

<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 150684405</b>	Statement Date: 02/11/2022 Document ID: 31XT 1J6 K5Z4	2021
	Venkata kumara Uppalapati 1010 Beethoven Common 300 Fremont, CA 94538  RECIPIENT'S TIN: XXX-XX-6845		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2021 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e)      0.00</p> <p>1b- Qualified dividends      0.00</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)      0.00</p> <p>2b- Unrecaptured Section 1250 gain      0.00</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>2e- Section 897 ordinary dividends      0.00</p> <p>2f- Section 897 capital gain      0.00</p> <p>3- Nondividend distributions      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession:      7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INFORMATION</b>      <b>2021 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2021 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2021 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2020      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2021      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p> <p><b>* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.</b></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	157,217.79	149,411.50	0.00	2,599.56	10,405.85
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)	9.11	11.27	0.00	0.00	-2.16
	<b>Total Short-term</b>	<b>157,226.90</b>	<b>149,422.77</b>	<b>0.00</b>	<b>2,599.56</b>	<b>10,403.69</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>157,226.90</b>	<b>149,422.77</b>	<b>0.00</b>	<b>2,599.56</b>	<b>10,403.69</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

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

Robinhood Securities LLC

Account 150684405

**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	82.85
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 09/17/2021 PUT \$6.00 / CUSIP: / Symbol:							
2 transactions for 06/10/21. Total proceeds and cost reported to the IRS.							
	1.000	20.98	06/09/21	23.00	...	-2.02	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	20.98	06/09/21	23.00	...	-2.02	2 of 2 - Option sale to close-put <sup>25</sup>
06/10/21	2.000	41.96	Various	46.00	...	-4.04	Total of 2 transactions
AMD 09/10/2021 PUT \$90.00 / CUSIP: / Symbol:							
07/29/21	1.000	100.98	07/29/21	110.00	...	-9.02	Option sale to close-put <sup>25</sup>
BLL 08/20/2021 PUT \$85.00 / CUSIP: / Symbol:							
07/15/21	1.000	299.98	07/08/21	275.00	...	24.98	Option sale to close-put <sup>25</sup>
CLSK 03/19/2021 CALL \$60.00 / CUSIP: / Symbol:							
01/13/21	1.000	359.98	01/13/21	370.00	...	-10.02	Option sale to close-call <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
DGLY 08/20/2021 CALL \$2.00 / CUSIP: / Symbol:							
03/12/21	3.000	209.98	03/04/21	165.00	...	44.98	Option sale to close-call <sup>25</sup>
DOCU 06/18/2021 PUT \$100.00 / CUSIP: / Symbol:							
03/12/21	10.000	99.97	03/09/21	390.00	...	-290.03	Option sale to close-put <sup>25</sup>
FUBO 08/20/2021 CALL \$30.00 / CUSIP: / Symbol:							
05/28/21	1.000	360.98	05/13/21	160.00	...	200.98	Option sale to close-call <sup>25</sup>
HRB 07/16/2021 CALL \$20.00 / CUSIP: / Symbol:							
03/12/21	1.000	214.98	02/19/21	165.00	...	49.98	Option sale to close-call <sup>25</sup>
03/15/21	1.000	229.98	02/19/21	165.00	...	64.98	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>444.96</b>		<b>330.00</b>	...	<b>114.96</b>	
INTC 06/04/2021 CALL \$56.50 / CUSIP: / Symbol:							
05/13/21	1.000	54.98	05/10/21	141.00	...	-86.02	Option sale to close-call <sup>25</sup>
MCD 03/19/2021 CALL \$220.00 / CUSIP: / Symbol:							
03/16/21	1.000	239.98	02/17/21	260.00	...	-20.02	Option sale to close-call <sup>25</sup>
NOK 01/21/2022 CALL \$6.00 / CUSIP: / Symbol:							
07/29/21	2.000	137.98	06/10/21	136.00	...	1.98	Option sale to close-call <sup>25</sup>
ORCL 05/21/2021 CALL \$67.50 / CUSIP: / Symbol:							
03/15/21	1.000	280.98	03/11/21	295.00	...	-14.02	Option sale to close-call <sup>25</sup>
ORCL 06/18/2021 CALL \$67.50 / CUSIP: / Symbol:							
03/15/21	1.000	364.98	03/11/21	380.00	...	-15.02	Option sale to close-call <sup>25</sup>
PLTR 08/20/2021 CALL \$65.00 / CUSIP: / Symbol:							
	2 transactions for 04/06/21. Total proceeds and cost reported to the IRS.						
	2.000	73.98	03/17/21	172.00	...	-98.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	36.98	03/17/21	86.00	...	-49.02	2 of 2 - Option sale to close-call <sup>25</sup>
04/06/21	3.000	110.96	Various	258.00	...	-147.04	Total of 2 transactions
SGH 07/16/2021 PUT \$55.00 / CUSIP: / Symbol:							
07/08/21	1.000	224.98	07/07/21	120.00	...	104.98	Option sale to close-put <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
SIG 07/02/2021 PUT \$73.00 / CUSIP: / Symbol:							
07/02/21	1.000	0.00	06/11/21	390.00	...	-390.00	Option expiration- long put
SPY 01/19/2021 CALL \$375.00 / CUSIP: / Symbol:							
01/04/21	1.000	278.98	01/04/21	309.00	...	-30.02	Option sale to close-call <sup>25</sup>
TRGP 06/18/2021 PUT \$44.00 / CUSIP: / Symbol:							
06/09/21	5.000	224.98	06/07/21	150.00	...	74.98	Option sale to close-put <sup>25</sup>
TSLA 05/21/2021 CALL \$1,700.00 / CUSIP: / Symbol:							
03/08/21	1.000	149.98	03/05/21	170.00	...	-20.02	Option sale to close-call <sup>25</sup>
WKHS 04/30/2021 CALL \$25.00 / CUSIP: / Symbol:							
04/30/21	3.000	0.00	03/12/21	339.00	...	-339.00	Option expiration- long call
WKHS 07/16/2021 CALL \$25.00 / CUSIP: / Symbol:							
<i>2 transactions for 03/24/21. Total proceeds and cost reported to the IRS.</i>							
	2.000	137.99	03/11/21	540.00	...	-402.01	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	68.99	03/12/21	250.00	...	-181.01	2 of 2 - Option sale to close-call <sup>25</sup>
03/24/21	3.000	206.98	Various	790.00	...	-583.02	Total of 2 transactions
WW 07/16/2021 CALL \$30.00 / CUSIP: / Symbol:							
03/02/21	1.000	769.98	02/18/21	450.00	...	319.98	Option sale to close-call <sup>25</sup>
ACASTI PHARMA, INC. CLASS A CO MMON STOCK / CUSIP: 00430K402 / Symbol:							
05/10/21	500.000	223.59	05/10/21	247.65	24.06 W	0.00	Sale <sup>25</sup>
<i>2 transactions for 05/11/21. Total proceeds and cost reported to the IRS.</i>							
	500.000	204.94	05/10/21	247.65	...	-42.71	1 of 2 - Sale <sup>25</sup>
	500.000	204.94	05/10/21	247.36	...	-42.42	2 of 2 - Sale <sup>25</sup>
05/11/21	1,000.000	409.88	Various	495.01	...	-85.13	Total of 2 transactions
	<b>Security total:</b>	<b>633.47</b>		<b>742.66</b>	<b>24.06 W</b>	<b>-85.13</b>	

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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
AGROFRESH SOLUTIONS, INC. COMM ON STOCK / CUSIP: 00856G109 / Symbol:							
<i>2 transactions for 03/04/21. Total proceeds and cost reported to the IRS.</i>							
	500.000	1,142.58	02/02/21	1,007.05	...	135.53	1 of 2 - Sale <sup>25</sup>
	500.000	1,150.03	02/02/21	1,007.05	...	142.98	2 of 2 - Sale <sup>25</sup>
03/04/21	1,000.000	2,292.61	Various	2,014.10	...	278.51	Total of 2 transactions
<i>9 transactions for 03/05/21. Total proceeds and cost reported to the IRS.</i>							
	68.000	151.63	02/02/21	136.96	...	14.67	1 of 9 - Sale <sup>25</sup>
	100.000	222.99	02/02/21	201.41	...	21.58	2 of 9 - Sale <sup>25</sup>
	100.000	222.99	02/02/21	201.00	...	21.99	3 of 9 - Sale <sup>25</sup>
	100.000	223.04	02/02/21	201.00	...	22.04	4 of 9 - Sale <sup>25</sup>
	100.000	223.49	02/02/21	201.41	...	22.08	5 of 9 - Sale <sup>25</sup>
	100.000	223.49	02/02/21	201.41	...	22.08	6 of 9 - Sale <sup>25</sup>
	100.000	223.49	02/02/21	201.00	...	22.49	7 of 9 - Sale <sup>25</sup>
	132.000	294.34	02/02/21	265.86	...	28.48	8 of 9 - Sale <sup>25</sup>
	200.000	445.98	02/02/21	402.00	...	43.98	9 of 9 - Sale <sup>25</sup>
03/05/21	1,000.000	2,231.44	Various	2,012.05	...	219.39	Total of 9 transactions
	<b>Security total:</b>	<b>4,524.05</b>		<b>4,026.15</b>	...	<b>497.90</b>	
ARTELO BIOSCIENCES, INC. COMMO N STOCK / CUSIP: 04301G201 / Symbol:							
01/06/21	2,400.000	2,304.37	12/28/20	1,607.04	...	697.33	Sale <sup>25</sup>
CHINA JO-JO DRUGSTORES, INC. C OMMON STOCK / CUSIP: 16949A206 / Symbol:							
01/04/21	1,800.000	1,835.92	07/17/20	2,458.98	...	-623.06	Sale <sup>25</sup>
CHURCHILL CAPITAL CORP IV / CUSIP: 171439102 / Symbol:							
03/18/21	50.000	1,447.99	03/15/21	1,399.34	...	48.65	Sale <sup>25</sup>
CIDARA THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 171757107 / Symbol:							
<i>6 transactions for 03/09/21. Total proceeds and cost reported to the IRS.</i>							
	50.000	127.55	02/08/21	126.00	...	1.55	1 of 6 - Sale <sup>25</sup>
	50.000	127.99	02/08/21	126.00	...	1.99	2 of 6 - Sale <sup>25</sup>
	100.000	255.09	02/08/21	252.00	...	3.09	3 of 6 - Sale <sup>25</sup>
	100.000	255.09	02/08/21	252.00	...	3.09	4 of 6 - Sale <sup>25</sup>
	100.000	255.98	02/08/21	252.00	...	3.98	5 of 6 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 150684405

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
CIDARA THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 171757107 / Symbol: (cont'd)							
	100.000	255.99	02/08/21	252.00	...	3.99	6 of 6 - Sale <sup>25</sup>
03/09/21	500.000	1,277.69	Various	1,260.00	...	17.69	Total of 6 transactions
	4 transactions for 03/15/21. Total proceeds and cost reported to the IRS.						
	100.000	260.38	02/08/21	252.00	...	8.38	1 of 4 - Sale <sup>25</sup>
	100.000	260.39	02/08/21	252.00	...	8.39	2 of 4 - Sale <sup>25</sup>
	100.000	260.39	02/08/21	252.00	...	8.39	3 of 4 - Sale <sup>25</sup>
	200.000	520.77	02/08/21	504.00	...	16.77	4 of 4 - Sale <sup>25</sup>
03/15/21	500.000	1,301.93	Various	1,260.00	...	41.93	Total of 4 transactions
	<b>Security total:</b>	<b>2,579.62</b>		<b>2,520.00</b>	...	<b>59.62</b>	
CONTEXTLOGIC INC. CLASS A COMM ON STOCK / CUSIP: 21077C107 / Symbol:							
06/28/21	25.000	376.06	06/16/21	276.48	...	99.58	Sale <sup>25</sup>
DOCUMENT SECURITY SYSTEMS, INC. / CUSIP: 25614T309 / Symbol:							
03/25/21	500.000	1,999.92	03/15/21	1,875.00	...	124.92	Sale <sup>25</sup>
DUNXIN FINANCIAL HOLDINGS LIMITE D / CUSIP: 26605Q106 / Symbol:							
02/17/21	1,000.000	2,069.83	02/04/21	1,470.00	...	599.83	Sale <sup>25</sup>
	2 transactions for 03/15/21. Total proceeds and cost reported to the IRS.						
	1,000.000	1,449.88	02/05/21	1,497.20	...	-47.32	1 of 2 - Sale <sup>25</sup>
	300.000	434.96	03/11/21	404.19	...	30.77	2 of 2 - Sale <sup>25</sup>
03/15/21	1,300.000	1,884.84	Various	1,901.39	...	-16.55	Total of 2 transactions
	<b>Security total:</b>	<b>3,954.67</b>		<b>3,371.39</b>	...	<b>583.28</b>	
FSD PHARMA INC. CLASS B SUBORD INATE VOTING SHARES / CUSIP: 35954B206 / Symbol:							
03/11/21	300.000	606.61	03/09/21	579.00	...	27.61	Sale <sup>25</sup>
GEE GROUP INC. / CUSIP: 36165A102 / Symbol:							
	3 transactions for 02/11/21. Total proceeds and cost reported to the IRS.						
	100.000	171.99	01/29/21	114.80	...	57.19	1 of 3 - Sale <sup>25</sup>
	400.000	689.93	01/29/21	459.20	...	230.73	2 of 3 - Sale <sup>25</sup>
	500.000	859.92	01/29/21	574.00	...	285.92	3 of 3 - Sale <sup>25</sup>
02/11/21	1,000.000	1,721.84	Various	1,148.00	...	573.84	Total of 3 transactions

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Robinhood Securities LLC

Account 150684405

## 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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GENESIS HEALTHCARE, INC. / CUSIP: 37185X106 / Symbol:							
02/17/21	250.000	257.47	02/16/21	257.15	...	0.32	Sale <sup>25</sup>
02/18/21	250.000	237.47	02/16/21	257.15	...	-19.68	Sale <sup>25</sup>
	<b>Security total:</b>	<b>494.94</b>		<b>514.30</b>	...	<b>-19.36</b>	
HEPION PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 426897104 / Symbol:							
02/17/21	75.000	170.99	02/16/21	166.88	...	4.11	Sale <sup>25</sup>
02/22/21	150.000	344.98	02/16/21	333.75	...	11.23	Sale <sup>25</sup>
	<b>Security total:</b>	<b>515.97</b>		<b>500.63</b>	...	<b>15.34</b>	
INSPIREMD, INC. / CUSIP: 45779A853 / Symbol:							
02/17/21	300.000	335.96	02/16/21	378.00	...	-42.04	Sale <sup>25</sup>
IT TECH PACKAGING, INC. / CUSIP: 46527C100 / Symbol:							
	2 transactions for 02/10/21. Total proceeds and cost reported to the IRS.						
	500.000	659.92	02/08/21	491.00	...	168.92	1 of 2 - Sale <sup>25</sup>
	1,500.000	1,979.78	02/08/21	1,455.00	...	524.78	2 of 2 - Sale <sup>25</sup>
02/10/21	2,000.000	2,639.70	Various	1,946.00	...	693.70	Total of 2 transactions
LIQUID MEDIA GROUP LTD. COMMON SHARES / CUSIP: 53634Q204 / Symbol:							
01/14/21	13.000	23.01	01/14/21	23.01	...	0.00	Sale <sup>25</sup>
01/14/21	98.000	173.45	01/14/21	173.46	0.01 W	0.00	Sale <sup>25</sup>
	3 transactions for 01/25/21. Total proceeds and cost reported to the IRS.						
	1,389.000	2,988.19	01/14/21	2,458.53	...	529.66	1 of 3 - Sale <sup>25</sup>
	13.000	27.97	01/22/21	23.79	...	4.18	2 of 3 - Sale <sup>25</sup>
	98.000	210.83	01/22/21	179.35	...	31.48	3 of 3 - Sale <sup>25</sup>
01/25/21	1,500.000	3,226.99	Various	2,661.67	...	565.32	Total of 3 transactions
	<b>Security total:</b>	<b>3,423.45</b>		<b>2,858.14</b>	<b>0.01 W</b>	<b>565.32</b>	
MEDALIST DIVERSIFIED REIT, INC . COMMON STOCK / CUSIP: 58403P105 / Symbol:							
07/09/21	500.000	601.28	07/08/21	609.45	...	-8.17	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 150684405

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
MILLENDO THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 60040X103 / Symbol:							
3 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	108.000	200.87	01/14/21	196.38	...	4.49	1 of 3 - Sale <sup>25</sup>
	1,100.000	2,045.93	01/14/21	1,999.91	...	46.02	2 of 3 - Sale <sup>25</sup>
	1,000.000	1,859.94	01/19/21	1,770.00	...	89.94	3 of 3 - Sale <sup>25</sup>
01/27/21	2,208.000	4,106.74	Various	3,966.29	...	140.45	Total of 3 transactions
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
2 transactions for 01/07/21. Total proceeds and cost reported to the IRS.							
	24.000	1,290.69	01/06/21	1,298.64	...	-7.95	1 of 2 - Sale <sup>25</sup>
	26.000	1,398.25	01/06/21	1,329.38	...	68.87	2 of 2 - Sale <sup>25</sup>
01/07/21	50.000	2,688.94	Various	2,628.02	...	60.92	Total of 2 transactions
NEOVASC INC. COMMON SHARES / CUSIP: 64065J304 / Symbol:							
14 transactions for 01/19/21. Total proceeds and cost reported to the IRS.							
	23.000	22.08	01/06/21	25.53	3.45 W	0.00	1 of 14 - Sale <sup>25</sup>
	73.000	70.07	01/06/21	81.04	10.97 W	0.00	2 of 14 - Sale <sup>25</sup>
	77.000	73.91	01/06/21	85.48	11.57 W	0.00	3 of 14 - Sale <sup>25</sup>
	77.000	74.68	01/06/21	80.08	5.40 W	0.00	4 of 14 - Sale <sup>25</sup>
	100.000	96.98	01/06/21	104.00	7.02 W	0.00	5 of 14 - Sale <sup>25</sup>
	102.000	97.90	01/06/21	113.24	15.34 W	0.00	6 of 14 - Sale <sup>25</sup>
	120.000	115.91	01/06/21	133.22	17.31 W	0.00	7 of 14 - Sale <sup>25</sup>
	125.000	121.23	01/06/21	130.00	8.77 W	0.00	8 of 14 - Sale <sup>25</sup>
	303.000	290.83	01/06/21	336.37	45.54 W	0.00	9 of 14 - Sale <sup>25</sup>
	500.000	484.93	01/06/21	520.00	35.07 W	0.00	10 of 14 - Sale <sup>25</sup>
	27.000	25.92	01/07/21	29.85	3.93 W	0.00	11 of 14 - Sale <sup>25</sup>
	77.000	73.91	01/07/21	85.09	11.18 W	0.00	12 of 14 - Sale <sup>25</sup>
	120.000	115.18	01/07/21	141.51	26.33 W	0.00	13 of 14 - Sale <sup>25</sup>
	176.000	168.93	01/07/21	182.16	13.23 W	0.00	14 of 14 - Sale <sup>25</sup>
01/19/21	1,900.000	1,832.46	Various	2,047.57	215.11 W	0.00	Total of 14 transactions
11 transactions for 02/09/21. Total proceeds and cost reported to the IRS.							
	23.000	44.39	02/02/21	32.89	...	11.50	1 of 11 - Sale <sup>25</sup>
	27.000	52.11	02/02/21	38.49	...	13.62	2 of 11 - Sale <sup>25</sup>
	22.000	42.46	02/02/21	28.16	...	14.30	3 of 11 - Sale <sup>25</sup>
	73.000	140.90	02/02/21	104.40	...	36.50	4 of 11 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 150684405

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
NEOVASC INC. COMMON SHARES / CUSIP: 64065J304 / Symbol: (cont'd)							
	77.000	148.62	02/02/21	110.12	...	38.50	5 of 11 - Sale <sup>25</sup>
	77.000	148.62	02/02/21	109.73	...	38.89	6 of 11 - Sale <sup>25</sup>
	102.000	196.87	02/02/21	145.89	...	50.98	7 of 11 - Sale <sup>25</sup>
	120.000	231.62	02/02/21	179.92	...	51.70	8 of 11 - Sale <sup>25</sup>
	176.000	339.71	02/02/21	238.49	...	101.22	9 of 11 - Sale <sup>25</sup>
	303.000	584.83	02/02/21	433.35	...	151.48	10 of 11 - Sale <sup>25</sup>
	500.000	965.07	02/02/21	645.00	...	320.07	11 of 11 - Sale <sup>25</sup>
02/09/21	1,500.000	2,895.20	Various	2,066.44	...	828.76	Total of 11 transactions
	<b>Security total:</b>	<b>4,727.66</b>		<b>4,114.01</b>	<b>215.11 W</b>	<b>828.76</b>	
PARAMOUNT GOLD NEVADA CORP. / CUSIP: 69924M109 / Symbol:							
	7 transactions for 03/22/21. Total proceeds and cost reported to the IRS.						
	850.000	943.39	02/09/21	1,095.56	...	-152.17	1 of 7 - Sale <sup>25</sup>
	500.000	554.94	02/09/21	649.30	...	-94.36	2 of 7 - Sale <sup>25</sup>
	150.000	166.48	02/09/21	193.34	...	-26.86	3 of 7 - Sale <sup>25</sup>
	500.000	554.94	02/10/21	652.50	...	-97.56	4 of 7 - Sale <sup>25</sup>
	500.000	554.93	02/11/21	624.30	...	-69.37	5 of 7 - Sale <sup>25</sup>
	364.000	404.00	02/12/21	436.80	...	-32.80	6 of 7 - Sale <sup>25</sup>
	136.000	150.94	02/12/21	163.20	...	-12.26	7 of 7 - Sale <sup>25</sup>
03/22/21	3,000.000	3,329.62	Various	3,815.00	...	-485.38	Total of 7 transactions
PEDEVCO CORP. / CUSIP: 70532Y303 / Symbol:							
02/23/21	500.000	811.02	02/08/21	849.30	38.28 W	0.00	Sale <sup>25</sup>
	3 transactions for 03/15/21. Total proceeds and cost reported to the IRS.						
	250.000	404.97	02/23/21	466.37	...	-61.40	1 of 3 - Sale <sup>25</sup>
	250.000	404.97	03/09/21	386.42	...	18.55	2 of 3 - Sale <sup>25</sup>
	500.000	809.93	03/09/21	734.55	...	75.38	3 of 3 - Sale <sup>25</sup>
03/15/21	1,000.000	1,619.87	Various	1,587.34	...	32.53	Total of 3 transactions
	<b>Security total:</b>	<b>2,430.89</b>		<b>2,436.64</b>	<b>38.28 W</b>	<b>32.53</b>	
POLARITYTE, INC. COMMON STOCK / CUSIP: 731094108 / Symbol:							
	8 transactions for 01/08/21. Total proceeds and cost reported to the IRS.						
	100.000	103.12	12/14/20	64.76	...	38.36	1 of 8 - Sale <sup>25</sup>
	100.000	103.12	12/14/20	64.76	...	38.36	2 of 8 - Sale <sup>25</sup>

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Account 150684405

## 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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POLARITYTE, INC. COMMON STOCK / CUSIP: 731094108 / Symbol: (cont'd)							
	100.000	103.12	12/14/20	64.76	...	38.36	3 of 8 - Sale <sup>25</sup>
	100.000	103.12	12/14/20	64.72	...	38.40	4 of 8 - Sale <sup>25</sup>
	200.000	206.23	12/14/20	129.52	...	76.71	5 of 8 - Sale <sup>25</sup>
	600.000	618.69	12/14/20	389.76	...	228.93	6 of 8 - Sale <sup>25</sup>
	1,600.000	1,649.84	12/14/20	1,019.20	...	630.64	7 of 8 - Sale <sup>25</sup>
	1,800.000	1,856.08	12/14/20	1,164.96	...	691.12	8 of 8 - Sale <sup>25</sup>
01/08/21	4,600.000	4,743.32	Various	2,962.44	...	1,780.88	Total of 8 transactions
PREDICTIVE ONCOLOGY INC. COMMO N STOCK / CUSIP: 74039M200 / Symbol:							
6 transactions for 01/04/21. Total proceeds and cost reported to the IRS.							
	1,600.000	1,137.87	07/30/20	2,701.53	...	-1,563.66	1 of 6 - Sale <sup>25</sup>
	146.000	103.80	07/30/20	246.60	...	-142.80	2 of 6 - Sale <sup>25</sup>
	144.000	102.41	07/30/20	243.23	...	-140.82	3 of 6 - Sale <sup>25</sup>
	90.000	64.00	07/30/20	151.96	...	-87.96	4 of 6 - Sale <sup>25</sup>
	10.000	7.11	07/30/20	18.57	...	-11.46	5 of 6 - Sale <sup>25</sup>
	10.000	7.11	07/30/20	15.20	...	-8.09	6 of 6 - Sale <sup>25</sup>
01/04/21	2,000.000	1,422.30	Various	3,377.09	...	-1,954.79	Total of 6 transactions
RESEARCH SOLUTIONS, INC COMMON STOCK / CUSIP: 761025105 / Symbol:							
3 transactions for 03/19/21. Total proceeds and cost reported to the IRS.							
	800.000	1,719.89	02/17/21	1,955.28	...	-235.39	1 of 3 - Sale <sup>25</sup>
	200.000	429.97	02/23/21	438.00	...	-8.03	2 of 3 - Sale <sup>25</sup>
	200.000	429.98	02/23/21	433.22	...	-3.24	3 of 3 - Sale <sup>25</sup>
03/19/21	1,200.000	2,579.84	Various	2,826.50	...	-246.66	Total of 3 transactions
SANCHEZ MIDSTREAM PARTNERS LP / CUSIP: 79971C201 / Symbol:							
01/12/21	1,200.000	1,092.19	12/14/20	778.56	...	313.63	Sale <sup>25</sup>
5 transactions for 01/13/21. Total proceeds and cost reported to the IRS.							
	100.000	96.99	12/28/20	62.80	...	34.19	1 of 5 - Sale <sup>25</sup>
	100.000	96.99	12/28/20	62.80	...	34.19	2 of 5 - Sale <sup>25</sup>
	100.000	96.99	12/28/20	62.80	...	34.19	3 of 5 - Sale <sup>25</sup>
	500.000	484.94	12/28/20	318.42	...	166.52	4 of 5 - Sale <sup>25</sup>
	500.000	484.94	12/28/20	314.00	...	170.94	5 of 5 - Sale <sup>25</sup>
01/13/21	1,300.000	1,260.85	Various	820.82	...	440.03	Total of 5 transactions

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Account 150684405

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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SANCHEZ MIDSTREAM PARTNERS LP / CUSIP: 79971C201 / Symbol: (cont'd)							
<b>Security total:</b>		<b>2,353.04</b>		<b>1,599.38</b>	...		<b>753.66</b>
SOLIGENIX, INC. COMMON STOCK / CUSIP: 834223307 / Symbol:							
2 transactions for 01/25/21. Total proceeds and cost reported to the IRS.							
	1,500.000	2,534.91	01/06/21	2,009.70	...		525.21 1 of 2 - Sale <sup>25</sup>
	1,000.000	1,689.94	01/08/21	1,389.80	...		300.14 2 of 2 - Sale <sup>25</sup>
01/25/21	2,500.000	4,224.85	Various	3,399.50	...		825.35 Total of 2 transactions
8 transactions for 02/02/21. Total proceeds and cost reported to the IRS.							
	300.000	461.96	02/01/21	470.61	...		-8.65 1 of 8 - Sale <sup>25</sup>
	300.000	461.96	02/01/21	470.61	...		-8.65 2 of 8 - Sale <sup>25</sup>
	100.000	153.99	02/01/21	156.87	...		-2.88 3 of 8 - Sale <sup>25</sup>
	98.000	150.91	02/01/21	153.73	...		-2.82 4 of 8 - Sale <sup>25</sup>
	100.000	153.99	02/01/21	156.50	...		-2.51 5 of 8 - Sale <sup>25</sup>
	75.000	115.49	02/01/21	117.65	...		-2.16 6 of 8 - Sale <sup>25</sup>
	25.000	38.50	02/01/21	39.13	...		-0.63 7 of 8 - Sale <sup>25</sup>
	2.000	3.08	02/01/21	3.14	...		-0.06 8 of 8 - Sale <sup>25</sup>
02/02/21	1,000.000	1,539.88	Various	1,568.24	...		-28.36 Total of 8 transactions
<b>Security total:</b>		<b>5,764.73</b>		<b>4,967.74</b>	...		<b>796.99</b>
SOS LIMITED / CUSIP: 83587W106 / Symbol:							
03/17/21	100.000	710.99	03/17/21	723.70	12.71 W	0.00	Sale <sup>25</sup>
03/18/21	100.000	786.98	03/17/21	810.71	23.73 W	0.00	Sale <sup>25</sup>
<b>Security total:</b>		<b>1,497.97</b>		<b>1,534.41</b>	<b>36.44 W</b>	<b>0.00</b>	
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
03/22/21	1,000.000	1,349.87	03/22/21	1,388.90	39.03 W	0.00	Sale <sup>25</sup>
5 transactions for 04/20/21. Total proceeds and cost reported to the IRS.							
	44.000	39.93	03/26/21	73.00	...		-33.07 1 of 5 - Sale <sup>25</sup>
	91.000	82.59	03/26/21	107.75	...		-25.16 2 of 5 - Sale <sup>25</sup>
	47.000	42.66	03/26/21	53.81	...		-11.15 3 of 5 - Sale <sup>25</sup>
	9.000	8.17	03/26/21	12.79	...		-4.62 4 of 5 - Sale <sup>25</sup>
	9.000	8.17	03/26/21	10.31	...		-2.14 5 of 5 - Sale <sup>25</sup>
04/20/21	200.000	181.52	Various	257.66	...		-76.14 Total of 5 transactions

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Robinhood Securities LLC

Account 150684405

## 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 &amp; 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: (cont'd)							
7 transactions for 04/20/21. Total proceeds and cost reported to the IRS.							
	100.000	90.76	03/26/21	118.40	25.15 W	-2.49	1 of 7 - Sale <sup>25</sup>
	44.000	39.93	03/26/21	52.10	12.17 W	0.00	2 of 7 - Sale <sup>25</sup>
	44.000	39.93	03/26/21	62.55	22.62 W	0.00	3 of 7 - Sale <sup>25</sup>
	56.000	50.83	03/26/21	66.31	15.48 W	0.00	4 of 7 - Sale <sup>25</sup>
	56.000	50.83	03/26/21	66.31	15.48 W	0.00	5 of 7 - Sale <sup>25</sup>
	153.000	138.86	03/26/21	181.15	42.29 W	0.00	6 of 7 - Sale <sup>25</sup>
	500.000	453.79	03/26/21	592.01	138.22 W	0.00	7 of 7 - Sale <sup>25</sup>
04/20/21	953.000	864.93	Various	1,138.83	271.41 W	-2.49	Total of 7 transactions
8 transactions for 05/04/21. Total proceeds and cost reported to the IRS.							
	205.000	168.69	03/26/21	291.40	...	-122.71	1 of 8 - Sale <sup>25</sup>
	153.000	125.90	03/26/21	217.48	...	-91.58	2 of 8 - Sale <sup>25</sup>
	144.000	118.50	03/26/21	204.68	...	-86.18	3 of 8 - Sale <sup>25</sup>
	91.000	74.88	03/26/21	129.35	...	-54.47	4 of 8 - Sale <sup>25</sup>
	91.000	74.88	03/26/21	129.35	...	-54.47	5 of 8 - Sale <sup>25</sup>
	60.000	49.37	03/26/21	85.29	...	-35.92	6 of 8 - Sale <sup>25</sup>
	56.000	46.08	03/26/21	79.60	...	-33.52	7 of 8 - Sale <sup>25</sup>
	47.000	38.67	03/26/21	66.81	...	-28.14	8 of 8 - Sale <sup>25</sup>
05/04/21	847.000	696.97	Various	1,203.96	...	-506.99	Total of 8 transactions
2 transactions for 07/09/21. Total proceeds and cost reported to the IRS.							
	1,000.000	884.88	07/06/21	896.70	...	-11.82	1 of 2 - Sale <sup>25</sup>
	200.000	176.97	07/07/21	169.02	...	7.95	2 of 2 - Sale <sup>25</sup>
07/09/21	1,200.000	1,061.85	Various	1,065.72	...	-3.87	Total of 2 transactions
	<b>Security total:</b>	<b>4,155.14</b>		<b>5,055.07</b>	<b>310.44 W</b>	<b>-589.49</b>	
SUNLANDS TECHNOLOGY GROUP, AME RICAN DEPOSITARY SHARES, EACH 25 REPRESENTING ONE CLASS A O / CUSIP: 86740P108 / Symbol:							
2 transactions for 03/24/21. Total proceeds and cost reported to the IRS.							
	1,500.000	1,649.96	02/19/21	2,460.00	...	-810.04	1 of 2 - Sale <sup>25</sup>
	500.000	549.98	02/23/21	640.00	...	-90.02	2 of 2 - Sale <sup>25</sup>
03/24/21	2,000.000	2,199.94	Various	3,100.00	...	-900.06	Total of 2 transactions
TEMPEST THERAPEUTICS, INC. COM MON STOCK / CUSIP: 87978U108 / Symbol:							
06/28/21	16.000	219.20	06/25/21	270.53	...	-51.33	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 150684405

## 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- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
01/14/21	4.000	3,368.12	01/05/21	2,905.85	...	462.27	Sale <sup>25</sup>
TOMI ENVIRONMENTAL SOLUTIONS, INC. COMMON STOCK / CUSIP: 890023203 / Symbol:							
2 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	100.000	464.99	01/22/21	474.00	9.01 W	0.00	1 of 2 - Sale <sup>25</sup>
	200.000	921.69	01/22/21	948.00	26.31 W	0.00	2 of 2 - Sale <sup>25</sup>
01/22/21	300.000	1,386.68	Various	1,422.00	35.32 W	0.00	Total of 2 transactions
2 transactions for 01/25/21. Total proceeds and cost reported to the IRS.							
	200.000	961.95	01/22/21	954.31	...	7.64	1 of 2 - Sale <sup>25</sup>
	100.000	480.97	01/22/21	473.01	...	7.96	2 of 2 - Sale <sup>25</sup>
01/25/21	300.000	1,442.92	Various	1,427.32	...	15.60	Total of 2 transactions
5 transactions for 01/26/21. Total proceeds and cost reported to the IRS.							
	20.000	95.07	01/26/21	99.20	4.13 W	0.00	1 of 5 - Sale <sup>25</sup>
	100.000	475.36	01/26/21	496.00	20.64 W	0.00	2 of 5 - Sale <sup>25</sup>
	100.000	475.37	01/26/21	496.00	20.63 W	0.00	3 of 5 - Sale <sup>25</sup>
	100.000	475.37	01/26/21	496.00	20.63 W	0.00	4 of 5 - Sale <sup>25</sup>
	180.000	855.66	01/26/21	892.80	37.14 W	0.00	5 of 5 - Sale <sup>25</sup>
01/26/21	500.000	2,376.83	Various	2,480.00	103.17 W	0.00	Total of 5 transactions
4 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	20.000	99.79	01/26/21	101.13	1.34 W	0.00	1 of 4 - Sale <sup>25</sup>
	100.000	498.97	01/26/21	505.63	6.66 W	0.00	2 of 4 - Sale <sup>25</sup>
	100.000	498.98	01/26/21	505.63	6.65 W	0.00	3 of 4 - Sale <sup>25</sup>
	180.000	898.16	01/26/21	910.14	11.98 W	0.00	4 of 4 - Sale <sup>25</sup>
01/27/21	400.000	1,995.90	Various	2,022.53	26.63 W	0.00	Total of 4 transactions
2 transactions for 02/23/21. Total proceeds and cost reported to the IRS.							
	100.000	453.45	01/26/21	505.64	52.19 W	0.00	1 of 2 - Sale <sup>25</sup>
	100.000	453.46	01/29/21	453.65	0.19 W	0.00	2 of 2 - Sale <sup>25</sup>
02/23/21	200.000	906.91	Various	959.29	52.38 W	0.00	Total of 2 transactions
8 transactions for 03/15/21. Total proceeds and cost reported to the IRS.							
	100.000	446.36	02/03/21	466.23	...	-19.87	1 of 8 - Sale <sup>25</sup>
	98.000	437.44	02/03/21	456.90	...	-19.46	2 of 8 - Sale <sup>25</sup>
	78.000	352.55	02/03/21	363.66	...	-11.11	3 of 8 - Sale <sup>25</sup>
	20.000	90.40	02/03/21	93.25	...	-2.85	4 of 8 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 150684405

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TOMI ENVIRONMENTAL SOLUTIONS, INC. COMMON STOCK / CUSIP: 890023203 / Symbol: (cont'd)							
	2.000	9.04	02/03/21	9.32	...	-0.28	5 of 8 - Sale <sup>25</sup>
	2.000	9.04	02/03/21	9.32	...	-0.28	6 of 8 - Sale <sup>25</sup>
	100.000	446.37	02/23/21	494.15	...	-47.78	7 of 8 - Sale <sup>25</sup>
	100.000	446.36	02/23/21	442.15	...	4.21	8 of 8 - Sale <sup>25</sup>
03/15/21	500.000	2,237.56	Various	2,334.98	...	-97.42	Total of 8 transactions
	<b>Security total:</b>	<b>10,346.80</b>		<b>10,646.12</b>	<b>217.50 W</b>	<b>-81.82</b>	
TORCHLIGHT ENERGY RESOURCES, I NC. COMMON STOCK / CUSIP: 89102U103 / Symbol:							
7 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	25.000	41.53	01/27/21	45.25	3.72 W	0.00	1 of 7 - Sale <sup>25</sup>
	38.000	63.13	01/27/21	68.78	5.65 W	0.00	2 of 7 - Sale <sup>25</sup>
	62.000	103.00	01/27/21	112.22	9.22 W	0.00	3 of 7 - Sale <sup>25</sup>
	68.000	112.96	01/27/21	123.08	10.12 W	0.00	4 of 7 - Sale <sup>25</sup>
	75.000	124.59	01/27/21	135.75	11.16 W	0.00	5 of 7 - Sale <sup>25</sup>
	100.000	166.12	01/27/21	181.00	14.88 W	0.00	6 of 7 - Sale <sup>25</sup>
	132.000	219.29	01/27/21	238.92	19.63 W	0.00	7 of 7 - Sale <sup>25</sup>
01/27/21	500.000	830.62	Various	905.00	74.38 W	0.00	Total of 7 transactions
7 transactions for 01/28/21. Total proceeds and cost reported to the IRS.							
	132.000	194.21	01/27/21	242.52	...	-48.31	1 of 7 - Sale <sup>25</sup>
	100.000	147.12	01/27/21	183.74	...	-36.62	2 of 7 - Sale <sup>25</sup>
	75.000	110.34	01/27/21	137.81	...	-27.47	3 of 7 - Sale <sup>25</sup>
	68.000	100.04	01/27/21	124.95	...	-24.91	4 of 7 - Sale <sup>25</sup>
	62.000	91.22	01/27/21	113.91	...	-22.69	5 of 7 - Sale <sup>25</sup>
	38.000	55.91	01/27/21	69.82	...	-13.91	6 of 7 - Sale <sup>25</sup>
	25.000	36.78	01/27/21	45.93	...	-9.15	7 of 7 - Sale <sup>25</sup>
01/28/21	500.000	735.62	Various	918.68	...	-183.06	Total of 7 transactions
	<b>Security total:</b>	<b>1,566.24</b>		<b>1,823.68</b>	<b>74.38 W</b>	<b>-183.06</b>	
VTV THERAPEUTICS INC. CLASS A COMMON STOCK / CUSIP: 918385105 / Symbol:							
6 transactions for 02/02/21. Total proceeds and cost reported to the IRS.							
	1.000	2.90	01/21/21	2.14	...	0.76	1 of 6 - Sale <sup>25</sup>
	20.000	58.00	01/21/21	42.80	...	15.20	2 of 6 - Sale <sup>25</sup>
	20.000	58.00	01/21/21	42.70	...	15.30	3 of 6 - Sale <sup>25</sup>
	80.000	231.99	01/21/21	170.80	...	61.19	4 of 6 - Sale <sup>25</sup>

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Account 150684405

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
VTV THERAPEUTICS INC. CLASS A COMMON STOCK / CUSIP: 918385105 / Symbol: (cont'd)							
	379.000	1,099.07	01/21/21	811.06	...	288.01	5 of 6 - Sale <sup>25</sup>
	500.000	1,449.96	01/25/21	1,050.00	...	399.96	6 of 6 - Sale <sup>25</sup>
02/02/21	1,000.000	2,899.92	Various	2,119.50	...	780.42	Total of 6 transactions
	10 transactions for 02/03/21. Total proceeds and cost reported to the IRS.						
	9.000	22.87	01/27/21	18.63	...	4.24	1 of 10 - Sale <sup>25</sup>
	11.000	27.95	01/27/21	22.77	...	5.18	2 of 10 - Sale <sup>25</sup>
	11.000	27.95	01/27/21	22.77	...	5.18	3 of 10 - Sale <sup>25</sup>
	11.000	27.95	01/27/21	22.77	...	5.18	4 of 10 - Sale <sup>25</sup>
	11.000	27.95	01/27/21	22.77	...	5.18	5 of 10 - Sale <sup>25</sup>
	67.000	170.25	01/27/21	138.69	...	31.56	6 of 10 - Sale <sup>25</sup>
	80.000	203.28	01/27/21	165.60	...	37.68	7 of 10 - Sale <sup>25</sup>
	100.000	254.10	01/27/21	207.00	...	47.10	8 of 10 - Sale <sup>25</sup>
	200.000	508.20	01/27/21	414.00	...	94.20	9 of 10 - Sale <sup>25</sup>
	500.000	1,270.52	02/01/21	1,020.00	...	250.52	10 of 10 - Sale <sup>25</sup>
02/03/21	1,000.000	2,541.02	Various	2,055.00	...	486.02	Total of 10 transactions
	<b>Security total:</b>	<b>5,440.94</b>		<b>4,174.50</b>	...	<b>1,266.44</b>	
VINCO VENTURES, INC. COMMON ST OCK / CUSIP: 927330100 / Symbol:							
	12 transactions for 01/21/21. Total proceeds and cost reported to the IRS.						
	1.000	5.05	01/20/21	1.57	...	3.48	1 of 12 - Sale <sup>25</sup>
	25.000	126.00	01/20/21	39.25	...	86.75	2 of 12 - Sale <sup>25</sup>
	25.000	126.50	01/20/21	39.25	...	87.25	3 of 12 - Sale <sup>25</sup>
	100.000	503.97	01/20/21	157.00	...	346.97	4 of 12 - Sale <sup>25</sup>
	100.000	504.97	01/20/21	157.00	...	347.97	5 of 12 - Sale <sup>25</sup>
	100.000	504.97	01/20/21	157.00	...	347.97	6 of 12 - Sale <sup>25</sup>
	174.000	878.66	01/20/21	273.18	...	605.48	7 of 12 - Sale <sup>25</sup>
	200.000	1,005.95	01/20/21	314.00	...	691.95	8 of 12 - Sale <sup>25</sup>
	275.000	1,383.18	01/20/21	431.75	...	951.43	9 of 12 - Sale <sup>25</sup>
	300.000	1,514.92	01/20/21	471.00	...	1,043.92	10 of 12 - Sale <sup>25</sup>
	300.000	1,514.92	01/20/21	471.00	...	1,043.92	11 of 12 - Sale <sup>25</sup>
	300.000	1,514.92	01/20/21	471.00	...	1,043.92	12 of 12 - Sale <sup>25</sup>
01/21/21	1,900.000	9,584.01	Various	2,983.00	...	6,601.01	Total of 12 transactions

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Robinhood Securities LLC

Account 150684405

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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

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ZOMEDICA CORP. / CUSIP: 98980M109 / Symbol:							
4 transactions for 04/20/21. Total proceeds and cost reported to the IRS.							
	129.000	99.31	03/26/21	332.23	...	-232.92	1 of 4 - Sale <sup>25</sup>
	80.000	61.59	03/26/21	206.03	...	-144.44	2 of 4 - Sale <sup>25</sup>
	10.000	8.45	03/26/21	17.10	...	-8.65	3 of 4 - Sale <sup>25</sup>
	2.000	1.54	03/26/21	5.15	...	-3.61	4 of 4 - Sale <sup>25</sup>
04/20/21	221.000	170.89	Various	560.51	...	-389.62	Total of 4 transactions
04/20/21	279.000	235.64	03/26/21	477.09	182.60 W	-58.85	Sale <sup>25</sup>
	<b>Security total:</b>	<b>406.53</b>		<b>1,037.60</b>	<b>182.60 W</b>	<b>-448.47</b>	
ZYNERBA PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 98986X109 / Symbol:							
2 transactions for 02/03/21. Total proceeds and cost reported to the IRS.							
	500.000	2,404.94	01/22/21	1,774.50	...	630.44	1 of 2 - Sale <sup>25</sup>
	500.000	2,404.93	01/25/21	1,784.45	...	620.48	2 of 2 - Sale <sup>25</sup>
02/03/21	1,000.000	4,809.87	Various	3,558.95	...	1,250.92	Total of 2 transactions
ATIF HOLDINGS LIMITED ORDINARY SHARES / CUSIP: G0602B100 / Symbol:							
9 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	18.000	19.17	01/21/21	19.26	0.09 W	0.00	1 of 9 - Sale <sup>25</sup>
	42.000	44.73	01/21/21	44.94	0.21 W	0.00	2 of 9 - Sale <sup>25</sup>
	58.000	61.76	01/21/21	62.06	0.30 W	0.00	3 of 9 - Sale <sup>25</sup>
	82.000	87.32	01/21/21	87.74	0.42 W	0.00	4 of 9 - Sale <sup>25</sup>
	100.000	106.49	01/21/21	107.00	0.51 W	0.00	5 of 9 - Sale <sup>25</sup>
	100.000	106.49	01/21/21	107.00	0.51 W	0.00	6 of 9 - Sale <sup>25</sup>
	100.000	106.49	01/21/21	107.00	0.51 W	0.00	7 of 9 - Sale <sup>25</sup>
	100.000	106.49	01/21/21	107.00	0.51 W	0.00	8 of 9 - Sale <sup>25</sup>
	400.000	425.95	01/21/21	428.00	2.05 W	0.00	9 of 9 - Sale <sup>25</sup>
01/27/21	1,000.000	1,064.89	Various	1,070.00	5.11 W	0.00	Total of 9 transactions
19 transactions for 02/18/21. Total proceeds and cost reported to the IRS.							
	4.000	5.60	02/02/21	4.38	...	1.22	1 of 19 - Sale <sup>25</sup>
	5.000	7.00	02/02/21	5.48	...	1.52	2 of 19 - Sale <sup>25</sup>
	5.000	7.00	02/02/21	5.48	...	1.52	3 of 19 - Sale <sup>25</sup>
	5.000	7.00	02/02/21	5.48	...	1.52	4 of 19 - Sale <sup>25</sup>
	5.000	7.00	02/02/21	5.48	...	1.52	5 of 19 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 150684405

## 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
ATIF HOLDINGS LIMITED ORDINARY SHARES / CUSIP: G0602B100 / Symbol: (cont'd)							
	9.000	13.50	02/02/21	9.63	...	3.87	6 of 19 - Sale <sup>25</sup>
	18.000	27.00	02/02/21	19.71	...	7.29	7 of 19 - Sale <sup>25</sup>
	35.000	49.00	02/02/21	38.33	...	10.67	8 of 19 - Sale <sup>25</sup>
	50.000	70.00	02/02/21	54.76	...	15.24	9 of 19 - Sale <sup>25</sup>
	42.000	62.99	02/02/21	45.99	...	17.00	10 of 19 - Sale <sup>25</sup>
	58.000	86.99	02/02/21	63.52	...	23.47	11 of 19 - Sale <sup>25</sup>
	100.000	139.99	02/02/21	109.51	...	30.48	12 of 19 - Sale <sup>25</sup>
	100.000	139.99	02/02/21	109.51	...	30.48	13 of 19 - Sale <sup>25</sup>
	82.000	122.99	02/02/21	89.80	...	33.19	14 of 19 - Sale <sup>25</sup>
	100.000	149.98	02/02/21	109.51	...	40.47	15 of 19 - Sale <sup>25</sup>
	100.000	149.98	02/02/21	109.51	...	40.47	16 of 19 - Sale <sup>25</sup>
	100.000	149.99	02/02/21	109.51	...	40.48	17 of 19 - Sale <sup>25</sup>
	191.000	286.47	02/02/21	209.15	...	77.32	18 of 19 - Sale <sup>25</sup>
	491.000	736.42	02/02/21	525.37	...	211.05	19 of 19 - Sale <sup>25</sup>
02/18/21	1,500.000	2,218.89	Various	1,630.11	...	588.78	Total of 19 transactions
	<b>Security total:</b>	<b>3,283.78</b>		<b>2,700.11</b>	<b>5.11 W</b>	<b>588.78</b>	
DRAGON VICTORY INTERNATIONAL LIMITED ORDINARY SHARES / CUSIP: G28365107 / Symbol:							
2 transactions for 02/19/21. Total proceeds and cost reported to the IRS.							
	250.000	919.39	02/04/21	625.00	...	294.39	1 of 2 - Sale <sup>25</sup>
	500.000	1,713.00	02/04/21	1,250.00	...	463.00	2 of 2 - Sale <sup>25</sup>
02/19/21	750.000	2,632.39	Various	1,875.00	...	757.39	Total of 2 transactions
FARMMI, INC. ORDINARY SHARES / CUSIP: G33277107 / Symbol:							
05/14/21	202.000	74.03	05/10/21	91.53	...	-17.50	Sale <sup>25</sup>
2 transactions for 05/14/21. Total proceeds and cost reported to the IRS.							
	98.000	35.91	05/10/21	40.18	4.27 W	0.00	1 of 2 - Sale <sup>25</sup>
	500.000	183.44	05/10/21	205.00	21.56 W	0.00	2 of 2 - Sale <sup>25</sup>
05/14/21	598.000	219.35	Various	245.18	25.83 W	0.00	Total of 2 transactions
4 transactions for 05/17/21. Total proceeds and cost reported to the IRS.							
	694.000	256.70	05/10/21	284.54	...	-27.84	1 of 4 - Sale <sup>25</sup>
	298.000	110.22	05/10/21	135.03	...	-24.81	2 of 4 - Sale <sup>25</sup>
	98.000	36.25	05/10/21	44.45	...	-8.20	3 of 4 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 150684405

## 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
FARMMI, INC. ORDINARY SHARES / CUSIP: G33277107 / Symbol: (cont'd)							
	110.000	40.69	05/10/21	45.10	...	-4.41	4 of 4 - Sale <sup>25</sup>
05/17/21	1,200.000	443.86	Various	509.12	...	-65.26	Total of 4 transactions
	<b>Security total:</b>	<b>737.24</b>		<b>845.83</b>	<b>25.83 W</b>	<b>-82.76</b>	
EBANG INTERNATIONAL HOLDINGS I NC. CLASS A ORDINARY SHARES / CUSIP: G3R33A106 / Symbol:							
4 transactions for 05/13/21. Total proceeds and cost reported to the IRS.							
	14.000	39.20	02/19/21	153.30	114.10 W	0.00	1 of 4 - Sale <sup>25</sup>
	31.000	86.80	02/23/21	210.11	123.31 W	0.00	2 of 4 - Sale <sup>25</sup>
	25.000	70.00	03/08/21	140.25	70.25 W	0.00	3 of 4 - Sale <sup>25</sup>
	30.000	84.00	03/23/21	263.82	179.82 W	0.00	4 of 4 - Sale <sup>25</sup>
05/13/21	100.000	280.00	Various	767.48	487.48 W	0.00	Total of 4 transactions
HAPPINESS DEVELOPMENT GROUP LI MITED CLASS A ORDINARY SHARES / CUSIP: G4289N114 / Symbol:							
6 transactions for 01/04/21. Total proceeds and cost reported to the IRS.							
	300.000	505.44	04/16/20	990.00	...	-484.56	1 of 6 - Sale <sup>25</sup>
	200.000	336.98	04/16/20	660.00	...	-323.02	2 of 6 - Sale <sup>25</sup>
	200.000	336.98	04/16/20	660.00	...	-323.02	3 of 6 - Sale <sup>25</sup>
	100.000	168.49	04/16/20	330.00	...	-161.51	4 of 6 - Sale <sup>25</sup>
	100.000	168.49	04/16/20	330.00	...	-161.51	5 of 6 - Sale <sup>25</sup>
	100.000	168.49	04/16/20	330.00	...	-161.51	6 of 6 - Sale <sup>25</sup>
01/04/21	1,000.000	1,684.87	Various	3,300.00	...	-1,615.13	Total of 6 transactions
METEN HOLDING GROUP LTD. ORDINARY SHARES / CUSIP: G6055H114 / Symbol:							
3 transactions for 01/25/21. Total proceeds and cost reported to the IRS.							
	150.000	315.88	01/08/21	294.15	...	21.73	1 of 3 - Sale <sup>25</sup>
	511.000	1,076.13	01/08/21	1,022.00	...	54.13	2 of 3 - Sale <sup>25</sup>
	989.000	2,082.77	01/08/21	2,013.21	...	69.56	3 of 3 - Sale <sup>25</sup>
01/25/21	1,650.000	3,474.78	Various	3,329.36	...	145.42	Total of 3 transactions
5 transactions for 02/04/21. Total proceeds and cost reported to the IRS.							
	21.000	61.74	01/28/21	41.37	...	20.37	1 of 5 - Sale <sup>25</sup>
	45.000	134.10	01/28/21	88.65	...	45.45	2 of 5 - Sale <sup>25</sup>
	110.000	323.38	01/28/21	216.70	...	106.68	3 of 5 - Sale <sup>25</sup>
	649.000	1,907.93	01/28/21	1,284.96	...	622.97	4 of 5 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 150684405

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
METEN HOLDING GROUP LTD. ORDIN ARY SHARES / CUSIP: G6055H114 / Symbol: (cont'd)							
	675.000	2,011.37	01/28/21	1,329.75	...	681.62	5 of 5 - Sale <sup>25</sup>
02/04/21	1,500.000	4,438.52	Various	2,961.43	...	1,477.09	Total of 5 transactions
07/09/21	1,500.000	1,186.76	07/07/21	1,207.50	...	-20.74	Sale <sup>25</sup>
	<b>Security total:</b>	<b>9,100.06</b>		<b>7,498.29</b>	...	<b>1,601.77</b>	
NABRIVA THERAPEUTICS PLC ORDIN ARY SHARES IRELAND / CUSIP: G63637113 / Symbol:							
2 transactions for 03/24/21. Total proceeds and cost reported to the IRS.							
	1,000.000	1,740.37	02/04/21	2,898.60	...	-1,158.23	1 of 2 - Sale <sup>25</sup>
	500.000	870.18	02/05/21	1,439.35	...	-569.17	2 of 2 - Sale <sup>25</sup>
03/24/21	1,500.000	2,610.55	Various	4,337.95	...	-1,727.40	Total of 2 transactions
PINGTAN MARINE ENTERPRISE LTD. / CUSIP: G7114V102 / Symbol:							
8 transactions for 03/22/21. Total proceeds and cost reported to the IRS.							
	100.000	118.30	02/08/21	175.99	...	-57.69	1 of 8 - Sale <sup>25</sup>
	100.000	118.30	02/23/21	201.00	...	-82.70	2 of 8 - Sale <sup>25</sup>
	100.000	118.30	02/23/21	201.00	...	-82.70	3 of 8 - Sale <sup>25</sup>
	100.000	118.30	02/23/21	201.00	...	-82.70	4 of 8 - Sale <sup>25</sup>
	100.000	118.30	02/23/21	201.00	...	-82.70	5 of 8 - Sale <sup>25</sup>
	100.000	118.30	02/23/21	144.00	...	-25.70	6 of 8 - Sale <sup>25</sup>
	500.000	591.48	03/08/21	530.00	...	61.48	7 of 8 - Sale <sup>25</sup>
	300.000	354.88	03/09/21	313.50	...	41.38	8 of 8 - Sale <sup>25</sup>
03/22/21	1,400.000	1,656.16	Various	1,967.49	...	-311.33	Total of 8 transactions
4 transactions for 03/22/21. Total proceeds and cost reported to the IRS.							
	100.000	118.99	02/08/21	175.99	57.00 W	0.00	1 of 4 - Sale <sup>25</sup>
	100.000	118.99	02/08/21	175.99	57.00 W	0.00	2 of 4 - Sale <sup>25</sup>
	100.000	118.99	02/08/21	175.99	57.00 W	0.00	3 of 4 - Sale <sup>25</sup>
	100.000	118.99	02/08/21	175.99	57.00 W	0.00	4 of 4 - Sale <sup>25</sup>
03/22/21	400.000	475.96	Various	703.96	228.00 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>2,132.12</b>		<b>2,671.45</b>	<b>228.00 W</b>	<b>-311.33</b>	
RETO ECO-SOLUTIONS, INC. COMMO N SHARES / CUSIP: G75271109 / Symbol:							
4 transactions for 01/20/21. Total proceeds and cost reported to the IRS.							
	500.000	514.92	12/14/20	323.85	...	191.07	1 of 4 - Sale <sup>25</sup>
	600.000	617.97	12/14/20	388.62	...	229.35	2 of 4 - Sale <sup>25</sup>

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Account 150684405

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/11/2022

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RETO ECO-SOLUTIONS, INC. COMMO N SHARES / CUSIP: G75271109 / Symbol: (cont'd)							
	900.000	926.86	12/14/20	582.93	...	343.93	3 of 4 - Sale <sup>25</sup>
	1,000.000	1,029.85	12/14/20	647.70	...	382.15	4 of 4 - Sale <sup>25</sup>
01/20/21	3,000.000	3,089.60	Various	1,943.10	...	1,146.50	Total of 4 transactions
07/09/21	500.000	514.93	07/08/21	534.95	...	-20.02	Sale <sup>25</sup>
	<b>Security total:</b>	<b>3,604.53</b>		<b>2,478.05</b>	...	<b>1,126.48</b>	
TANTECH HOLDINGS LTD. COMMON S TOCK / CUSIP: G8675X107 / Symbol:							
	11 transactions for 03/22/21. Total proceeds and cost reported to the IRS.						
	350.000	560.31	01/21/21	654.36	...	-94.05	1 of 11 - Sale <sup>25</sup>
	680.000	1,088.59	01/22/21	1,270.72	...	-182.13	2 of 11 - Sale <sup>25</sup>
	100.000	160.09	01/22/21	186.50	...	-26.41	3 of 11 - Sale <sup>25</sup>
	70.000	112.06	01/22/21	130.55	...	-18.49	4 of 11 - Sale <sup>25</sup>
	167.000	267.35	01/29/21	287.24	...	-19.89	5 of 11 - Sale <sup>25</sup>
	133.000	212.91	01/29/21	228.76	...	-15.85	6 of 11 - Sale <sup>25</sup>
	100.000	160.09	01/29/21	172.00	...	-11.91	7 of 11 - Sale <sup>25</sup>
	100.000	160.09	01/29/21	172.00	...	-11.91	8 of 11 - Sale <sup>25</sup>
	170.000	272.15	02/23/21	324.46	...	-52.31	9 of 11 - Sale <sup>25</sup>
	130.000	208.11	02/23/21	248.18	...	-40.07	10 of 11 - Sale <sup>25</sup>
	200.000	320.17	02/23/21	327.78	...	-7.61	11 of 11 - Sale <sup>25</sup>
03/22/21	2,200.000	3,521.92	Various	4,002.55	...	-480.63	Total of 11 transactions
	2 transactions for 03/22/21. Total proceeds and cost reported to the IRS.						
	130.000	207.98	01/21/21	243.10	35.12 W	0.00	1 of 2 - Sale <sup>25</sup>
	170.000	271.98	01/21/21	317.83	45.85 W	0.00	2 of 2 - Sale <sup>25</sup>
03/22/21	300.000	479.96	Various	560.93	80.97 W	0.00	Total of 2 transactions
	2 transactions for 07/09/21. Total proceeds and cost reported to the IRS.						
	200.000	216.08	06/25/21	229.00	...	-12.92	1 of 2 - Sale <sup>25</sup>
	100.000	108.04	06/25/21	114.50	...	-6.46	2 of 2 - Sale <sup>25</sup>
07/09/21	300.000	324.12	Various	343.50	...	-19.38	Total of 2 transactions
	<b>Security total:</b>	<b>4,326.00</b>		<b>4,906.98</b>	<b>80.97 W</b>	<b>-500.01</b>	

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## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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ZHONGCHAO INC. CLASS A ORDINAR Y SHARES / CUSIP: G9897X107 / Symbol:							
2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	500.000	899.92	01/11/21	905.00	5.08 W	0.00	1 of 2 - Sale <sup>25</sup>
	580.000	1,043.90	01/12/21	1,081.41	37.51 W	0.00	2 of 2 - Sale <sup>25</sup>
01/27/21	1,080.000	1,943.82	Various	1,986.41	42.59 W	0.00	Total of 2 transactions
10 transactions for 01/28/21. Total proceeds and cost reported to the IRS.							
	20.000	36.60	01/28/21	37.80	1.20 W	0.00	1 of 10 - Sale <sup>25</sup>
	20.000	36.80	01/28/21	39.09	2.29 W	0.00	2 of 10 - Sale <sup>25</sup>
	80.000	146.39	01/28/21	151.19	4.80 W	0.00	3 of 10 - Sale <sup>25</sup>
	100.000	182.98	01/28/21	195.46	12.48 W	0.00	4 of 10 - Sale <sup>25</sup>
	100.000	182.99	01/28/21	190.01	7.02 W	0.00	5 of 10 - Sale <sup>25</sup>
	100.000	182.99	01/28/21	195.46	12.47 W	0.00	6 of 10 - Sale <sup>25</sup>
	120.000	219.58	01/28/21	226.79	7.21 W	0.00	7 of 10 - Sale <sup>25</sup>
	200.000	369.26	01/28/21	377.98	8.72 W	0.00	8 of 10 - Sale <sup>25</sup>
	360.000	658.74	01/28/21	703.64	44.90 W	0.00	9 of 10 - Sale <sup>25</sup>
	400.000	731.93	01/28/21	760.02	28.09 W	0.00	10 of 10 - Sale <sup>25</sup>
01/28/21	1,500.000	2,748.26	Various	2,877.44	129.18 W	0.00	Total of 10 transactions
7 transactions for 02/22/21. Total proceeds and cost reported to the IRS.							
	20.000	44.71	01/28/21	39.49	...	5.22	1 of 7 - Sale <sup>25</sup>
	38.000	84.96	01/28/21	72.59	...	12.37	2 of 7 - Sale <sup>25</sup>
	100.000	223.57	01/28/21	198.48	...	25.09	3 of 7 - Sale <sup>25</sup>
	100.000	223.58	01/28/21	198.47	...	25.11	4 of 7 - Sale <sup>25</sup>
	100.000	223.57	01/28/21	191.02	...	32.55	5 of 7 - Sale <sup>25</sup>
	280.000	626.01	01/28/21	555.72	...	70.29	6 of 7 - Sale <sup>25</sup>
	362.000	809.33	01/28/21	698.74	...	110.59	7 of 7 - Sale <sup>25</sup>
02/22/21	1,000.000	2,235.73	Various	1,954.51	...	281.22	Total of 7 transactions
5 transactions for 02/23/21. Total proceeds and cost reported to the IRS.							
	200.000	403.23	02/23/21	414.72	...	-11.49	1 of 5 - Sale <sup>25</sup>
	80.000	161.29	02/23/21	172.38	...	-11.09	2 of 5 - Sale <sup>25</sup>
	120.000	241.93	02/23/21	250.81	...	-8.88	3 of 5 - Sale <sup>25</sup>
	80.000	161.29	02/23/21	167.20	...	-5.91	4 of 5 - Sale <sup>25</sup>
	20.000	40.32	02/23/21	41.80	...	-1.48	5 of 5 - Sale <sup>25</sup>
02/23/21	500.000	1,008.06	Various	1,046.91	...	-38.85	Total of 5 transactions
	<b>Security total:</b>	<b>7,935.87</b>		<b>7,865.27</b>	<b>171.77 W</b>	<b>242.37</b>	

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Robinhood Securities LLC

Account 150684405

**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
CYREN LTD. ORDINARY SHARES / CUSIP: M26895108 / Symbol:							
11 transactions for 03/24/21. Total proceeds and cost reported to the IRS.							
	86.000	74.87	02/10/21	115.98	...	-41.11	1 of 11 - Sale <sup>25</sup>
	1,000.000	870.57	02/11/21	1,290.00	...	-419.43	2 of 11 - Sale <sup>25</sup>
	500.000	435.29	02/17/21	629.45	...	-194.16	3 of 11 - Sale <sup>25</sup>
	400.000	348.23	03/05/21	567.69	...	-219.46	4 of 11 - Sale <sup>25</sup>
	100.000	87.06	03/05/21	141.92	...	-54.86	5 of 11 - Sale <sup>25</sup>
	114.000	99.25	03/05/21	146.25	...	-47.00	6 of 11 - Sale <sup>25</sup>
	100.000	87.06	03/05/21	128.59	...	-41.53	7 of 11 - Sale <sup>25</sup>
	100.000	87.06	03/05/21	128.45	...	-41.39	8 of 11 - Sale <sup>25</sup>
	100.000	87.06	03/05/21	128.29	...	-41.23	9 of 11 - Sale <sup>25</sup>
	286.000	248.98	03/05/21	231.43	...	17.55	10 of 11 - Sale <sup>25</sup>
	300.000	261.16	03/11/21	278.84	...	-17.68	11 of 11 - Sale <sup>25</sup>
03/24/21	3,086.000	2,686.59	Various	3,786.89	...	-1,100.30	Total of 11 transactions
6 transactions for 03/24/21. Total proceeds and cost reported to the IRS.							
	100.000	87.50	02/09/21	148.50	61.00 W	0.00	1 of 6 - Sale <sup>25</sup>
	400.000	349.99	02/09/21	594.00	244.01 W	0.00	2 of 6 - Sale <sup>25</sup>
	100.000	87.19	02/10/21	134.86	47.67 W	0.00	3 of 6 - Sale <sup>25</sup>
	100.000	87.33	02/10/21	134.86	47.53 W	0.00	4 of 6 - Sale <sup>25</sup>
	100.000	87.49	02/10/21	134.86	47.37 W	0.00	5 of 6 - Sale <sup>25</sup>
	114.000	99.74	02/10/21	153.74	54.00 W	0.00	6 of 6 - Sale <sup>25</sup>
03/24/21	914.000	799.24	Various	1,300.82	501.58 W	0.00	Total of 6 transactions
	<b>Security total:</b>	<b>3,485.83</b>		<b>5,087.71</b>	<b>501.58 W</b>	<b>-1,100.30</b>	
PYXIS TANKERS INC. COMMON STOC K / CUSIP: Y71726106 / Symbol:							
2 transactions for 01/27/21. Total proceeds and cost reported to the IRS.							
	400.000	403.98	01/07/21	364.00	...	39.98	1 of 2 - Sale <sup>25</sup>
	2,100.000	2,120.91	01/07/21	1,911.00	...	209.91	2 of 2 - Sale <sup>25</sup>
01/27/21	2,500.000	2,524.89	Various	2,275.00	...	249.89	Total of 2 transactions
2 transactions for 09/21/21. Total proceeds and cost reported to the IRS.							
	85.000	60.34	08/30/21	59.50	...	0.84	1 of 2 - Sale <sup>25</sup>
	165.000	117.13	08/30/21	115.50	...	1.63	2 of 2 - Sale <sup>25</sup>
09/21/21	250.000	177.47	Various	175.00	...	2.47	Total of 2 transactions
	<b>Security total:</b>	<b>2,702.36</b>		<b>2,450.00</b>	...	<b>252.36</b>	

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Robinhood Securities LLC

Account 150684405

## 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**

<b>1c- Date sold or disposed</b>	<b>Quantity</b>	<b>1d- Proceeds &amp; 6- Reported (G)ross or (N)et</b>	<b>1b- Date acquired</b>	<b>1e- Cost or other basis</b>	<b>1f- Accrued mkt disc (D) &amp; 1g- Wash sale loss disallowed (W)</b>	<b>Gain or loss(-) &amp; 7- Loss not allowed (X) also not reported (Z)</b>	<b>Additional information</b>
PYXIS TANKERS INC. COMMON STOC K / CUSIP: Y71726106 / Symbol: (cont'd)							
<b>Totals :</b>		<b>157,217.79</b>		<b>149,411.50</b>	<b>2,599.56 W</b>	<b>10,405.85</b>	

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Robinhood Securities LLC

Account 150684405

**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
TEMPEST THERAPEUTICS, INC. COM MON STOCK / CUSIP: 87978U108 / Symbol: 07/06/21	0.667	9.11	06/25/21	11.27	...	-2.16	Gain or loss
<b>Totals:</b>		<b>9.11</b>		<b>11.27</b>	...	<b>-2.16</b>	

Robinhood Securities LLC

Account 150684405

**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
		01/19/21	-5.00	Margin interest paid	
		02/18/21	-5.00	Margin interest paid	
		03/22/21	-5.00	Margin interest paid	
		04/19/21	-5.00	Margin interest paid	
		04/19/21	-7.18	Margin interest paid	
		05/19/21	-5.00	Margin interest paid	
		05/19/21	-7.47	Margin interest paid	
		06/18/21	-4.45	Margin interest paid	
		06/18/21	-5.00	Margin interest paid	
		07/19/21	-3.75	Margin interest paid	
		07/19/21	-5.00	Margin interest paid	
			-57.85	Total Margin interest paid	
Margin charge		08/17/21	-5.00	Margin interest paid	
		09/16/21	-5.00	Margin interest paid	
		10/18/21	-5.00	Margin interest paid	
		11/15/21	-5.00	Margin interest paid	
		12/15/21	-5.00	Margin interest paid	
			-25.00	Total Margin interest paid	
			<b>-82.85</b>	<b>Total Margin interest paid</b>	

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

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**Common Instructions for Recipient**

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

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

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

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

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

**Keep tax documents for your records.****1099-B Instructions for Recipient**

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

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

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

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

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

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

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

**Line 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is

**Instructions for Recipient**

checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

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

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

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

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

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

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

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

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

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

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

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

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

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