>25</sup>
	100.000	602.98	07/27/21	507.00	...	95.98	3 of 5 - Sale <sup>25</sup>
	100.000	602.99	07/27/21	507.00	...	95.99	4 of 5 - Sale <sup>25</sup>
	213.000	1,284.35	07/27/21	1,079.91	...	204.44	5 of 5 - Sale <sup>25</sup>
08/11/21	500.000	3,014.92	Various	2,535.00	...	479.92	Total of 5 transactions
	<b>Security total:</b>	<b>6,014.83</b>		<b>5,070.00</b>	...	<b>944.83</b>	
TELIGENT INC NEW COMMON STOCK / CUSIP: 87960W203 / Symbol:							
11/10/21	1.000	0.05	08/05/21	0.49	...	-0.44	Sale <sup>25</sup>
TELLURIAN INC. / CUSIP: 87968A104 / Symbol:							
2 transactions for 05/12/21. Total proceeds and cost reported to the IRS.							
	40.000	84.99	02/12/21	151.96	...	-66.97	1 of 2 - Sale <sup>25</sup>
	100.000	212.49	04/05/21	235.00	...	-22.51	2 of 2 - Sale <sup>25</sup>
05/12/21	140.000	297.48	Various	386.96	...	-89.48	Total of 2 transactions
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
05/04/21	1.000	662.17	03/04/21	600.01	...	62.16	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 462389008

## 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
TORCHLIGHT ENERGY RESOURCES, I NC. COMMON STOCK / CUSIP: 89102U103 / Symbol:							
2 transactions for 05/12/21. Total proceeds and cost reported to the IRS.							
	100.000	191.99	02/17/21	387.00	...	-195.01	1 of 2 - Sale <sup>25</sup>
	100.000	191.99	04/05/21	180.00	...	11.99	2 of 2 - Sale <sup>25</sup>
05/12/21	200.000	383.98	Various	567.00	...	-183.02	Total of 2 transactions
U.S. ENERGY CORP. COMMON STOCK / CUSIP: 911805307 / Symbol:							
2 transactions for 08/04/21. Total proceeds and cost reported to the IRS.							
	0.200	0.74	07/14/21	1.41	0.67 W	0.00	1 of 2 - Sale <sup>25</sup>
	57.000	209.84	07/14/21	399.57	189.73 W	0.00	2 of 2 - Sale <sup>25</sup>
08/04/21	57.200	210.58	Various	400.98	190.40 W	0.00	Total of 2 transactions
6 transactions for 10/26/21. Total proceeds and cost reported to the IRS.							
	104.000	410.79	07/14/21	729.04	...	-318.25	1 of 6 - Sale <sup>25</sup>
	6.000	23.46	07/14/21	42.06	...	-18.60	2 of 6 - Sale <sup>25</sup>
	4.000	15.65	07/14/21	28.04	...	-12.39	3 of 6 - Sale <sup>25</sup>
	0.394	1.55	07/14/21	2.76	...	-1.21	4 of 6 - Sale <sup>25</sup>
	0.337	1.32	07/14/21	2.36	...	-1.04	5 of 6 - Sale <sup>25</sup>
	0.040	0.16	07/14/21	0.28	...	-0.12	6 of 6 - Sale <sup>25</sup>
10/26/21	114.771	452.93	Various	804.54	...	-351.61	Total of 6 transactions
2 transactions for 11/01/21. Total proceeds and cost reported to the IRS.							
	156.000	596.56	07/14/21	1,093.56	...	-497.00	1 of 2 - Sale <sup>25</sup>
	0.010	0.04	07/14/21	0.07	...	-0.03	2 of 2 - Sale <sup>25</sup>
11/01/21	156.010	596.60	Various	1,093.63	...	-497.03	Total of 2 transactions
2 transactions for 11/24/21. Total proceeds and cost reported to the IRS.							
	14.841	53.60	07/14/21	104.04	...	-50.44	1 of 2 - Sale <sup>25</sup>
	0.548	1.99	07/14/21	3.84	...	-1.85	2 of 2 - Sale <sup>25</sup>
11/24/21	15.389	55.59	Various	107.88	...	-52.29	Total of 2 transactions
3 transactions for 12/14/21. Total proceeds and cost reported to the IRS.							
	92.975	307.74	07/14/21	651.75	...	-344.01	1 of 3 - Sale <sup>25</sup>
	15.000	49.28	07/14/21	105.15	...	-55.87	2 of 3 - Sale <sup>25</sup>
	0.549	1.80	07/14/21	3.85	...	-2.05	3 of 3 - Sale <sup>25</sup>
12/14/21	108.523	358.82	Various	760.75	...	-401.93	Total of 3 transactions

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Robinhood Securities LLC

Account 462389008

## 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
U.S. ENERGY CORP. COMMON STOCK / CUSIP: 911805307 / Symbol: (cont'd)							
<i>2 transactions for 12/15/21. Total proceeds and cost reported to the IRS.</i>							
	37.000	115.93	07/14/21	259.37	...	-143.44	1 of 2 - Sale <sup>25</sup>
	0.736	2.32	07/14/21	5.16	...	-2.84	2 of 2 - Sale <sup>25</sup>
12/15/21	37.736	118.25	Various	264.53	...	-146.28	Total of 2 transactions
	<b>Security total:</b>	<b>1,792.77</b>		<b>3,432.31</b>	<b>190.40 W</b>	<b>-1,449.14</b>	
U.S. WELL SERVICES, INC. CLASS A COMMON STOCK / CUSIP: 91274U101 / Symbol:							
03/10/21	10.000	16.21	02/19/21	22.30	...	-6.09	Sale <sup>25</sup>
WHEELER REAL ESTATE INVESTMENT TRUST, INC. COMMON STOCK / CUSIP: 963025705 / Symbol:							
09/07/21	1.000	3.16	08/05/21	3.38	...	-0.22	Sale <sup>25</sup>
INFOBIRD CO., LTD ORDINARY SHA RES / CUSIP: G47724102 / Symbol:							
<i>2 transactions for 10/07/21. Total proceeds and cost reported to the IRS.</i>							
	149.000	327.78	06/30/21	782.25	...	-454.47	1 of 2 - Sale <sup>25</sup>
	0.104	0.23	06/30/21	0.55	...	-0.32	2 of 2 - Sale <sup>25</sup>
10/07/21	149.104	328.01	Various	782.80	...	-454.79	Total of 2 transactions
10/08/21	3.792	7.92	06/30/21	19.91	...	-11.99	Sale <sup>25</sup>
	<b>Security total:</b>	<b>335.93</b>		<b>802.71</b>	...	<b>-466.78</b>	
ITERUM THERAPEUTICS PLC ORDINARY SHARE / CUSIP: G6333L101 / Symbol:							
<i>8 transactions for 08/13/21. Total proceeds and cost reported to the IRS.</i>							
	550.000	383.34	07/06/21	797.50	...	-414.16	1 of 8 - Sale <sup>25</sup>
	539.000	375.68	07/06/21	781.55	...	-405.87	2 of 8 - Sale <sup>25</sup>
	200.000	139.39	07/06/21	290.00	...	-150.61	3 of 8 - Sale <sup>25</sup>
	200.000	139.40	07/06/21	290.00	...	-150.60	4 of 8 - Sale <sup>25</sup>
	100.000	69.70	07/06/21	145.00	...	-75.30	5 of 8 - Sale <sup>25</sup>
	94.000	65.52	07/06/21	136.30	...	-70.78	6 of 8 - Sale <sup>25</sup>
	50.000	34.85	07/06/21	72.50	...	-37.65	7 of 8 - Sale <sup>25</sup>
	6.000	4.18	07/06/21	8.70	...	-4.52	8 of 8 - Sale <sup>25</sup>
08/13/21	1,739.000	1,212.06	Various	2,521.55	...	-1,309.49	Total of 8 transactions
TRITERRAS INC CLASS A ORDINARY SHARES / CUSIP: G9103H102 / Symbol:							
05/21/21	50.000	317.50	02/18/21	410.00	...	-92.50	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 462389008

**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
RISKIFIED LTD. / CUSIP: M8216R109 / Symbol:							
07/30/21	1.000	25.80	07/29/21	21.00	...	4.80	Sale <sup>25</sup>
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
<i>4 transactions for 11/24/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	0.63	03/01/21	1.07	...	-0.44	1 of 4 - Sale <sup>25</sup>
	132.000	83.14	03/05/21	105.60	...	-22.46	2 of 4 - Sale <sup>25</sup>
	68.000	42.83	03/05/21	54.40	...	-11.57	3 of 4 - Sale <sup>25</sup>
	299.000	188.34	03/31/21	218.27	...	-29.93	4 of 4 - Sale <sup>25</sup>
11/24/21	500.000	314.94	Various	379.34	...	-64.40	Total of 4 transactions
CASTOR MARITIME INC. COMMON SHARES / CUSIP: Y1146L125 / Symbol:							
<i>5 transactions for 07/01/21. Total proceeds and cost reported to the IRS.</i>							
	8.000	20.80	02/11/21	124.00	...	-103.20	1 of 5 - Sale <sup>25</sup>
	2.000	5.20	02/11/21	31.00	...	-25.80	2 of 5 - Sale <sup>25</sup>
	18.000	46.80	03/31/21	138.60	...	-91.80	3 of 5 - Sale <sup>25</sup>
	2.000	5.20	03/31/21	15.40	...	-10.20	4 of 5 - Sale <sup>25</sup>
	20.000	52.00	04/05/21	112.00	...	-60.00	5 of 5 - Sale <sup>25</sup>
07/01/21	50.000	130.00	Various	421.00	...	-291.00	Total of 5 transactions
<b>Totals :</b>		<b>65,938.62</b>		<b>75,279.14</b>	<b>398.06 W</b>	<b>-8,942.46</b>	

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Robinhood Securities LLC

Account 462389008

**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
AYTU BIOPHARMA, INC. COMMON STOCK / CUSIP: 054754874 / Symbol:							
03/26/21	0.880	8.51	02/09/21	8.25	...	0.26	Gain or loss
ONCONOVA THERAPEUTICS, INC. COMMON STOCK / CUSIP: 68232V801 / Symbol:							
05/28/21	0.667	6.35	03/04/21	10.00	...	-3.65	Gain or loss
<b>Totals:</b>		<b>14.86</b>		<b>18.25</b>	...	<b>-3.39</b>	

Robinhood Securities LLC

Account 462389008

**Detail for Dividends and Distributions**

2021

02/11/2022

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

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

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

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

<b>Security description</b>	<b>CUSIP and/or symbol</b>	<b>State</b>	<b>Date</b>	<b>Amount</b>	<b>Transaction type</b>	<b>Notes</b>
ROCKET COMPANIES, INC.	77311W101		03/23/21	7.77	Qualified dividend	
				<b>7.77</b>	<b>Total Dividends &amp; distributions</b>	

Robinhood Securities LLC

Account 462389008

**Fees and Expenses**

2021

02/11/2022

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		06/18/21	-5.00	Margin interest paid	
		07/19/21	-5.00	Margin interest paid	
			-10.00	Total Margin interest paid	
Margin charge		08/17/21	-2.98	Margin interest paid	
		08/17/21	-5.00	Margin interest paid	
		09/16/21	-5.00	Margin interest paid	
		09/16/21	-10.80	Margin interest paid	
		10/18/21	-5.00	Margin interest paid	
		10/18/21	-12.33	Margin interest paid	
		11/15/21	-5.00	Margin interest paid	
		11/15/21	-11.61	Margin interest paid	
		12/15/21	-5.00	Margin interest paid	
		12/15/21	-9.38	Margin interest paid	
			-72.10	Total Margin interest paid	
			<b>-82.10</b>	<b>Total Margin interest paid</b>	

Robinhood Securities LLC

Account 462389008

## Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
AYTU BIOPHARMA, INC. COMMON STOCK	054754874	03/22/21	10.00	0.00	Merger	
BLUE WATER ACQUISITION CORP. CLASS A COMMON STOCK	09607T104	09/10/21	-380.00	0.00	Exchange	
CLARUS THERAPEUTICS HOLDINGS, INC. COMMON STOCK	18271L107	09/10/21	380.00	0.00	Exchange	
THE LION ELECTRIC COMPANY	536221104	05/07/21	10.00	0.00	Exchange	
NEOS THERAPEUTICS, INC. COMMON STOCK	64052L106	03/22/21	-100.00	0.00	Merger	
NORTHERN GENESIS ACQUISITION CORP.	66516T104	05/07/21	-10.00	0.00	Exchange	

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

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### Instructions for Recipient

#### Common Instructions for Recipient

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

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

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

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

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

#### Keep tax documents for your records.

#### 1099-DIV Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1099-B Instructions for Recipient

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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