

<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 841687791</b>	Statement Date: 02/11/2022 Document ID: SCS3 8VB Y8NP	2021
	Mani babu Thammiseti 2070 Tavel Ct Apt A St. Louis, MO 63146  RECIPIENT'S TIN: XXX-XX-7169		

**Summary Information**

DIVIDENDS AND DISTRIBUTIONS	2021 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INFORMATION	2021 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5, 2e)	0.00		2- Royalties	0.00	
1b- Qualified dividends	0.00		3- Other income	0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)	0.00		<b>4- Federal income tax withheld</b>	<b>0.00</b>	
2b- Unrecaptured Section 1250 gain	0.00		8- Substitute payments in lieu of dividends or interest	0.00	
2c- Section 1202 gain	0.00				
2d- Collectibles (28%) gain	0.00				
2e- Section 897 ordinary dividends	0.00				
2f- Section 897 capital gain	0.00				
3- Nondividend distributions	0.00				
<b>4- Federal income tax withheld</b>	<b>0.00</b>				
5- Section 199A dividends	0.00				
6- Investment expenses	0.00				
8- Foreign country or US possession:	0.00				
7- Foreign tax paid:	0.00				
9- Cash liquidation distributions	0.00				
10- Noncash liquidation distributions	0.00				
11- Exempt-interest dividends (includes line 12)	0.00				
12- Specified private activity bond interest dividends (AMT)	0.00				

SECTION 1256 CONTRACTS	2021 1099-B*	OMB No. 1545-0715
8- Profit or (loss) realized in 2021 on closed contracts	0.00	
9- Unrealized profit or (loss) on open contracts-12/31/2020	0.00	
10- Unrealized profit or (loss) on open contracts-12/31/2021	0.00	
11- Aggregate profit or (loss) on contracts	0.00	

*If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.*

**\* 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.**

**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)	250,061.21	239,732.03	0.00	3,921.84	14,251.02
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Short-term</b>	<b>250,061.21</b>	<b>239,732.03</b>	<b>0.00</b>	<b>3,921.84</b>	<b>14,251.02</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>250,061.21</b>	<b>239,732.03</b>	<b>0.00</b>	<b>3,921.84</b>	<b>14,251.02</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

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**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)	1.26
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	See detail

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

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

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**Proceeds from Broker and Barter Exchange Transactions**

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
ACASTI PHARMA, INC. CLASS A CO MMON STOCK / CUSIP: 00430K402 / Symbol:							
10 transactions for 02/05/21. Total proceeds and cost reported to the IRS.							
	840.000	644.16	01/21/21	705.68	61.52 W	0.00	1 of 10 - Sale <sup>25</sup>
	250.000	191.72	01/22/21	192.50	0.78 W	0.00	2 of 10 - Sale <sup>25</sup>
	1,000.000	766.86	01/25/21	810.00	43.14 W	0.00	3 of 10 - Sale <sup>25</sup>
	100.000	76.69	01/25/21	80.87	4.18 W	0.00	4 of 10 - Sale <sup>25</sup>
	200.000	153.37	01/25/21	161.74	8.37 W	0.00	5 of 10 - Sale <sup>25</sup>
	300.000	230.06	01/25/21	242.61	12.55 W	0.00	6 of 10 - Sale <sup>25</sup>
	300.000	230.06	01/25/21	242.61	12.55 W	0.00	7 of 10 - Sale <sup>25</sup>
	100.000	76.69	01/25/21	80.87	4.18 W	0.00	8 of 10 - Sale <sup>25</sup>
	800.000	613.49	01/25/21	626.08	12.59 W	0.00	9 of 10 - Sale <sup>25</sup>
	110.000	84.35	01/25/21	86.09	1.74 W	0.00	10 of 10 - Sale <sup>25</sup>
02/05/21	4,000.000	3,067.45	Various	3,229.05	161.60 W	0.00	Total of 10 transactions

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Robinhood Securities LLC

Account 841687791

## 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
ACASTI PHARMA, INC. CLASS A CO MMON STOCK / CUSIP: 00430K402 / Symbol: (cont'd)							
44 transactions for 02/08/21. Total proceeds and cost reported to the IRS.							
132.000		109.53	01/25/21	107.00	...	2.53	1 of 44 - Sale <sup>25</sup>
200.000		165.96	01/25/21	162.13	...	3.83	2 of 44 - Sale <sup>25</sup>
200.000		165.96	01/25/21	162.13	...	3.83	3 of 44 - Sale <sup>25</sup>
468.000		386.97	01/25/21	379.38	...	7.59	4 of 44 - Sale <sup>25</sup>
250.000		207.44	01/25/21	192.63	...	14.81	5 of 44 - Sale <sup>25</sup>
8.000		6.61	01/28/21	6.02	...	0.59	6 of 44 - Sale <sup>25</sup>
60.000		49.61	01/28/21	45.17	...	4.44	7 of 44 - Sale <sup>25</sup>
10.000		8.27	01/29/21	6.93	...	1.34	8 of 44 - Sale <sup>25</sup>
18.000		14.88	01/29/21	12.72	...	2.16	9 of 44 - Sale <sup>25</sup>
22.000		18.19	01/29/21	15.50	...	2.69	10 of 44 - Sale <sup>25</sup>
32.000		26.46	01/29/21	23.16	...	3.30	11 of 44 - Sale <sup>25</sup>
42.000		34.73	01/29/21	29.69	...	5.04	12 of 44 - Sale <sup>25</sup>
58.000		47.96	01/29/21	40.18	...	7.78	13 of 44 - Sale <sup>25</sup>
100.000		82.69	01/29/21	72.38	...	10.31	14 of 44 - Sale <sup>25</sup>
90.000		74.42	01/29/21	63.71	...	10.71	15 of 44 - Sale <sup>25</sup>
110.000		90.95	01/29/21	76.76	...	14.19	16 of 44 - Sale <sup>25</sup>
100.000		82.69	01/29/21	67.12	...	15.57	17 of 44 - Sale <sup>25</sup>
100.000		82.69	01/29/21	67.08	...	15.61	18 of 44 - Sale <sup>25</sup>
100.000		82.69	01/29/21	67.08	...	15.61	19 of 44 - Sale <sup>25</sup>
100.000		82.69	01/29/21	67.06	...	15.63	20 of 44 - Sale <sup>25</sup>
200.000		165.37	01/29/21	144.77	...	20.60	21 of 44 - Sale <sup>25</sup>
300.000		248.06	01/29/21	217.15	...	30.91	22 of 44 - Sale <sup>25</sup>
300.000		248.06	01/29/21	217.15	...	30.91	23 of 44 - Sale <sup>25</sup>
300.000		248.06	01/29/21	212.10	...	35.96	24 of 44 - Sale <sup>25</sup>
300.000		248.06	01/29/21	212.06	...	36.00	25 of 44 - Sale <sup>25</sup>
318.000		262.94	01/29/21	221.36	...	41.58	26 of 44 - Sale <sup>25</sup>
300.000		248.06	01/29/21	201.24	...	46.82	27 of 44 - Sale <sup>25</sup>
400.000		330.74	01/29/21	268.32	...	62.42	28 of 44 - Sale <sup>25</sup>
400.000		330.75	01/29/21	268.32	...	62.43	29 of 44 - Sale <sup>25</sup>
500.000		413.43	01/29/21	335.40	...	78.03	30 of 44 - Sale <sup>25</sup>
800.000		661.49	01/29/21	558.19	...	103.30	31 of 44 - Sale <sup>25</sup>
100.000		82.68	02/01/21	65.15	...	17.53	32 of 44 - Sale <sup>25</sup>
100.000		82.68	02/01/21	65.15	...	17.53	33 of 44 - Sale <sup>25</sup>

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<b>Robinhood Securities LLC</b>	<b>Proceeds from Broker and Barter Exchange Transactions</b>	Account 841687791
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
ACASTI PHARMA, INC. CLASS A COMMON STOCK / CUSIP: 00430K402 / Symbol: (cont'd)							
	100.000	82.69	02/01/21	65.15	...	17.54	34 of 44 - Sale <sup>25</sup>
	100.000	82.69	02/01/21	65.15	...	17.54	35 of 44 - Sale <sup>25</sup>
	100.000	82.69	02/01/21	65.15	...	17.54	36 of 44 - Sale <sup>25</sup>
	100.000	82.69	02/01/21	65.15	...	17.54	37 of 44 - Sale <sup>25</sup>
	100.000	82.69	02/01/21	65.15	...	17.54	38 of 44 - Sale <sup>25</sup>
	100.000	82.69	02/01/21	65.15	...	17.54	39 of 44 - Sale <sup>25</sup>
	200.000	165.37	02/01/21	130.30	...	35.07	40 of 44 - Sale <sup>25</sup>
	300.000	248.05	02/01/21	195.45	...	52.60	41 of 44 - Sale <sup>25</sup>
	400.000	330.74	02/01/21	260.60	...	70.14	42 of 44 - Sale <sup>25</sup>
	500.000	413.43	02/01/21	325.75	...	87.68	43 of 44 - Sale <sup>25</sup>
	800.000	661.48	02/01/21	521.20	...	140.28	44 of 44 - Sale <sup>25</sup>
02/08/21	9,318.000	7,706.98	Various	6,474.39	...	1,232.59	Total of 44 transactions
	7 transactions for 02/08/21. Total proceeds and cost reported to the IRS.						
	90.000	74.69	01/25/21	77.02	2.33 W	0.00	1 of 7 - Sale <sup>25</sup>
	10.000	8.30	01/25/21	8.41	0.11 W	0.00	2 of 7 - Sale <sup>25</sup>
	100.000	82.99	01/25/21	84.06	1.07 W	0.00	3 of 7 - Sale <sup>25</sup>
	22.000	18.30	01/25/21	18.49	0.19 W	0.00	4 of 7 - Sale <sup>25</sup>
	300.000	248.96	01/25/21	252.19	3.23 W	0.00	5 of 7 - Sale <sup>25</sup>
	300.000	248.93	01/25/21	252.20	3.27 W	0.00	6 of 7 - Sale <sup>25</sup>
	18.000	14.94	01/25/21	15.13	0.19 W	0.00	7 of 7 - Sale <sup>25</sup>
02/08/21	840.000	697.11	Various	707.50	10.39 W	0.00	Total of 7 transactions
	4 transactions for 02/09/21. Total proceeds and cost reported to the IRS.						
	100.000	95.89	02/08/21	94.00	...	1.89	1 of 4 - Sale <sup>25</sup>
	100.000	95.89	02/08/21	94.00	...	1.89	2 of 4 - Sale <sup>25</sup>
	444.000	425.73	02/08/21	417.36	...	8.37	3 of 4 - Sale <sup>25</sup>
	1,356.000	1,300.20	02/08/21	1,274.64	...	25.56	4 of 4 - Sale <sup>25</sup>
02/09/21	2,000.000	1,917.71	Various	1,880.00	...	37.71	Total of 4 transactions
	11 transactions for 02/10/21. Total proceeds and cost reported to the IRS.						
	1,000.000	1,030.56	02/09/21	974.70	...	55.86	1 of 11 - Sale <sup>25</sup>
	1,000.000	1,030.55	02/09/21	973.50	...	57.05	2 of 11 - Sale <sup>25</sup>
	1,000.000	1,030.56	02/09/21	964.40	...	66.16	3 of 11 - Sale <sup>25</sup>
	100.000	113.98	02/10/21	102.00	...	11.98	4 of 11 - Sale <sup>25</sup>
	100.000	113.99	02/10/21	102.00	...	11.99	5 of 11 - Sale <sup>25</sup>

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Account 841687791

## 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
ACASTI PHARMA, INC. CLASS A COMMON STOCK / CUSIP: 00430K402 / Symbol: (cont'd)							
	100.000	113.99	02/10/21	102.00	...	11.99	6 of 11 - Sale <sup>25</sup>
	100.000	113.99	02/10/21	102.00	...	11.99	7 of 11 - Sale <sup>25</sup>
	100.000	113.99	02/10/21	102.00	...	11.99	8 of 11 - Sale <sup>25</sup>
	100.000	113.99	02/10/21	102.00	...	11.99	9 of 11 - Sale <sup>25</sup>
	200.000	227.97	02/10/21	204.00	...	23.97	10 of 11 - Sale <sup>25</sup>
	200.000	227.97	02/10/21	204.00	...	23.97	11 of 11 - Sale <sup>25</sup>
02/10/21	4,000.000	4,231.54	Various	3,932.60	...	298.94	Total of 11 transactions
	15 transactions for 02/23/21. Total proceeds and cost reported to the IRS.						
	1,000.000	686.07	02/11/21	1,160.00	...	-473.93	1 of 15 - Sale <sup>25</sup>
	1,000.000	686.06	02/11/21	1,100.00	...	-413.94	2 of 15 - Sale <sup>25</sup>
	1,000.000	686.07	02/11/21	1,083.70	...	-397.63	3 of 15 - Sale <sup>25</sup>
	500.000	343.03	02/11/21	550.00	...	-206.97	4 of 15 - Sale <sup>25</sup>
	300.000	205.82	02/11/21	336.00	...	-130.18	5 of 15 - Sale <sup>25</sup>
	300.000	205.82	02/11/21	336.00	...	-130.18	6 of 15 - Sale <sup>25</sup>
	300.000	205.82	02/11/21	336.00	...	-130.18	7 of 15 - Sale <sup>25</sup>
	300.000	205.82	02/11/21	330.00	...	-124.18	8 of 15 - Sale <sup>25</sup>
	202.000	138.59	02/11/21	227.25	...	-88.66	9 of 15 - Sale <sup>25</sup>
	200.000	137.21	02/11/21	225.00	...	-87.79	10 of 15 - Sale <sup>25</sup>
	200.000	137.21	02/11/21	225.00	...	-87.79	11 of 15 - Sale <sup>25</sup>
	200.000	137.21	02/11/21	225.00	...	-87.79	12 of 15 - Sale <sup>25</sup>
	198.000	135.84	02/11/21	222.75	...	-86.91	13 of 15 - Sale <sup>25</sup>
	200.000	137.21	02/11/21	220.00	...	-82.79	14 of 15 - Sale <sup>25</sup>
	100.000	68.61	02/11/21	112.00	...	-43.39	15 of 15 - Sale <sup>25</sup>
02/23/21	6,000.000	4,116.39	Various	6,688.70	...	-2,572.31	Total of 15 transactions
	<b>Security total:</b>	<b>21,737.18</b>		<b>22,912.24</b>	<b>171.99 W</b>	<b>-1,003.07</b>	

ADVAXIS INC COMMON STOCK / CUSIP: 007624307 / Symbol:

10 transactions for 02/09/21. Total proceeds and cost reported to the IRS.

	16.000	17.44	02/08/21	16.16	...	1.28	1 of 10 - Sale <sup>25</sup>
	58.000	63.22	02/08/21	58.58	...	4.64	2 of 10 - Sale <sup>25</sup>
	84.000	91.56	02/08/21	84.84	...	6.72	3 of 10 - Sale <sup>25</sup>
	100.000	108.99	02/08/21	101.00	...	7.99	4 of 10 - Sale <sup>25</sup>
	200.000	217.99	02/08/21	202.00	...	15.99	5 of 10 - Sale <sup>25</sup>
	242.000	263.77	02/08/21	244.42	...	19.35	6 of 10 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 841687791

## 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
ADVAXIS INC COMMON STOCK / CUSIP: 007624307 / Symbol: (cont'd)							
	300.000	326.99	02/08/21	303.00	...	23.99	7 of 10 - Sale <sup>25</sup>
	1,000.000	1,089.95	02/08/21	1,030.00	...	59.95	8 of 10 - Sale <sup>25</sup>
	1,000.000	1,089.95	02/08/21	1,020.00	...	69.95	9 of 10 - Sale <sup>25</sup>
	1,000.000	1,089.96	02/08/21	1,018.90	...	71.06	10 of 10 - Sale <sup>25</sup>
02/09/21	4,000.000	4,359.82	Various	4,078.90	...	280.92	Total of 10 transactions
	2 transactions for 02/11/21. Total proceeds and cost reported to the IRS.						
	1,000.000	1,209.85	02/10/21	1,088.90	...	120.95	1 of 2 - Sale <sup>25</sup>
	1,000.000	1,209.85	02/10/21	1,088.90	...	120.95	2 of 2 - Sale <sup>25</sup>
02/11/21	2,000.000	2,419.70	Various	2,177.80	...	241.90	Total of 2 transactions
	<b>Security total:</b>	<b>6,779.52</b>		<b>6,256.70</b>	...	<b>522.82</b>	
AETERNA ZENTARIS INC. COMMON S TOCK / CUSIP: 007975402 / Symbol:							
	6 transactions for 02/23/21. Total proceeds and cost reported to the IRS.						
	463.000	509.65	02/16/21	773.21	...	-263.56	1 of 6 - Sale <sup>25</sup>
	300.000	330.23	02/16/21	501.00	...	-170.77	2 of 6 - Sale <sup>25</sup>
	100.000	110.07	02/16/21	167.00	...	-56.93	3 of 6 - Sale <sup>25</sup>
	100.000	110.08	02/16/21	167.00	...	-56.92	4 of 6 - Sale <sup>25</sup>
	20.000	22.01	02/16/21	33.40	...	-11.39	5 of 6 - Sale <sup>25</sup>
	17.000	18.71	02/16/21	28.39	...	-9.68	6 of 6 - Sale <sup>25</sup>
02/23/21	1,000.000	1,100.75	Various	1,670.00	...	-569.25	Total of 6 transactions
AIKIDO PHARMA INC. COMMON STOC K / CUSIP: 008875106 / Symbol:							
	2 transactions for 03/19/21. Total proceeds and cost reported to the IRS.						
	500.000	664.93	03/16/21	619.65	...	45.28	1 of 2 - Sale <sup>25</sup>
	500.000	664.93	03/16/21	619.65	...	45.28	2 of 2 - Sale <sup>25</sup>
03/19/21	1,000.000	1,329.86	Various	1,239.30	...	90.56	Total of 2 transactions
ASSERTIO HOLDINGS, INC. COMMON STOCK / CUSIP: 04546C106 / Symbol:							
	6 transactions for 02/05/21. Total proceeds and cost reported to the IRS.						
	89.000	72.39	02/05/21	62.48	...	9.91	1 of 6 - Sale <sup>25</sup>
	100.000	81.34	02/05/21	70.20	...	11.14	2 of 6 - Sale <sup>25</sup>
	111.000	90.29	02/05/21	77.92	...	12.37	3 of 6 - Sale <sup>25</sup>
	189.000	153.73	02/05/21	132.68	...	21.05	4 of 6 - Sale <sup>25</sup>
	211.000	171.62	02/05/21	148.12	...	23.50	5 of 6 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 841687791

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ASSERTIO HOLDINGS, INC. COMMON STOCK / CUSIP: 04546C106 / Symbol: (cont'd)							
	300.000	244.01	02/05/21	210.60	...	33.41	6 of 6 - Sale <sup>25</sup>
02/05/21	1,000.000	813.38	Various	702.00	...	111.38	Total of 6 transactions
02/09/21	2,000.000	2,641.90	02/08/21	1,734.00	...	907.90	Sale <sup>25</sup>
	13 transactions for 02/11/21. Total proceeds and cost reported to the IRS.						
	16.000	18.56	02/10/21	18.08	...	0.48	1 of 13 - Sale <sup>25</sup>
	84.000	97.43	02/10/21	95.34	...	2.09	2 of 13 - Sale <sup>25</sup>
	116.000	134.54	02/10/21	132.24	...	2.30	3 of 13 - Sale <sup>25</sup>
	100.000	115.99	02/10/21	113.50	...	2.49	4 of 13 - Sale <sup>25</sup>
	100.000	115.99	02/10/21	113.50	...	2.49	5 of 13 - Sale <sup>25</sup>
	100.000	115.99	02/10/21	113.50	...	2.49	6 of 13 - Sale <sup>25</sup>
	116.000	134.54	02/10/21	131.66	...	2.88	7 of 13 - Sale <sup>25</sup>
	100.000	115.99	02/10/21	113.00	...	2.99	8 of 13 - Sale <sup>25</sup>
	200.000	231.98	02/10/21	228.00	...	3.98	9 of 13 - Sale <sup>25</sup>
	200.000	231.98	02/10/21	227.00	...	4.98	10 of 13 - Sale <sup>25</sup>
	300.000	347.96	02/10/21	340.50	...	7.46	11 of 13 - Sale <sup>25</sup>
	684.000	793.34	02/10/21	779.76	...	13.58	12 of 13 - Sale <sup>25</sup>
	884.000	1,025.31	02/10/21	998.92	...	26.39	13 of 13 - Sale <sup>25</sup>
02/11/21	3,000.000	3,479.60	Various	3,405.00	...	74.60	Total of 13 transactions
	14 transactions for 02/12/21. Total proceeds and cost reported to the IRS.						
	99.000	114.83	02/10/21	111.87	...	2.96	1 of 14 - Sale <sup>25</sup>
	100.000	115.99	02/10/21	113.00	...	2.99	2 of 14 - Sale <sup>25</sup>
	200.000	231.97	02/10/21	226.00	...	5.97	3 of 14 - Sale <sup>25</sup>
	200.000	231.97	02/10/21	226.00	...	5.97	4 of 14 - Sale <sup>25</sup>
	100.000	113.99	02/10/21	106.00	...	7.99	5 of 14 - Sale <sup>25</sup>
	401.000	465.10	02/10/21	453.13	...	11.97	6 of 14 - Sale <sup>25</sup>
	155.000	176.68	02/10/21	164.30	...	12.38	7 of 14 - Sale <sup>25</sup>
	245.000	279.27	02/10/21	259.70	...	19.57	8 of 14 - Sale <sup>25</sup>
	200.000	227.97	02/10/21	207.00	...	20.97	9 of 14 - Sale <sup>25</sup>
	300.000	341.95	02/10/21	310.50	...	31.45	10 of 14 - Sale <sup>25</sup>
	1,000.000	1,159.85	02/10/21	1,120.00	...	39.85	11 of 14 - Sale <sup>25</sup>
	500.000	569.92	02/10/21	530.00	...	39.92	12 of 14 - Sale <sup>25</sup>
	500.000	569.92	02/10/21	517.50	...	52.42	13 of 14 - Sale <sup>25</sup>
	1,000.000	1,159.85	02/10/21	1,060.00	...	99.85	14 of 14 - Sale <sup>25</sup>
02/12/21	5,000.000	5,759.26	Various	5,405.00	...	354.26	Total of 14 transactions

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Robinhood Securities LLC

Account 841687791

## 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
ASSERTIO HOLDINGS, INC. COMMON STOCK / CUSIP: 04546C106 / Symbol: (cont'd)							
9 transactions for 02/24/21. Total proceeds and cost reported to the IRS.							
	7.000	7.07	02/23/21	6.89	...	0.18	1 of 9 - Sale <sup>25</sup>
	7.000	7.07	02/23/21	6.50	...	0.57	2 of 9 - Sale <sup>25</sup>
	193.000	194.91	02/23/21	190.05	...	4.86	3 of 9 - Sale <sup>25</sup>
	93.000	93.92	02/23/21	86.41	...	7.51	4 of 9 - Sale <sup>25</sup>
	300.000	302.96	02/23/21	295.41	...	7.55	5 of 9 - Sale <sup>25</sup>
	142.000	143.40	02/23/21	131.93	...	11.47	6 of 9 - Sale <sup>25</sup>
	500.000	504.92	02/23/21	492.35	...	12.57	7 of 9 - Sale <sup>25</sup>
	258.000	260.55	02/23/21	239.71	...	20.84	8 of 9 - Sale <sup>25</sup>
	500.000	504.92	02/23/21	464.55	...	40.37	9 of 9 - Sale <sup>25</sup>
02/24/21	2,000.000	2,019.72	Various	1,913.80	...	105.92	Total of 9 transactions
3 transactions for 02/25/21. Total proceeds and cost reported to the IRS.							
	242.000	237.75	02/24/21	224.46	...	13.29	1 of 3 - Sale <sup>25</sup>
	1,000.000	982.42	02/24/21	966.30	...	16.12	2 of 3 - Sale <sup>25</sup>
	758.000	744.67	02/24/21	703.05	...	41.62	3 of 3 - Sale <sup>25</sup>
02/25/21	2,000.000	1,964.84	Various	1,893.81	...	71.03	Total of 3 transactions
	<b>Security total:</b>	<b>16,678.70</b>		<b>15,053.61</b>	...	<b>1,625.09</b>	
BIOLASE, INC. COMMON STOCK / CUSIP: 090911207 / Symbol:							
2 transactions for 01/21/21. Total proceeds and cost reported to the IRS.							
	1,000.000	1,099.85	01/20/21	967.50	...	132.35	1 of 2 - Sale <sup>25</sup>
	1,500.000	1,649.78	01/20/21	1,399.50	...	250.28	2 of 2 - Sale <sup>25</sup>
01/21/21	2,500.000	2,749.63	Various	2,367.00	...	382.63	Total of 2 transactions
11 transactions for 02/03/21. Total proceeds and cost reported to the IRS.							
	21.000	23.10	02/01/21	22.26	...	0.84	1 of 11 - Sale <sup>25</sup>
	21.000	23.10	02/01/21	22.26	...	0.84	2 of 11 - Sale <sup>25</sup>
	79.000	86.89	02/01/21	83.74	...	3.15	3 of 11 - Sale <sup>25</sup>
	79.000	86.89	02/01/21	83.74	...	3.15	4 of 11 - Sale <sup>25</sup>
	100.000	109.99	02/01/21	106.00	...	3.99	5 of 11 - Sale <sup>25</sup>
	200.000	219.98	02/01/21	212.00	...	7.98	6 of 11 - Sale <sup>25</sup>
	250.000	274.96	02/01/21	265.00	...	9.96	7 of 11 - Sale <sup>25</sup>
	250.000	274.96	02/01/21	265.00	...	9.96	8 of 11 - Sale <sup>25</sup>
	500.000	549.92	02/01/21	530.00	...	19.92	9 of 11 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 841687791

## 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
BIOLASE, INC. COMMON STOCK / CUSIP: 090911207 / Symbol: (cont'd)							
	500.000	549.93	02/01/21	530.00	...	19.93	10 of 11 - Sale <sup>25</sup>
	1,000.000	1,099.86	02/02/21	1,040.00	...	59.86	11 of 11 - Sale <sup>25</sup>
02/03/21	3,000.000	3,299.58	Various	3,160.00	...	139.58	Total of 11 transactions
	3 transactions for 02/04/21. Total proceeds and cost reported to the IRS.						
	18.000	22.86	02/04/21	19.62	...	3.24	1 of 3 - Sale <sup>25</sup>
	1,000.000	1,269.85	02/04/21	1,108.90	...	160.95	2 of 3 - Sale <sup>25</sup>
	982.000	1,246.99	02/04/21	1,070.38	...	176.61	3 of 3 - Sale <sup>25</sup>
02/04/21	2,000.000	2,539.70	Various	2,198.90	...	340.80	Total of 3 transactions
	8 transactions for 02/09/21. Total proceeds and cost reported to the IRS.						
	2.000	2.76	02/08/21	2.38	...	0.38	1 of 8 - Sale <sup>25</sup>
	5.000	6.90	02/08/21	5.95	...	0.95	2 of 8 - Sale <sup>25</sup>
	60.000	82.79	02/08/21	71.40	...	11.39	3 of 8 - Sale <sup>25</sup>
	62.000	85.55	02/08/21	73.78	...	11.77	4 of 8 - Sale <sup>25</sup>
	74.000	102.11	02/08/21	88.06	...	14.05	5 of 8 - Sale <sup>25</sup>
	100.000	137.99	02/08/21	119.00	...	18.99	6 of 8 - Sale <sup>25</sup>
	150.000	206.98	02/08/21	178.50	...	28.48	7 of 8 - Sale <sup>25</sup>
	547.000	754.77	02/08/21	650.93	...	103.84	8 of 8 - Sale <sup>25</sup>
02/09/21	1,000.000	1,379.85	Various	1,190.00	...	189.85	Total of 8 transactions
	<b>Security total:</b>	<b>9,968.76</b>		<b>8,915.90</b>	...	<b>1,052.86</b>	
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
01/14/21	2.000	424.90	06/10/20	407.74	...	17.16	Sale <sup>25</sup>
BRICKELL BIOTECH, INC. COMMON STOCK / CUSIP: 10802T105 / Symbol:							
	5 transactions for 02/02/21. Total proceeds and cost reported to the IRS.						
	100.000	115.98	01/29/21	106.00	...	9.98	1 of 5 - Sale <sup>25</sup>
	210.000	243.57	01/29/21	222.60	...	20.97	2 of 5 - Sale <sup>25</sup>
	790.000	916.28	01/29/21	837.40	...	78.88	3 of 5 - Sale <sup>25</sup>
	900.000	1,043.87	01/29/21	954.00	...	89.87	4 of 5 - Sale <sup>25</sup>
	1,000.000	1,159.85	01/29/21	1,059.80	...	100.05	5 of 5 - Sale <sup>25</sup>
02/02/21	3,000.000	3,479.55	Various	3,179.80	...	299.75	Total of 5 transactions

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Robinhood Securities LLC

Account 841687791

## 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
BRICKELL BIOTECH, INC. COMMON STOCK / CUSIP: 10802T105 / Symbol: (cont'd)							
<i>10 transactions for 02/03/21. Total proceeds and cost reported to the IRS.</i>							
	62.000	70.05	02/02/21	66.96	...	3.09	1 of 10 - Sale <sup>25</sup>
	78.000	88.13	02/02/21	84.24	...	3.89	2 of 10 - Sale <sup>25</sup>
	100.000	112.98	02/02/21	108.00	...	4.98	3 of 10 - Sale <sup>25</sup>
	100.000	112.99	02/02/21	108.00	...	4.99	4 of 10 - Sale <sup>25</sup>
	122.000	137.85	02/02/21	131.76	...	6.09	5 of 10 - Sale <sup>25</sup>
	200.000	225.97	02/02/21	216.00	...	9.97	6 of 10 - Sale <sup>25</sup>
	238.000	268.90	02/02/21	257.04	...	11.86	7 of 10 - Sale <sup>25</sup>
	300.000	338.95	02/02/21	324.00	...	14.95	8 of 10 - Sale <sup>25</sup>
	300.000	338.96	02/02/21	324.00	...	14.96	9 of 10 - Sale <sup>25</sup>
	500.000	564.92	02/02/21	540.00	...	24.92	10 of 10 - Sale <sup>25</sup>
02/03/21	2,000.000	2,259.70	Various	2,160.00	...	99.70	Total of 10 transactions
<i>5 transactions for 03/18/21. Total proceeds and cost reported to the IRS.</i>							
	200.000	265.98	03/17/21	221.38	...	44.60	1 of 5 - Sale <sup>25</sup>
	200.000	265.98	03/17/21	221.38	...	44.60	2 of 5 - Sale <sup>25</sup>
	200.000	265.98	03/17/21	221.38	...	44.60	3 of 5 - Sale <sup>25</sup>
	200.000	265.98	03/17/21	221.38	...	44.60	4 of 5 - Sale <sup>25</sup>
	200.000	265.98	03/17/21	221.38	...	44.60	5 of 5 - Sale <sup>25</sup>
03/18/21	1,000.000	1,329.90	Various	1,106.90	...	223.00	Total of 5 transactions
	<b>Security total:</b>	<b>7,069.15</b>		<b>6,446.70</b>	...	<b>622.45</b>	
CHINA PHARMA HOLDINGS, INC. / CUSIP: 16941T104 / Symbol:							
<i>13 transactions for 02/09/21. Total proceeds and cost reported to the IRS.</i>							
	4.000	4.00	02/08/21	3.49	...	0.51	1 of 13 - Sale <sup>25</sup>
	52.000	52.05	02/08/21	45.34	...	6.71	2 of 13 - Sale <sup>25</sup>
	72.000	72.07	02/08/21	63.36	...	8.71	3 of 13 - Sale <sup>25</sup>
	100.000	100.10	02/08/21	87.19	...	12.91	4 of 13 - Sale <sup>25</sup>
	100.000	102.98	02/08/21	88.00	...	14.98	5 of 13 - Sale <sup>25</sup>
	72.000	74.15	02/08/21	58.75	...	15.40	6 of 13 - Sale <sup>25</sup>
	122.000	122.12	02/08/21	106.37	...	15.75	7 of 13 - Sale <sup>25</sup>
	128.000	131.82	02/08/21	112.64	...	19.18	8 of 13 - Sale <sup>25</sup>
	200.000	205.97	02/08/21	176.00	...	29.97	9 of 13 - Sale <sup>25</sup>
	200.000	205.97	02/08/21	176.00	...	29.97	10 of 13 - Sale <sup>25</sup>
	300.000	308.96	02/08/21	264.00	...	44.96	11 of 13 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 841687791

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
CHINA PHARMA HOLDINGS, INC. / CUSIP: 16941T104 / Symbol: (cont'd)							
	722.000	722.69	02/08/21	629.58	...	93.11	12 of 13 - Sale <sup>25</sup>
	1,000.000	1,000.95	02/08/21	860.00	...	140.95	13 of 13 - Sale <sup>25</sup>
02/09/21	3,072.000	3,103.83	Various	2,670.72	...	433.11	Total of 13 transactions
02/12/21	1,000.000	1,099.85	02/12/21	1,050.00	...	49.85	Sale <sup>25</sup>
	9 transactions for 02/16/21. Total proceeds and cost reported to the IRS.						
	100.000	114.99	02/16/21	112.00	...	2.99	1 of 9 - Sale <sup>25</sup>
	200.000	229.97	02/16/21	222.00	...	7.97	2 of 9 - Sale <sup>25</sup>
	200.000	229.97	02/16/21	220.00	...	9.97	3 of 9 - Sale <sup>25</sup>
	200.000	229.97	02/16/21	220.00	...	9.97	4 of 9 - Sale <sup>25</sup>
	200.000	229.97	02/16/21	220.00	...	9.97	5 of 9 - Sale <sup>25</sup>
	200.000	229.97	02/16/21	220.00	...	9.97	6 of 9 - Sale <sup>25</sup>
	200.000	229.97	02/16/21	220.00	...	9.97	7 of 9 - Sale <sup>25</sup>
	900.000	1,034.87	02/16/21	1,008.00	...	26.87	8 of 9 - Sale <sup>25</sup>
	800.000	919.88	02/16/21	888.00	...	31.88	9 of 9 - Sale <sup>25</sup>
02/16/21	3,000.000	3,449.56	Various	3,330.00	...	119.56	Total of 9 transactions
	7 transactions for 03/16/21. Total proceeds and cost reported to the IRS.						
	65.000	66.94	02/24/21	63.43	...	3.51	1 of 7 - Sale <sup>25</sup>
	100.000	102.99	02/24/21	97.59	...	5.40	2 of 7 - Sale <sup>25</sup>
	200.000	205.97	02/24/21	195.18	...	10.79	3 of 7 - Sale <sup>25</sup>
	200.000	205.98	02/24/21	195.18	...	10.80	4 of 7 - Sale <sup>25</sup>
	200.000	205.98	02/24/21	195.18	...	10.80	5 of 7 - Sale <sup>25</sup>
	1,000.000	1,029.87	02/24/21	980.00	...	49.87	6 of 7 - Sale <sup>25</sup>
	1,000.000	1,029.87	02/25/21	929.40	...	100.47	7 of 7 - Sale <sup>25</sup>
03/16/21	2,765.000	2,847.60	Various	2,655.96	...	191.64	Total of 7 transactions
	<b>Security total:</b>	<b>10,500.84</b>		<b>9,706.68</b>	...	<b>794.16</b>	
DIFFUSION PHARMACEUTICALS INC, COMMON STOCK / CUSIP: 253748305 / Symbol:							
	5 transactions for 01/21/21. Total proceeds and cost reported to the IRS.						
	200.000	227.97	01/21/21	214.00	...	13.97	1 of 5 - Sale <sup>25</sup>
	300.000	341.95	01/21/21	321.00	...	20.95	2 of 5 - Sale <sup>25</sup>
	500.000	569.92	01/21/21	535.00	...	34.92	3 of 5 - Sale <sup>25</sup>
	500.000	569.92	01/21/21	535.00	...	34.92	4 of 5 - Sale <sup>25</sup>
	500.000	569.92	01/21/21	535.00	...	34.92	5 of 5 - Sale <sup>25</sup>
01/21/21	2,000.000	2,279.68	Various	2,140.00	...	139.68	Total of 5 transactions

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Robinhood Securities LLC

Account 841687791

**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
DIFFUSION PHARMACEUTICALS INC. COMMON STOCK / CUSIP: 253748305 / Symbol: (cont'd)							
8 transactions for 02/02/21. Total proceeds and cost reported to the IRS.							
	100.000	112.09	02/01/21	108.00	...	4.09	1 of 8 - Sale <sup>25</sup>
	100.000	112.09	02/01/21	107.00	...	5.09	2 of 8 - Sale <sup>25</sup>
	300.000	336.29	02/01/21	324.00	...	12.29	3 of 8 - Sale <sup>25</sup>
	300.000	336.29	02/01/21	324.00	...	12.29	4 of 8 - Sale <sup>25</sup>
	300.000	336.29	02/01/21	324.00	...	12.29	5 of 8 - Sale <sup>25</sup>
	300.000	336.28	02/01/21	321.00	...	15.28	6 of 8 - Sale <sup>25</sup>
	300.000	336.29	02/01/21	321.00	...	15.29	7 of 8 - Sale <sup>25</sup>
	300.000	336.29	02/01/21	321.00	...	15.29	8 of 8 - Sale <sup>25</sup>
02/02/21	2,000.000	2,241.91	Various	2,150.00	...	91.91	Total of 8 transactions
15 transactions for 02/09/21. Total proceeds and cost reported to the IRS.							
	1.000	1.49	02/09/21	1.40	...	0.09	1 of 15 - Sale <sup>25</sup>
	2.000	2.98	02/09/21	2.80	...	0.18	2 of 15 - Sale <sup>25</sup>
	13.000	19.37	02/09/21	18.85	...	0.52	3 of 15 - Sale <sup>25</sup>
	14.000	20.86	02/09/21	20.02	...	0.84	4 of 15 - Sale <sup>25</sup>
	25.000	37.25	02/09/21	36.25	...	1.00	5 of 15 - Sale <sup>25</sup>
	38.000	56.62	02/09/21	54.34	...	2.28	6 of 15 - Sale <sup>25</sup>
	62.000	92.37	02/09/21	89.90	...	2.47	7 of 15 - Sale <sup>25</sup>
	100.000	148.98	02/09/21	140.00	...	8.98	8 of 15 - Sale <sup>25</sup>
	300.000	446.96	02/09/21	435.00	...	11.96	9 of 15 - Sale <sup>25</sup>
	145.000	216.03	02/09/21	202.81	...	13.22	10 of 15 - Sale <sup>25</sup>
	600.000	893.91	02/09/21	870.00	...	23.91	11 of 15 - Sale <sup>25</sup>
	300.000	446.95	02/09/21	420.00	...	26.95	12 of 15 - Sale <sup>25</sup>
	300.000	446.96	02/09/21	420.00	...	26.96	13 of 15 - Sale <sup>25</sup>
	948.000	1,412.38	02/09/21	1,355.64	...	56.74	14 of 15 - Sale <sup>25</sup>
	852.000	1,269.35	02/09/21	1,191.69	...	77.66	15 of 15 - Sale <sup>25</sup>
02/09/21	3,700.000	5,512.46	Various	5,258.70	...	253.76	Total of 15 transactions
3 transactions for 02/16/21. Total proceeds and cost reported to the IRS.							
	1,000.000	1,449.84	02/11/21	1,320.00	...	129.84	1 of 3 - Sale <sup>25</sup>
	94.000	136.29	02/12/21	114.68	...	21.61	2 of 3 - Sale <sup>25</sup>
	906.000	1,313.56	02/12/21	1,105.32	...	208.24	3 of 3 - Sale <sup>25</sup>
02/16/21	2,000.000	2,899.69	Various	2,540.00	...	359.69	Total of 3 transactions
	<b>Security total:</b>	<b>12,933.74</b>		<b>12,088.70</b>	...	<b>845.04</b>	

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Robinhood Securities LLC

Account 841687791

## 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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
DIREXION DAILY S&P OIL & GAS E XP. & PROD. BULL 2X SHARES / CUSIP: 25460G500 / Symbol:							
2 transactions for 01/13/21. Total proceeds and cost reported to the IRS.							
	2.000	107.96	06/19/20	89.04	...	18.92	1 of 2 - Sale <sup>25</sup>
	3.000	161.94	06/22/20	118.50	...	43.44	2 of 2 - Sale <sup>25</sup>
01/13/21	5.000	269.90	Various	207.54	...	62.36	Total of 2 transactions
EVOLVE TRANSITION INFRASTRUCTU RE LP / CUSIP: 30053M104 / Symbol:							
4 transactions for 03/23/21. Total proceeds and cost reported to the IRS.							
	1,000.000	1,809.87	02/23/21	1,190.00	...	619.87	1 of 4 - Sale <sup>25</sup>
	50.000	77.50	02/24/21	61.50	...	16.00	2 of 4 - Sale <sup>25</sup>
	950.000	1,472.95	02/24/21	1,168.50	...	304.45	3 of 4 - Sale <sup>25</sup>
	1,000.000	1,809.87	02/24/21	1,329.00	...	480.87	4 of 4 - Sale <sup>25</sup>
03/23/21	3,000.000	5,170.19	Various	3,749.00	...	1,421.19	Total of 4 transactions
INSPIREMD, INC. / CUSIP: 45779A853 / Symbol:							
10 transactions for 02/09/21. Total proceeds and cost reported to the IRS.							
	98.000	112.69	02/09/21	99.96	...	12.73	1 of 10 - Sale <sup>25</sup>
	100.000	114.99	02/09/21	102.00	...	12.99	2 of 10 - Sale <sup>25</sup>
	100.000	114.99	02/09/21	102.00	...	12.99	3 of 10 - Sale <sup>25</sup>
	100.000	114.99	02/09/21	102.00	...	12.99	4 of 10 - Sale <sup>25</sup>
	100.000	114.99	02/09/21	102.00	...	12.99	5 of 10 - Sale <sup>25</sup>
	100.000	114.99	02/09/21	102.00	...	12.99	6 of 10 - Sale <sup>25</sup>
	100.000	114.99	02/09/21	102.00	...	12.99	7 of 10 - Sale <sup>25</sup>
	100.000	114.99	02/09/21	102.00	...	12.99	8 of 10 - Sale <sup>25</sup>
	100.000	114.99	02/09/21	102.00	...	12.99	9 of 10 - Sale <sup>25</sup>
	102.000	117.29	02/09/21	104.04	...	13.25	10 of 10 - Sale <sup>25</sup>
02/09/21	1,000.000	1,149.90	Various	1,020.00	...	129.90	Total of 10 transactions
4 transactions for 02/10/21. Total proceeds and cost reported to the IRS.							
	20.000	25.82	02/09/21	22.80	...	3.02	1 of 4 - Sale <sup>25</sup>
	1,000.000	1,290.95	02/09/21	1,150.00	...	140.95	2 of 4 - Sale <sup>25</sup>
	980.000	1,265.13	02/09/21	1,117.20	...	147.93	3 of 4 - Sale <sup>25</sup>
	1,000.000	1,290.95	02/09/21	1,130.00	...	160.95	4 of 4 - Sale <sup>25</sup>
02/10/21	3,000.000	3,872.85	Various	3,420.00	...	452.85	Total of 4 transactions

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Account 841687791

## 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
INSPIREMD, INC. / CUSIP: 45779A853 / Symbol: (cont'd)							
<i>11 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	1,000.000	949.85	02/16/21	1,220.00	...	-270.15	1 of 11 - Sale <sup>25</sup>
	75.000	71.24	02/16/21	112.48	...	-41.24	2 of 11 - Sale <sup>25</sup>
	100.000	94.98	02/16/21	122.50	...	-27.52	3 of 11 - Sale <sup>25</sup>
	100.000	94.98	02/16/21	122.50	...	-27.52	4 of 11 - Sale <sup>25</sup>
	100.000	94.98	02/16/21	122.50	...	-27.52	5 of 11 - Sale <sup>25</sup>
	100.000	94.99	02/16/21	122.50	...	-27.51	6 of 11 - Sale <sup>25</sup>
	100.000	94.99	02/16/21	122.50	...	-27.51	7 of 11 - Sale <sup>25</sup>
	100.000	94.99	02/16/21	122.50	...	-27.51	8 of 11 - Sale <sup>25</sup>
	100.000	94.99	02/16/21	122.50	...	-27.51	9 of 11 - Sale <sup>25</sup>
	100.000	94.99	02/16/21	122.50	...	-27.51	10 of 11 - Sale <sup>25</sup>
	25.000	23.75	02/16/21	37.50	...	-13.75	11 of 11 - Sale <sup>25</sup>
02/23/21	1,900.000	1,804.73	Various	2,349.98	...	-545.25	Total of 11 transactions
<i>2 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	25.000	23.76	02/16/21	30.63	6.87 W	0.00	1 of 2 - Sale <sup>25</sup>
	75.000	71.26	02/16/21	91.87	20.61 W	0.00	2 of 2 - Sale <sup>25</sup>
02/23/21	100.000	95.02	Various	122.50	27.48 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>6,922.50</b>		<b>6,912.48</b>	<b>27.48 W</b>	<b>37.50</b>	
MATINAS BIOPHARMA HOLDINGS, IN C. / CUSIP: 576810105 / Symbol:							
<i>5 transactions for 02/03/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	104.99	02/01/21	99.01	...	5.98	1 of 5 - Sale <sup>25</sup>
	100.000	104.99	02/01/21	98.56	...	6.43	2 of 5 - Sale <sup>25</sup>
	198.000	207.87	02/01/21	196.04	...	11.83	3 of 5 - Sale <sup>25</sup>
	702.000	736.99	02/01/21	695.05	...	41.94	4 of 5 - Sale <sup>25</sup>
	900.000	944.86	02/01/21	887.04	...	57.82	5 of 5 - Sale <sup>25</sup>
02/03/21	2,000.000	2,099.70	Various	1,975.70	...	124.00	Total of 5 transactions
<i>4 transactions for 02/08/21. Total proceeds and cost reported to the IRS.</i>							
	276.000	350.48	02/05/21	328.44	...	22.04	1 of 4 - Sale <sup>25</sup>
	724.000	919.36	02/05/21	861.56	...	57.80	2 of 4 - Sale <sup>25</sup>
	1,000.000	1,269.85	02/05/21	1,190.00	...	79.85	3 of 4 - Sale <sup>25</sup>
	1,000.000	1,269.85	02/05/21	1,180.00	...	89.85	4 of 4 - Sale <sup>25</sup>
02/08/21	3,000.000	3,809.54	Various	3,560.00	...	249.54	Total of 4 transactions

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Robinhood Securities LLC

Account 841687791

## 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)

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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
MATINAS BIOPHARMA HOLDINGS, IN C. / CUSIP: 576810105 / Symbol: (cont'd)							
5 transactions for 02/11/21. Total proceeds and cost reported to the IRS.							
	1.000	1.43	02/11/21	1.40	...	0.03	1 of 5 - Sale <sup>25</sup>
	1.000	1.43	02/11/21	1.40	...	0.03	2 of 5 - Sale <sup>25</sup>
	8.000	11.44	02/11/21	11.19	...	0.25	3 of 5 - Sale <sup>25</sup>
	25.000	35.75	02/11/21	34.97	...	0.78	4 of 5 - Sale <sup>25</sup>
	34.000	48.62	02/11/21	47.56	...	1.06	5 of 5 - Sale <sup>25</sup>
02/11/21	69.000	98.67	Various	96.52	...	2.15	Total of 5 transactions
3 transactions for 02/12/21. Total proceeds and cost reported to the IRS.							
	14.000	19.61	02/11/21	19.46	...	0.15	1 of 3 - Sale <sup>25</sup>
	931.000	1,304.38	02/11/21	1,302.38	...	2.00	2 of 3 - Sale <sup>25</sup>
	986.000	1,381.44	02/11/21	1,370.54	...	10.90	3 of 3 - Sale <sup>25</sup>
02/12/21	1,931.000	2,705.43	Various	2,692.38	...	13.05	Total of 3 transactions
	<b>Security total:</b>	<b>8,713.34</b>		<b>8,324.60</b>	...	<b>388.74</b>	
ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol:							
25 transactions for 02/09/21. Total proceeds and cost reported to the IRS.							
	100.000	124.99	02/03/21	85.00	...	39.99	1 of 25 - Sale <sup>25</sup>
	300.000	374.95	02/03/21	255.00	...	119.95	2 of 25 - Sale <sup>25</sup>
	300.000	374.95	02/03/21	255.00	...	119.95	3 of 25 - Sale <sup>25</sup>
	300.000	374.96	02/03/21	255.00	...	119.96	4 of 25 - Sale <sup>25</sup>
	6.000	7.08	02/04/21	5.65	...	1.43	5 of 25 - Sale <sup>25</sup>
	14.000	16.52	02/04/21	13.18	...	3.34	6 of 25 - Sale <sup>25</sup>
	35.000	41.29	02/04/21	32.96	...	8.33	7 of 25 - Sale <sup>25</sup>
	42.000	49.55	02/04/21	39.55	...	10.00	8 of 25 - Sale <sup>25</sup>
	86.000	101.47	02/04/21	80.98	...	20.49	9 of 25 - Sale <sup>25</sup>
	258.000	304.40	02/04/21	242.93	...	61.47	10 of 25 - Sale <sup>25</sup>
	259.000	305.58	02/04/21	243.87	...	61.71	11 of 25 - Sale <sup>25</sup>
	300.000	353.96	02/04/21	282.48	...	71.48	12 of 25 - Sale <sup>25</sup>
	1,000.000	1,249.85	02/04/21	1,010.00	...	239.85	13 of 25 - Sale <sup>25</sup>
	1,000.000	1,249.85	02/04/21	1,010.00	...	239.85	14 of 25 - Sale <sup>25</sup>
	1,000.000	1,179.85	02/04/21	897.50	...	282.35	15 of 25 - Sale <sup>25</sup>
	1.000	1.18	02/05/21	0.88	...	0.30	16 of 25 - Sale <sup>25</sup>
	31.000	36.58	02/05/21	27.27	...	9.31	17 of 25 - Sale <sup>25</sup>
	52.000	61.35	02/05/21	45.75	...	15.60	18 of 25 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 841687791

## 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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
	100.000	117.99	02/05/21	85.55	...	32.44	19 of 25 - Sale <sup>25</sup>
	125.000	147.48	02/05/21	109.96	...	37.52	20 of 25 - Sale <sup>25</sup>
	160.000	188.77	02/05/21	140.77	...	48.00	21 of 25 - Sale <sup>25</sup>
	227.000	267.83	02/05/21	199.71	...	68.12	22 of 25 - Sale <sup>25</sup>
	404.000	476.66	02/05/21	355.36	...	121.30	23 of 25 - Sale <sup>25</sup>
	900.000	1,061.87	02/05/21	769.95	...	291.92	24 of 25 - Sale <sup>25</sup>
	1,000.000	1,179.85	02/05/21	850.00	...	329.85	25 of 25 - Sale <sup>25</sup>
02/09/21	8,000.000	9,648.81	Various	7,294.30	...	2,354.51	Total of 25 transactions
02/10/21	1,000.000	1,059.85	02/10/21	1,188.90	129.05 W	0.00	Sale <sup>25</sup>
	12 transactions for 02/11/21. Total proceeds and cost reported to the IRS.						
	13.000	15.86	02/10/21	14.94	...	0.92	1 of 12 - Sale <sup>25</sup>
	50.000	60.99	02/10/21	57.48	...	3.51	2 of 12 - Sale <sup>25</sup>
	50.000	60.99	02/10/21	57.47	...	3.52	3 of 12 - Sale <sup>25</sup>
	200.000	243.97	02/10/21	237.87	...	6.10	4 of 12 - Sale <sup>25</sup>
	200.000	243.97	02/10/21	234.00	...	9.97	5 of 12 - Sale <sup>25</sup>
	187.000	228.11	02/10/21	214.93	...	13.18	6 of 12 - Sale <sup>25</sup>
	200.000	243.97	02/10/21	230.00	...	13.97	7 of 12 - Sale <sup>25</sup>
	200.000	243.97	02/10/21	225.87	...	18.10	8 of 12 - Sale <sup>25</sup>
	300.000	365.96	02/10/21	344.84	...	21.12	9 of 12 - Sale <sup>25</sup>
	143.000	174.44	02/10/21	153.01	...	21.43	10 of 12 - Sale <sup>25</sup>
	200.000	243.97	02/10/21	222.00	...	21.97	11 of 12 - Sale <sup>25</sup>
	857.000	1,045.41	02/10/21	916.99	...	128.42	12 of 12 - Sale <sup>25</sup>
02/11/21	2,600.000	3,171.61	Various	2,909.40	...	262.21	Total of 12 transactions
	9 transactions for 02/11/21. Total proceeds and cost reported to the IRS.						
	400.000	459.95	02/10/21	523.62	63.67 W	0.00	1 of 9 - Sale <sup>25</sup>
	600.000	731.91	02/10/21	785.43	53.52 W	0.00	2 of 9 - Sale <sup>25</sup>
	400.000	487.94	02/10/21	531.67	43.73 W	0.00	3 of 9 - Sale <sup>25</sup>
	213.000	259.83	02/10/21	268.21	8.38 W	0.00	4 of 9 - Sale <sup>25</sup>
	187.000	228.11	02/10/21	235.47	7.36 W	0.00	5 of 9 - Sale <sup>25</sup>
	300.000	365.96	02/10/21	377.80	11.84 W	0.00	6 of 9 - Sale <sup>25</sup>
	200.000	243.97	02/10/21	247.84	3.87 W	0.00	7 of 9 - Sale <sup>25</sup>
	50.000	60.99	02/10/21	62.97	1.98 W	0.00	8 of 9 - Sale <sup>25</sup>
	50.000	60.99	02/10/21	62.96	1.97 W	0.00	9 of 9 - Sale <sup>25</sup>
02/11/21	2,400.000	2,899.65	Various	3,095.97	196.32 W	0.00	Total of 9 transactions

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Robinhood Securities LLC

Account 841687791

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ONCONOVA THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 68232V405 / Symbol: (cont'd)							
<i>3 transactions for 03/19/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	125.99	02/26/21	123.50	...	2.49	1 of 3 - Sale <sup>25</sup>
	300.000	377.96	02/26/21	370.50	...	7.46	2 of 3 - Sale <sup>25</sup>
	600.000	755.92	02/26/21	741.00	...	14.92	3 of 3 - Sale <sup>25</sup>
03/19/21	1,000.000	1,259.87	Various	1,235.00	...	24.87	Total of 3 transactions
	<b>Security total:</b>	<b>18,039.79</b>		<b>15,723.57</b>	<b>325.37 W</b>	<b>2,641.59</b>	
ORAGENICS INC. / CUSIP: 684023302 / Symbol:							
<i>5 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	998.610	1,108.31	02/16/21	1,378.08	...	-269.77	1 of 5 - Sale <sup>25</sup>
	622.000	690.33	02/16/21	864.58	...	-174.25	2 of 5 - Sale <sup>25</sup>
	378.000	419.53	02/16/21	525.42	...	-105.89	3 of 5 - Sale <sup>25</sup>
	1.000	1.06	02/16/21	1.66	...	-0.60	4 of 5 - Sale <sup>25</sup>
	0.390	0.42	02/16/21	0.65	...	-0.23	5 of 5 - Sale <sup>25</sup>
02/23/21	2,000.000	2,219.65	Various	2,770.39	...	-550.74	Total of 5 transactions
<i>2 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	0.390	0.43	02/16/21	0.54	0.11 W	0.00	1 of 2 - Sale <sup>25</sup>
	1.000	1.11	02/16/21	1.39	0.28 W	0.00	2 of 2 - Sale <sup>25</sup>
02/23/21	1.390	1.54	Various	1.93	0.39 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>2,221.19</b>		<b>2,772.32</b>	<b>0.39 W</b>	<b>-550.74</b>	
PROFIRE ENERGY, INC. COMMON STOCK / CUSIP: 74316X101 / Symbol:							
<i>4 transactions for 02/09/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	120.98	02/08/21	108.00	...	12.98	1 of 4 - Sale <sup>25</sup>
	100.000	120.98	02/08/21	108.00	...	12.98	2 of 4 - Sale <sup>25</sup>
	100.000	120.99	02/08/21	108.00	...	12.99	3 of 4 - Sale <sup>25</sup>
	700.000	846.90	02/08/21	756.00	...	90.90	4 of 4 - Sale <sup>25</sup>
02/09/21	1,000.000	1,209.85	Various	1,080.00	...	129.85	Total of 4 transactions
<i>4 transactions for 02/11/21. Total proceeds and cost reported to the IRS.</i>							
	79.000	97.16	02/10/21	94.80	...	2.36	1 of 4 - Sale <sup>25</sup>
	98.000	120.53	02/10/21	117.60	...	2.93	2 of 4 - Sale <sup>25</sup>
	123.000	151.28	02/10/21	147.60	...	3.68	3 of 4 - Sale <sup>25</sup>

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Account 841687791

## 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
PROFIRE ENERGY, INC. COMMON ST OCK / CUSIP: 74316X101 / Symbol: (cont'd)							
02/11/21	300.000	368.96	02/10/21	360.00	...	8.96	4 of 4 - Sale <sup>25</sup>
	600.000	737.93	Various	720.00	...	17.93	Total of 4 transactions
	6 transactions for 02/12/21. Total proceeds and cost reported to the IRS.						
	25.000	30.00	02/11/21	29.75	...	0.25	1 of 6 - Sale <sup>25</sup>
	1,000.000	1,199.85	02/11/21	1,198.80	...	1.05	2 of 6 - Sale <sup>25</sup>
	200.000	239.97	02/11/21	238.00	...	1.97	3 of 6 - Sale <sup>25</sup>
	375.000	449.94	02/11/21	446.25	...	3.69	4 of 6 - Sale <sup>25</sup>
	400.000	479.94	02/11/21	476.00	...	3.94	5 of 6 - Sale <sup>25</sup>
	300.000	359.96	02/11/21	348.00	...	11.96	6 of 6 - Sale <sup>25</sup>
02/12/21	2,300.000	2,759.66	Various	2,736.80	...	22.86	Total of 6 transactions
	<b>Security total:</b>	<b>4,707.44</b>		<b>4,536.80</b>	...	<b>170.64</b>	
SANCHEZ MIDSTREAM PARTNERS LP / CUSIP: 79971C201 / Symbol:							
02/03/21	1,000.000	1,072.05	02/03/21	1,050.00	...	22.05	Sale <sup>25</sup>
	5 transactions for 02/05/21. Total proceeds and cost reported to the IRS.						
	1,000.000	1,179.85	02/03/21	1,060.00	...	119.85	1 of 5 - Sale <sup>25</sup>
	1.000	1.18	02/04/21	1.08	...	0.10	2 of 5 - Sale <sup>25</sup>
	84.000	99.11	02/04/21	90.72	...	8.39	3 of 5 - Sale <sup>25</sup>
	100.000	117.98	02/04/21	108.00	...	9.98	4 of 5 - Sale <sup>25</sup>
	815.000	961.58	02/04/21	880.20	...	81.38	5 of 5 - Sale <sup>25</sup>
02/05/21	2,000.000	2,359.70	Various	2,140.00	...	219.70	Total of 5 transactions
	19 transactions for 02/16/21. Total proceeds and cost reported to the IRS.						
	44.000	69.51	02/10/21	64.68	...	4.83	1 of 19 - Sale <sup>25</sup>
	55.000	86.89	02/10/21	80.85	...	6.04	2 of 19 - Sale <sup>25</sup>
	100.000	157.98	02/10/21	147.00	...	10.98	3 of 19 - Sale <sup>25</sup>
	123.000	194.32	02/10/21	180.81	...	13.51	4 of 19 - Sale <sup>25</sup>
	133.000	210.12	02/10/21	195.51	...	14.61	5 of 19 - Sale <sup>25</sup>
	245.000	387.06	02/10/21	360.15	...	26.91	6 of 19 - Sale <sup>25</sup>
	300.000	473.96	02/10/21	441.00	...	32.96	7 of 19 - Sale <sup>25</sup>
	1,000.000	1,579.85	02/10/21	1,410.00	...	169.85	8 of 19 - Sale <sup>25</sup>
	20.000	31.80	02/11/21	29.00	...	2.80	9 of 19 - Sale <sup>25</sup>
	45.000	71.54	02/11/21	65.71	...	5.83	10 of 19 - Sale <sup>25</sup>
	50.000	79.49	02/11/21	72.51	...	6.98	11 of 19 - Sale <sup>25</sup>
	55.000	87.44	02/11/21	80.31	...	7.13	12 of 19 - 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

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SANCHEZ MIDSTREAM PARTNERS LP / CUSIP: 79971C201 / Symbol: (cont'd)							
	53.000	84.26	02/11/21	76.86	...	7.40	13 of 19 - Sale <sup>25</sup>
	61.000	96.98	02/11/21	89.07	...	7.91	14 of 19 - Sale <sup>25</sup>
	200.000	317.97	02/11/21	290.03	...	27.94	15 of 19 - Sale <sup>25</sup>
	200.000	317.97	02/11/21	290.03	...	27.94	16 of 19 - Sale <sup>25</sup>
	316.000	502.39	02/11/21	458.25	...	44.14	17 of 19 - Sale <sup>25</sup>
	450.000	715.43	02/11/21	639.00	...	76.43	18 of 19 - Sale <sup>25</sup>
	550.000	874.41	02/11/21	781.00	...	93.41	19 of 19 - Sale <sup>25</sup>
02/16/21	4,000.000	6,339.37	Various	5,751.77	...	587.60	Total of 19 transactions
02/16/21	1,000.000	1,579.84	02/10/21	1,580.00	0.16 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>11,350.96</b>		<b>10,521.77</b>	<b>0.16 W</b>	<b>829.35</b>	
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
5 transactions for 02/09/21. Total proceeds and cost reported to the IRS.							
	300.000	401.95	02/08/21	336.00	...	65.95	1 of 5 - Sale <sup>25</sup>
	300.000	401.96	02/08/21	336.00	...	65.96	2 of 5 - Sale <sup>25</sup>
	400.000	535.94	02/08/21	448.00	...	87.94	3 of 5 - Sale <sup>25</sup>
	1,000.000	1,339.85	02/08/21	1,130.00	...	209.85	4 of 5 - Sale <sup>25</sup>
	1,000.000	1,339.85	02/08/21	1,110.00	...	229.85	5 of 5 - Sale <sup>25</sup>
02/09/21	3,000.000	4,019.55	Various	3,360.00	...	659.55	Total of 5 transactions
2 transactions for 02/10/21. Total proceeds and cost reported to the IRS.							
	100.000	313.98	02/10/21	293.00	...	20.98	1 of 2 - Sale <sup>25</sup>
	100.000	313.98	02/10/21	288.00	...	25.98	2 of 2 - Sale <sup>25</sup>
02/10/21	200.000	627.96	Various	581.00	...	46.96	Total of 2 transactions
	<b>Security total:</b>	<b>4,647.51</b>		<b>3,941.00</b>	...	<b>706.51</b>	
SYNTHETIC BIOLOGICS, INC. / CUSIP: 87164U201 / Symbol:							
14 transactions for 01/15/21. Total proceeds and cost reported to the IRS.							
	65.000	53.29	01/13/21	48.75	...	4.54	1 of 14 - Sale <sup>25</sup>
	65.000	53.29	01/13/21	48.10	...	5.19	2 of 14 - Sale <sup>25</sup>
	135.000	110.68	01/13/21	101.79	...	8.89	3 of 14 - Sale <sup>25</sup>
	135.000	110.68	01/13/21	101.25	...	9.43	4 of 14 - Sale <sup>25</sup>
	200.000	163.97	01/13/21	150.00	...	13.97	5 of 14 - Sale <sup>25</sup>
	200.000	163.97	01/13/21	150.00	...	13.97	6 of 14 - Sale <sup>25</sup>
	200.000	163.97	01/13/21	150.00	...	13.97	7 of 14 - Sale <sup>25</sup>

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

(continued)

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SYNTHETIC BIOLOGICS, INC. / CUSIP: 87164U201 / Symbol: (cont'd)							
	200.000	163.98	01/13/21	150.00	...	13.98	8 of 14 - Sale <sup>25</sup>
	335.000	274.66	01/13/21	254.60	...	20.06	9 of 14 - Sale <sup>25</sup>
	335.000	274.65	01/13/21	247.90	...	26.75	10 of 14 - Sale <sup>25</sup>
	665.000	545.21	01/13/21	505.40	...	39.81	11 of 14 - Sale <sup>25</sup>
	600.000	491.91	01/13/21	444.00	...	47.91	12 of 14 - Sale <sup>25</sup>
	865.000	709.18	01/13/21	652.21	...	56.97	13 of 14 - Sale <sup>25</sup>
	1,000.000	819.86	01/14/21	713.10	...	106.76	14 of 14 - Sale <sup>25</sup>
01/15/21	5,000.000	4,099.30	Various	3,717.10	...	382.20	Total of 14 transactions
	8 transactions for 01/22/21. Total proceeds and cost reported to the IRS.						
	2,000.000	1,819.72	01/20/21	1,698.80	...	120.92	1 of 8 - Sale <sup>25</sup>
	29.000	26.39	01/21/21	23.59	...	2.80	2 of 8 - Sale <sup>25</sup>
	171.000	155.59	01/21/21	139.09	...	16.50	3 of 8 - Sale <sup>25</sup>
	200.000	181.97	01/21/21	162.68	...	19.29	4 of 8 - Sale <sup>25</sup>
	200.000	181.97	01/21/21	162.68	...	19.29	5 of 8 - Sale <sup>25</sup>
	200.000	181.97	01/21/21	162.68	...	19.29	6 of 8 - Sale <sup>25</sup>
	200.000	181.97	01/21/21	162.68	...	19.29	7 of 8 - Sale <sup>25</sup>
	1,000.000	909.85	01/21/21	820.00	...	89.85	8 of 8 - Sale <sup>25</sup>
01/22/21	4,000.000	3,639.43	Various	3,332.20	...	307.23	Total of 8 transactions
	14 transactions for 02/01/21. Total proceeds and cost reported to the IRS.						
	70.000	56.69	01/29/21	54.05	...	2.64	1 of 14 - Sale <sup>25</sup>
	100.000	80.99	01/29/21	77.21	...	3.78	2 of 14 - Sale <sup>25</sup>
	100.000	80.99	01/29/21	77.21	...	3.78	3 of 14 - Sale <sup>25</sup>
	100.000	80.99	01/29/21	77.21	...	3.78	4 of 14 - Sale <sup>25</sup>
	130.000	105.28	01/29/21	100.37	...	4.91	5 of 14 - Sale <sup>25</sup>
	200.000	161.97	01/29/21	155.00	...	6.97	6 of 14 - Sale <sup>25</sup>
	200.000	161.97	01/29/21	155.00	...	6.97	7 of 14 - Sale <sup>25</sup>
	200.000	161.97	01/29/21	155.00	...	6.97	8 of 14 - Sale <sup>25</sup>
	200.000	161.97	01/29/21	155.00	...	6.97	9 of 14 - Sale <sup>25</sup>
	200.000	161.97	01/29/21	155.00	...	6.97	10 of 14 - Sale <sup>25</sup>
	300.000	242.96	01/29/21	233.31	...	9.65	11 of 14 - Sale <sup>25</sup>
	500.000	404.93	01/29/21	386.05	...	18.88	12 of 14 - Sale <sup>25</sup>
	700.000	566.90	01/29/21	544.39	...	22.51	13 of 14 - Sale <sup>25</sup>
	1,000.000	809.86	01/29/21	772.40	...	37.46	14 of 14 - Sale <sup>25</sup>
02/01/21	4,000.000	3,239.44	Various	3,097.20	...	142.24	Total of 14 transactions

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<b>Robinhood Securities LLC</b>	<b>Proceeds from Broker and Barter Exchange Transactions</b>	Account 841687791
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
SYNTHETIC BIOLOGICS, INC. / CUSIP: 87164U201 / Symbol: (cont'd)							
<i>9 transactions for 02/05/21. Total proceeds and cost reported to the IRS.</i>							
	1.000	0.83	02/02/21	0.78	...	0.05	1 of 9 - Sale <sup>25</sup>
	100.000	83.38	02/02/21	81.00	...	2.38	2 of 9 - Sale <sup>25</sup>
	100.000	83.38	02/02/21	81.00	...	2.38	3 of 9 - Sale <sup>25</sup>
	100.000	83.38	02/02/21	78.40	...	4.98	4 of 9 - Sale <sup>25</sup>
	300.000	250.13	02/02/21	243.00	...	7.13	5 of 9 - Sale <sup>25</sup>
	500.000	416.88	02/02/21	405.00	...	11.88	6 of 9 - Sale <sup>25</sup>
	1,000.000	833.76	02/02/21	799.90	...	33.86	7 of 9 - Sale <sup>25</sup>
	899.000	749.55	02/02/21	704.82	...	44.73	8 of 9 - Sale <sup>25</sup>
	1,000.000	833.76	02/02/21	780.00	...	53.76	9 of 9 - Sale <sup>25</sup>
02/05/21	4,000.000	3,335.05	Various	3,173.90	...	161.15	Total of 9 transactions
<i>13 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	700.000	489.90	02/10/21	951.11	...	-461.21	1 of 13 - Sale <sup>25</sup>
	150.000	104.98	02/10/21	259.34	...	-154.36	2 of 13 - Sale <sup>25</sup>
	100.000	69.99	02/10/21	140.87	...	-70.88	3 of 13 - Sale <sup>25</sup>
	200.000	139.97	02/10/21	202.00	...	-62.03	4 of 13 - Sale <sup>25</sup>
	200.000	139.97	02/10/21	202.00	...	-62.03	5 of 13 - Sale <sup>25</sup>
	200.000	139.97	02/10/21	202.00	...	-62.03	6 of 13 - Sale <sup>25</sup>
	200.000	139.97	02/10/21	202.00	...	-62.03	7 of 13 - Sale <sup>25</sup>
	50.000	34.99	02/10/21	50.50	...	-15.51	8 of 13 - Sale <sup>25</sup>
	700.000	489.91	02/12/21	707.00	...	-217.09	9 of 13 - Sale <sup>25</sup>
	579.000	405.22	02/12/21	579.00	...	-173.78	10 of 13 - Sale <sup>25</sup>
	421.000	294.65	02/12/21	421.00	...	-126.35	11 of 13 - Sale <sup>25</sup>
	300.000	209.96	02/12/21	303.00	...	-93.04	12 of 13 - Sale <sup>25</sup>
	1.000	0.70	02/16/21	1.01	...	-0.31	13 of 13 - Sale <sup>25</sup>
02/23/21	3,801.000	2,660.18	Various	4,220.83	...	-1,560.65	Total of 13 transactions
<i>11 transactions for 02/23/21. Total proceeds and cost reported to the IRS.</i>							
	1,000.000	699.96	02/09/21	1,028.90	328.94 W	0.00	1 of 11 - Sale <sup>25</sup>
	2,000.000	1,399.93	02/09/21	2,080.00	680.07 W	0.00	2 of 11 - Sale <sup>25</sup>
	100.000	70.00	02/09/21	109.00	39.00 W	0.00	3 of 11 - Sale <sup>25</sup>
	200.000	140.00	02/09/21	283.79	143.79 W	0.00	4 of 11 - Sale <sup>25</sup>
	150.000	105.00	02/09/21	212.84	107.84 W	0.00	5 of 11 - Sale <sup>25</sup>
	550.000	384.93	02/09/21	780.42	395.49 W	0.00	6 of 11 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 841687791

## 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
SYNTHETIC BIOLOGICS, INC. / CUSIP: 87164U201 / Symbol: (cont'd)							
	200.000	139.97	02/10/21	347.53	51.89 W	-155.67	7 of 11 - Sale <sup>25</sup>
	100.000	69.99	02/10/21	137.89	67.90 W	0.00	8 of 11 - Sale <sup>25</sup>
	900.000	629.88	02/10/21	1,251.03	621.15 W	0.00	9 of 11 - Sale <sup>25</sup>
	200.000	139.97	02/10/21	274.01	134.04 W	0.00	10 of 11 - Sale <sup>25</sup>
	200.000	139.97	02/10/21	274.01	134.04 W	0.00	11 of 11 - Sale <sup>25</sup>
02/23/21	5,600.000	3,919.60	Various	6,779.42	2,704.15 W	-155.67	Total of 11 transactions
	7 transactions for 03/12/21. Total proceeds and cost reported to the IRS.						
	550.000	461.93	02/24/21	806.01	...	-344.08	1 of 7 - Sale <sup>25</sup>
	550.000	461.93	02/24/21	791.98	...	-330.05	2 of 7 - Sale <sup>25</sup>
	350.000	293.96	02/24/21	502.80	...	-208.84	3 of 7 - Sale <sup>25</sup>
	200.000	167.97	02/24/21	284.00	...	-116.03	4 of 7 - Sale <sup>25</sup>
	200.000	167.98	02/24/21	284.00	...	-116.02	5 of 7 - Sale <sup>25</sup>
	100.000	83.99	02/24/21	142.54	...	-58.55	6 of 7 - Sale <sup>25</sup>
	50.000	41.99	02/24/21	89.38	...	-47.39	7 of 7 - Sale <sup>25</sup>
03/12/21	2,000.000	1,679.75	Various	2,900.71	...	-1,220.96	Total of 7 transactions
	<b>Security total:</b>	<b>22,572.75</b>		<b>27,221.36</b>	<b>2,704.15 W</b>	<b>-1,944.46</b>	
TANZANIAN GOLD CORPORATION / CUSIP: 87601A107 / Symbol:							
	10 transactions for 02/23/21. Total proceeds and cost reported to the IRS.						
	901.000	630.67	02/12/21	799.19	...	-168.52	1 of 10 - Sale <sup>25</sup>
	200.000	139.99	02/12/21	177.26	...	-37.27	2 of 10 - Sale <sup>25</sup>
	200.000	139.99	02/12/21	177.26	...	-37.27	3 of 10 - Sale <sup>25</sup>
	200.000	139.99	02/12/21	177.26	...	-37.27	4 of 10 - Sale <sup>25</sup>
	158.000	110.59	02/12/21	140.04	...	-29.45	5 of 10 - Sale <sup>25</sup>
	99.000	69.30	02/12/21	88.01	...	-18.71	6 of 10 - Sale <sup>25</sup>
	100.000	70.00	02/12/21	88.63	...	-18.63	7 of 10 - Sale <sup>25</sup>
	100.000	70.00	02/12/21	88.63	...	-18.63	8 of 10 - Sale <sup>25</sup>
	42.000	29.40	02/12/21	37.22	...	-7.82	9 of 10 - Sale <sup>25</sup>
	1,000.000	699.96	02/16/21	884.80	...	-184.84	10 of 10 - Sale <sup>25</sup>
02/23/21	3,000.000	2,099.89	Various	2,658.30	...	-558.41	Total of 10 transactions

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Robinhood Securities LLC

Account 841687791

## 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
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
<i>10 transactions for 01/12/21. Total proceeds and cost reported to the IRS.</i>							
	40.000	37.47	01/11/21	33.36	...	4.11	1 of 10 - Sale <sup>25</sup>
	100.000	93.68	01/11/21	83.40	...	10.28	2 of 10 - Sale <sup>25</sup>
	100.000	93.69	01/11/21	83.40	...	10.29	3 of 10 - Sale <sup>25</sup>
	100.000	93.69	01/11/21	83.40	...	10.29	4 of 10 - Sale <sup>25</sup>
	100.000	93.69	01/11/21	83.40	...	10.29	5 of 10 - Sale <sup>25</sup>
	160.000	149.89	01/11/21	133.44	...	16.45	6 of 10 - Sale <sup>25</sup>
	400.000	374.74	01/11/21	333.60	...	41.14	7 of 10 - Sale <sup>25</sup>
	1,000.000	936.85	01/11/21	834.00	...	102.85	8 of 10 - Sale <sup>25</sup>
	1,000.000	936.85	01/12/21	853.40	...	83.45	9 of 10 - Sale <sup>25</sup>
	1,000.000	936.85	01/12/21	853.40	...	83.45	10 of 10 - Sale <sup>25</sup>
01/12/21	4,000.000	3,747.40	Various	3,374.80	...	372.60	Total of 10 transactions
<i>11 transactions for 01/20/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	95.49	01/14/21	94.80	...	0.69	1 of 11 - Sale <sup>25</sup>
	100.000	95.49	01/14/21	94.77	...	0.72	2 of 11 - Sale <sup>25</sup>
	200.000	190.97	01/14/21	189.60	...	1.37	3 of 11 - Sale <sup>25</sup>
	300.000	286.46	01/14/21	284.31	...	2.15	4 of 11 - Sale <sup>25</sup>
	300.000	286.46	01/14/21	284.31	...	2.15	5 of 11 - Sale <sup>25</sup>
	94.000	89.76	01/15/21	86.48	...	3.28	6 of 11 - Sale <sup>25</sup>
	240.000	229.17	01/15/21	220.80	...	8.37	7 of 11 - Sale <sup>25</sup>
	666.000	635.93	01/15/21	612.72	...	23.21	8 of 11 - Sale <sup>25</sup>
	600.000	572.91	01/15/21	544.08	...	28.83	9 of 11 - Sale <sup>25</sup>
	1,000.000	954.85	01/15/21	906.80	...	48.05	10 of 11 - Sale <sup>25</sup>
	1,400.000	1,336.79	01/15/21	1,269.52	...	67.27	11 of 11 - Sale <sup>25</sup>
01/20/21	5,000.000	4,774.28	Various	4,588.19	...	186.09	Total of 11 transactions
01/25/21	3,000.000	3,329.56	01/22/21	2,895.00	...	434.56	Sale <sup>25</sup>
<i>12 transactions for 01/29/21. Total proceeds and cost reported to the IRS.</i>							
	100.000	100.98	01/25/21	99.68	...	1.30	1 of 12 - Sale <sup>25</sup>
	100.000	100.99	01/25/21	99.68	...	1.31	2 of 12 - Sale <sup>25</sup>
	200.000	201.97	01/25/21	199.36	...	2.61	3 of 12 - Sale <sup>25</sup>
	300.000	302.95	01/25/21	299.04	...	3.91	4 of 12 - Sale <sup>25</sup>
	300.000	302.96	01/25/21	299.04	...	3.92	5 of 12 - Sale <sup>25</sup>
	100.000	100.98	01/27/21	92.33	...	8.65	6 of 12 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 841687791

## 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
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol: (cont'd)							
	100.000	100.98	01/27/21	92.33	...	8.65	7 of 12 - Sale <sup>25</sup>
	100.000	100.99	01/27/21	92.34	...	8.65	8 of 12 - Sale <sup>25</sup>
	100.000	100.98	01/27/21	92.33	...	8.65	9 of 12 - Sale <sup>25</sup>
	100.000	100.99	01/27/21	92.34	...	8.65	10 of 12 - Sale <sup>25</sup>
	200.000	201.97	01/27/21	184.67	...	17.30	11 of 12 - Sale <sup>25</sup>
	300.000	302.96	01/27/21	277.01	...	25.95	12 of 12 - Sale <sup>25</sup>
01/29/21	2,000.000	2,019.70	Various	1,920.15	...	99.55	Total of 12 transactions
	2 transactions for 01/29/21. Total proceeds and cost reported to the IRS.						
	600.000	605.91	01/25/21	612.00	6.09 W	0.00	1 of 2 - Sale <sup>25</sup>
	400.000	403.94	01/25/21	408.00	4.06 W	0.00	2 of 2 - Sale <sup>25</sup>
01/29/21	1,000.000	1,009.85	Various	1,020.00	10.15 W	0.00	Total of 2 transactions
	3 transactions for 05/04/21. Total proceeds and cost reported to the IRS.						
	950.000	1,063.88	03/18/21	1,366.96	...	-303.08	1 of 3 - Sale <sup>25</sup>
	41.000	45.91	03/18/21	58.83	...	-12.92	2 of 3 - Sale <sup>25</sup>
	9.000	10.08	03/18/21	12.92	...	-2.84	3 of 3 - Sale <sup>25</sup>
05/04/21	1,000.000	1,119.87	Various	1,438.71	...	-318.84	Total of 3 transactions
	<b>Security total:</b>	<b>16,000.66</b>		<b>15,236.85</b>	<b>10.15 W</b>	<b>773.96</b>	
VAXART, INC COMMON STOCK / CUSIP: 92243A200 / Symbol:							
02/10/21	100.000	857.08	02/03/21	1,113.89	...	-256.81	Sale <sup>25</sup>
ZOSANO PHARMA CORPORATION COMM ON STOCK / CUSIP: 98979H202 / Symbol:							
	11 transactions for 01/28/21. Total proceeds and cost reported to the IRS.						
	1,600.000	1,599.76	01/25/21	1,694.56	...	-94.80	1 of 11 - Sale <sup>25</sup>
	100.000	99.99	01/25/21	105.50	...	-5.51	2 of 11 - Sale <sup>25</sup>
	100.000	99.99	01/25/21	105.50	...	-5.51	3 of 11 - Sale <sup>25</sup>
	60.000	59.99	01/25/21	63.30	...	-3.31	4 of 11 - Sale <sup>25</sup>
	60.000	59.99	01/25/21	63.30	...	-3.31	5 of 11 - Sale <sup>25</sup>
	39.000	38.99	01/25/21	41.15	...	-2.16	6 of 11 - Sale <sup>25</sup>
	20.000	20.00	01/25/21	21.10	...	-1.10	7 of 11 - Sale <sup>25</sup>
	20.000	20.00	01/25/21	21.10	...	-1.10	8 of 11 - Sale <sup>25</sup>
	1.000	1.00	01/25/21	1.06	...	-0.06	9 of 11 - Sale <sup>25</sup>
	500.000	499.98	01/27/21	480.07	...	19.91	10 of 11 - Sale <sup>25</sup>

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<b>Robinhood Securities LLC</b>	<b>Proceeds from Broker and Barter Exchange Transactions</b>	Account 841687791
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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ZOSANO PHARMA CORPORATION COMM ON STOCK / CUSIP: 98979H202 / Symbol: (cont'd)							
	1,500.000	1,499.93	01/27/21	1,440.21	...	59.72	11 of 11 - Sale <sup>25</sup>
01/28/21	4,000.000	3,999.62	Various	4,036.85	...	-37.23	Total of 11 transactions
01/28/21	2,000.000	1,999.72	01/25/21	2,100.00	100.28 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>5,999.34</b>		<b>6,136.85</b>	<b>100.28 W</b>	<b>-37.23</b>	
BORQS TECHNOLOGIES, INC. ORDINARY SHARES / CUSIP: G1466B103 / Symbol:							
	7 transactions for 01/07/21. Total proceeds and cost reported to the IRS.						
	100.000	107.99	12/08/20	109.96	1.97 W	0.00	1 of 7 - Sale <sup>25</sup>
	300.000	323.95	12/08/20	329.84	5.89 W	0.00	2 of 7 - Sale <sup>25</sup>
	100.000	107.98	12/08/20	109.96	1.98 W	0.00	3 of 7 - Sale <sup>25</sup>
	400.000	431.94	12/08/20	439.72	7.78 W	0.00	4 of 7 - Sale <sup>25</sup>
	100.000	107.99	12/08/20	124.92	16.93 W	0.00	5 of 7 - Sale <sup>25</sup>
	100.000	107.98	12/08/20	124.93	16.95 W	0.00	6 of 7 - Sale <sup>25</sup>
	225.000	242.97	12/08/20	274.40	31.43 W	0.00	7 of 7 - Sale <sup>25</sup>
01/07/21	1,325.000	1,430.80	Various	1,513.73	82.93 W	0.00	Total of 7 transactions
	19 transactions for 01/08/21. Total proceeds and cost reported to the IRS.						
	39.000	42.50	12/31/20	39.59	...	2.91	1 of 19 - Sale <sup>25</sup>
	50.000	54.49	12/31/20	50.88	...	3.61	2 of 19 - Sale <sup>25</sup>
	50.000	54.49	12/31/20	50.87	...	3.62	3 of 19 - Sale <sup>25</sup>
	50.000	54.49	12/31/20	50.86	...	3.63	4 of 19 - Sale <sup>25</sup>
	100.000	108.98	12/31/20	101.78	...	7.20	5 of 19 - Sale <sup>25</sup>
	100.000	108.98	12/31/20	101.77	...	7.21	6 of 19 - Sale <sup>25</sup>
	100.000	108.99	12/31/20	101.77	...	7.22	7 of 19 - Sale <sup>25</sup>
	100.000	108.99	12/31/20	101.76	...	7.23	8 of 19 - Sale <sup>25</sup>
	150.000	163.47	12/31/20	152.62	...	10.85	9 of 19 - Sale <sup>25</sup>
	200.000	217.97	12/31/20	203.54	...	14.43	10 of 19 - Sale <sup>25</sup>
	161.000	175.47	12/31/20	159.01	...	16.46	11 of 19 - Sale <sup>25</sup>
	18.000	19.62	01/07/21	19.39	...	0.23	12 of 19 - Sale <sup>25</sup>
	32.000	34.88	01/07/21	34.48	...	0.40	13 of 19 - Sale <sup>25</sup>
	50.000	54.49	01/07/21	53.88	...	0.61	14 of 19 - Sale <sup>25</sup>
	36.000	39.23	01/07/21	38.08	...	1.15	15 of 19 - Sale <sup>25</sup>
	125.000	136.23	01/07/21	133.48	...	2.75	16 of 19 - Sale <sup>25</sup>
	68.000	74.11	01/07/21	70.04	...	4.07	17 of 19 - Sale <sup>25</sup>
	271.000	295.35	01/07/21	279.13	...	16.22	18 of 19 - Sale <sup>25</sup>

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<b>Robinhood Securities LLC</b>	<b>Proceeds from Broker and Barter Exchange Transactions</b>	Account 841687791
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
BORQS TECHNOLOGIES, INC. ORDIN ARY SHARES / CUSIP: G1466B103 / Symbol: (cont'd)							
01/08/21	700.000	762.90	01/07/21	721.00	...	41.90	19 of 19 - Sale <sup>25</sup>
	2,400.000	2,615.63	Various	2,463.93	...	151.70	Total of 19 transactions
	<i>28 transactions for 01/08/21. Total proceeds and cost reported to the IRS.</i>						
	100.000	108.99	12/08/20	111.98	2.99 W	0.00	1 of 28 - Sale <sup>25</sup>
	100.000	108.99	12/08/20	111.97	2.98 W	0.00	2 of 28 - Sale <sup>25</sup>
	200.000	217.97	12/08/20	223.93	5.96 W	0.00	3 of 28 - Sale <sup>25</sup>
	75.000	81.74	12/08/20	91.46	9.72 W	0.00	4 of 28 - Sale <sup>25</sup>
	100.000	108.98	12/08/20	111.96	2.98 W	0.00	5 of 28 - Sale <sup>25</sup>
	100.000	108.98	12/08/20	111.95	2.97 W	0.00	6 of 28 - Sale <sup>25</sup>
	150.000	163.48	12/08/20	167.92	4.44 W	0.00	7 of 28 - Sale <sup>25</sup>
	100.000	108.99	12/08/20	111.94	2.95 W	0.00	8 of 28 - Sale <sup>25</sup>
	100.000	108.98	12/08/20	126.93	17.95 W	0.00	9 of 28 - Sale <sup>25</sup>
	75.000	81.74	12/08/20	95.21	13.47 W	0.00	10 of 28 - Sale <sup>25</sup>
	50.000	54.49	12/08/20	61.98	7.49 W	0.00	11 of 28 - Sale <sup>25</sup>
	25.000	27.25	12/08/20	31.74	4.49 W	0.00	12 of 28 - Sale <sup>25</sup>
	50.000	54.49	12/08/20	55.97	1.48 W	0.00	13 of 28 - Sale <sup>25</sup>
	32.000	34.88	12/08/20	39.67	4.79 W	0.00	14 of 28 - Sale <sup>25</sup>
	18.000	19.62	12/08/20	22.31	2.69 W	0.00	15 of 28 - Sale <sup>25</sup>
	39.000	42.51	12/31/20	43.58	1.07 W	0.00	16 of 28 - Sale <sup>25</sup>
	36.000	39.23	12/31/20	40.23	1.00 W	0.00	17 of 28 - Sale <sup>25</sup>
	125.000	136.23	12/31/20	140.96	4.73 W	0.00	18 of 28 - Sale <sup>25</sup>
	18.000	19.62	12/31/20	20.47	0.85 W	0.00	19 of 28 - Sale <sup>25</sup>
	25.000	27.25	12/31/20	29.18	1.93 W	0.00	20 of 28 - Sale <sup>25</sup>
	32.000	34.88	12/31/20	36.40	1.52 W	0.00	21 of 28 - Sale <sup>25</sup>
	50.000	54.49	12/31/20	56.87	2.38 W	0.00	22 of 28 - Sale <sup>25</sup>
	75.000	81.74	12/31/20	87.55	5.81 W	0.00	23 of 28 - Sale <sup>25</sup>
	100.000	108.99	12/31/20	116.72	7.73 W	0.00	24 of 28 - Sale <sup>25</sup>
	61.000	66.48	01/07/21	67.55	1.07 W	0.00	25 of 28 - Sale <sup>25</sup>
	25.000	27.25	01/07/21	27.68	0.43 W	0.00	26 of 28 - Sale <sup>25</sup>
	75.000	81.74	01/07/21	83.06	1.32 W	0.00	27 of 28 - Sale <sup>25</sup>
	39.000	42.50	01/07/21	43.18	0.68 W	0.00	28 of 28 - Sale <sup>25</sup>
01/08/21	1,975.000	2,152.48	Various	2,270.35	117.87 W	0.00	Total of 28 transactions

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Robinhood Securities LLC

Account 841687791

## 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
BORQS TECHNOLOGIES, INC. ORDIN ARY SHARES / CUSIP: G1466B103 / Symbol: (cont'd)							
6 transactions for 01/13/21. Total proceeds and cost reported to the IRS.							
	25.000	35.25	01/11/21	33.68	...	1.57	1 of 6 - Sale <sup>25</sup>
	39.000	54.98	01/11/21	52.55	...	2.43	2 of 6 - Sale <sup>25</sup>
	61.000	86.00	01/11/21	82.20	...	3.80	3 of 6 - Sale <sup>25</sup>
	75.000	105.74	01/11/21	101.07	...	4.67	4 of 6 - Sale <sup>25</sup>
	800.000	1,127.88	01/11/21	1,064.00	...	63.88	5 of 6 - Sale <sup>25</sup>
	1,000.000	1,409.84	01/13/21	1,226.40	...	183.44	6 of 6 - Sale <sup>25</sup>
01/13/21	2,000.000	2,819.69	Various	2,559.90	...	259.79	Total of 6 transactions
4 transactions for 01/21/21. Total proceeds and cost reported to the IRS.							
	300.000	354.35	01/14/21	399.00	44.65 W	0.00	1 of 4 - Sale <sup>25</sup>
	300.000	354.34	01/14/21	399.00	44.66 W	0.00	2 of 4 - Sale <sup>25</sup>
	100.000	118.12	01/14/21	133.00	14.88 W	0.00	3 of 4 - Sale <sup>25</sup>
	300.000	354.34	01/14/21	399.00	44.66 W	0.00	4 of 4 - Sale <sup>25</sup>
01/21/21	1,000.000	1,181.15	Various	1,330.00	148.85 W	0.00	Total of 4 transactions
18 transactions for 01/22/21. Total proceeds and cost reported to the IRS.							
	500.000	639.92	01/15/21	609.90	...	30.02	1 of 18 - Sale <sup>25</sup>
	100.000	127.98	01/20/21	119.00	...	8.98	2 of 18 - Sale <sup>25</sup>
	100.000	127.99	01/20/21	119.00	...	8.99	3 of 18 - Sale <sup>25</sup>
	100.000	127.99	01/20/21	119.00	...	8.99	4 of 18 - Sale <sup>25</sup>
	200.000	255.97	01/20/21	238.00	...	17.97	5 of 18 - Sale <sup>25</sup>
	1,000.000	1,279.85	01/20/21	1,200.00	...	79.85	6 of 18 - Sale <sup>25</sup>
	0.180	0.23	01/21/21	0.22	...	0.01	7 of 18 - Sale <sup>25</sup>
	1.000	1.28	01/21/21	1.20	...	0.08	8 of 18 - Sale <sup>25</sup>
	6.000	7.68	01/21/21	7.08	...	0.60	9 of 18 - Sale <sup>25</sup>
	100.000	127.98	01/21/21	119.00	...	8.98	10 of 18 - Sale <sup>25</sup>
	100.000	127.98	01/21/21	119.00	...	8.98	11 of 18 - Sale <sup>25</sup>
	100.000	127.98	01/21/21	119.00	...	8.98	12 of 18 - Sale <sup>25</sup>
	100.000	127.99	01/21/21	119.00	...	8.99	13 of 18 - Sale <sup>25</sup>
	100.000	127.99	01/21/21	119.00	...	8.99	14 of 18 - Sale <sup>25</sup>
	103.820	132.87	01/21/21	122.51	...	10.36	15 of 18 - Sale <sup>25</sup>
	200.000	255.97	01/21/21	238.00	...	17.97	16 of 18 - Sale <sup>25</sup>
	300.000	383.96	01/21/21	357.00	...	26.96	17 of 18 - Sale <sup>25</sup>

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<b>Robinhood Securities LLC</b>	<b>Proceeds from Broker and Barter Exchange Transactions</b>	Account 841687791
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
BORQS TECHNOLOGIES, INC. ORDIN ARY SHARES / CUSIP: G1466B103 / Symbol: (cont'd)							
01/22/21	886.000	1,133.95	01/21/21	1,045.48	...	88.47	18 of 18 - Sale <sup>25</sup>
	3,997.000	5,115.56	Various	4,771.39	...	344.17	Total of 18 transactions
	7 transactions for 01/22/21. Total proceeds and cost reported to the IRS.						
	200.000	255.97	01/14/21	285.77	29.80 W	0.00	1 of 7 - Sale <sup>25</sup>
	300.000	383.96	01/14/21	428.65	44.69 W	0.00	2 of 7 - Sale <sup>25</sup>
	100.000	127.99	01/15/21	136.87	8.88 W	0.00	3 of 7 - Sale <sup>25</sup>
	100.000	127.98	01/15/21	136.86	8.88 W	0.00	4 of 7 - Sale <sup>25</sup>
	300.000	383.96	01/15/21	410.60	26.64 W	0.00	5 of 7 - Sale <sup>25</sup>
	0.180	0.23	01/21/21	0.24	0.01 W	0.00	6 of 7 - Sale <sup>25</sup>
	4.000	5.12	01/21/21	5.31	0.19 W	0.00	7 of 7 - Sale <sup>25</sup>
01/22/21	1,004.180	1,285.21	Various	1,404.30	119.09 W	0.00	Total of 7 transactions
	18 transactions for 01/29/21. Total proceeds and cost reported to the IRS.						
	0.180	0.23	01/28/21	0.23	...	0.00	1 of 18 - Sale <sup>25</sup>
	82.000	104.13	01/28/21	100.04	...	4.09	2 of 18 - Sale <sup>25</sup>
	100.000	126.98	01/28/21	122.00	...	4.98	3 of 18 - Sale <sup>25</sup>
	100.000	126.98	01/28/21	122.00	...	4.98	4 of 18 - Sale <sup>25</sup>
	100.000	126.99	01/28/21	122.00	...	4.99	5 of 18 - Sale <sup>25</sup>
	100.000	126.99	01/28/21	122.00	...	4.99	6 of 18 - Sale <sup>25</sup>
	100.000	126.99	01/28/21	122.00	...	4.99	7 of 18 - Sale <sup>25</sup>
	118.000	149.84	01/28/21	143.96	...	5.88	8 of 18 - Sale <sup>25</sup>
	300.000	380.95	01/28/21	366.00	...	14.95	9 of 18 - Sale <sup>25</sup>
	1,000.000	1,269.85	01/28/21	1,200.00	...	69.85	10 of 18 - Sale <sup>25</sup>
	1,000.000	1,269.85	01/28/21	1,190.00	...	79.85	11 of 18 - Sale <sup>25</sup>
	0.180	0.23	01/29/21	0.23	...	0.00	12 of 18 - Sale <sup>25</sup>
	0.180	0.23	01/29/21	0.22	...	0.01	13 of 18 - Sale <sup>25</sup>
	4.000	5.08	01/29/21	4.79	...	0.29	14 of 18 - Sale <sup>25</sup>
	10.000	12.70	01/29/21	11.70	...	1.00	15 of 18 - Sale <sup>25</sup>
	100.000	126.98	01/29/21	123.89	...	3.09	16 of 18 - Sale <sup>25</sup>
	100.000	126.99	01/29/21	117.00	...	9.99	17 of 18 - Sale <sup>25</sup>
	290.000	368.25	01/29/21	339.30	...	28.95	18 of 18 - Sale <sup>25</sup>
01/29/21	3,504.540	4,450.24	Various	4,207.36	...	242.88	Total of 18 transactions

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Robinhood Securities LLC

Account 841687791

## 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- Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
BORQS TECHNOLOGIES, INC. ORDINARY SHARES / CUSIP: G1466B103 / Symbol: (cont'd)							
10 transactions for 01/29/21. Total proceeds and cost reported to the IRS.							
	4.000	5.08	01/28/21	5.19	0.11 W	0.00	1 of 10 - Sale <sup>25</sup>
	200.000	253.97	01/28/21	279.80	25.83 W	0.00	2 of 10 - Sale <sup>25</sup>
	295.820	375.65	01/28/21	413.85	38.20 W	0.00	3 of 10 - Sale <sup>25</sup>
	100.000	126.99	01/28/21	133.88	6.89 W	0.00	4 of 10 - Sale <sup>25</sup>
	100.000	126.99	01/28/21	133.88	6.89 W	0.00	5 of 10 - Sale <sup>25</sup>
	300.000	380.95	01/28/21	401.64	20.69 W	0.00	6 of 10 - Sale <sup>25</sup>
	71.000	90.16	01/29/21	92.24	2.08 W	0.00	7 of 10 - Sale <sup>25</sup>
	224.820	285.49	01/29/21	292.07	6.58 W	0.00	8 of 10 - Sale <sup>25</sup>
	100.000	126.98	01/29/21	129.92	2.94 W	0.00	9 of 10 - Sale <sup>25</sup>
	99.820	126.76	01/29/21	129.68	2.92 W	0.00	10 of 10 - Sale <sup>25</sup>
01/29/21	1,495.460	1,899.02	Various	2,012.15	113.13 W	0.00	Total of 10 transactions
11 transactions for 02/11/21. Total proceeds and cost reported to the IRS.							
	47.820	92.76	02/10/21	85.07	...	7.69	1 of 11 - Sale <sup>25</sup>
	47.820	92.76	02/10/21	85.07	...	7.69	2 of 11 - Sale <sup>25</sup>
	52.000	100.87	02/10/21	92.50	...	8.37	3 of 11 - Sale <sup>25</sup>
	52.180	101.22	02/10/21	92.83	...	8.39	4 of 11 - Sale <sup>25</sup>
	71.000	137.73	02/10/21	123.49	...	14.24	5 of 11 - Sale <sup>25</sup>
	100.000	193.98	02/10/21	177.90	...	16.08	6 of 11 - Sale <sup>25</sup>
	100.000	193.98	02/10/21	177.89	...	16.09	7 of 11 - Sale <sup>25</sup>
	99.820	193.64	02/10/21	173.61	...	20.03	8 of 11 - Sale <sup>25</sup>
	100.000	193.98	02/10/21	173.94	...	20.04	9 of 11 - Sale <sup>25</sup>
	104.540	202.79	02/10/21	178.77	...	24.02	10 of 11 - Sale <sup>25</sup>
	224.820	436.12	02/10/21	391.02	...	45.10	11 of 11 - Sale <sup>25</sup>
02/11/21	1,000.000	1,939.83	Various	1,752.09	...	187.74	Total of 11 transactions
3 transactions for 06/30/21. Total proceeds and cost reported to the IRS.							
	50.000	63.25	05/06/21	48.74	...	14.51	1 of 3 - Sale <sup>25</sup>
	200.000	275.98	05/06/21	194.94	...	81.04	2 of 3 - Sale <sup>25</sup>
	800.000	1,103.89	05/06/21	779.76	...	324.13	3 of 3 - Sale <sup>25</sup>
06/30/21	1,050.000	1,443.12	Various	1,023.44	...	419.68	Total of 3 transactions
	<b>Security total:</b>	<b>26,332.73</b>		<b>25,308.64</b>	<b>581.87 W</b>	<b>1,605.96</b>	

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Robinhood Securities LLC

Account 841687791

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/11/2022

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NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol:							
<i>10 transactions for 01/21/21. Total proceeds and cost reported to the IRS.</i>							
	18.000	10.66	01/13/21	8.32	...	2.34	1 of 10 - Sale <sup>25</sup>
	282.000	166.93	01/13/21	130.34	...	36.59	2 of 10 - Sale <sup>25</sup>
	500.000	295.99	01/13/21	231.10	...	64.89	3 of 10 - Sale <sup>25</sup>
	500.000	295.99	01/13/21	231.10	...	64.89	4 of 10 - Sale <sup>25</sup>
	700.000	414.52	01/13/21	323.54	...	90.98	5 of 10 - Sale <sup>25</sup>
	718.000	425.03	01/13/21	331.86	...	93.17	6 of 10 - Sale <sup>25</sup>
	1,000.000	592.16	01/13/21	462.20	...	129.96	7 of 10 - Sale <sup>25</sup>
	4,282.000	2,512.11	01/13/21	1,979.14	...	532.97	8 of 10 - Sale <sup>25</sup>
	1,000.000	586.67	01/14/21	462.10	...	124.57	9 of 10 - Sale <sup>25</sup>
	975.000	572.00	01/15/21	442.65	...	129.35	10 of 10 - Sale <sup>25</sup>
01/21/21	9,975.000	5,872.06	Various	4,602.35	...	1,269.71	Total of 10 transactions
<i>17 transactions for 01/27/21. Total proceeds and cost reported to the IRS.</i>							
	545.000	337.83	01/21/21	257.51	...	80.32	1 of 17 - Sale <sup>25</sup>
	1,695.000	1,050.67	01/21/21	801.74	...	248.93	2 of 17 - Sale <sup>25</sup>
	1,760.000	1,090.96	01/21/21	831.60	...	259.36	3 of 17 - Sale <sup>25</sup>
	4,000.000	2,479.47	01/21/21	1,859.60	...	619.87	4 of 17 - Sale <sup>25</sup>
	2,000.000	1,239.73	01/22/21	893.60	...	346.13	5 of 17 - Sale <sup>25</sup>
	17.000	10.54	01/25/21	6.95	...	3.59	6 of 17 - Sale <sup>25</sup>
	30.000	18.60	01/25/21	12.69	...	5.91	7 of 17 - Sale <sup>25</sup>
	50.000	30.99	01/25/21	20.44	...	10.55	8 of 17 - Sale <sup>25</sup>
	95.000	58.89	01/25/21	38.83	...	20.06	9 of 17 - Sale <sup>25</sup>
	100.000	61.99	01/25/21	40.87	...	21.12	10 of 17 - Sale <sup>25</sup>
	200.000	123.97	01/25/21	81.00	...	42.97	11 of 17 - Sale <sup>25</sup>
	205.000	127.07	01/25/21	83.78	...	43.29	12 of 17 - Sale <sup>25</sup>
	233.000	144.43	01/25/21	95.23	...	49.20	13 of 17 - Sale <sup>25</sup>
	300.000	185.96	01/25/21	122.61	...	63.35	14 of 17 - Sale <sup>25</sup>
	800.000	495.89	01/25/21	324.00	...	171.89	15 of 17 - Sale <sup>25</sup>
	970.000	601.27	01/25/21	410.31	...	190.96	16 of 17 - Sale <sup>25</sup>
	3,000.000	1,859.60	01/25/21	1,257.30	...	602.30	17 of 17 - Sale <sup>25</sup>
01/27/21	16,000.000	9,917.86	Various	7,138.06	...	2,779.80	Total of 17 transactions

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

Robinhood Securities LLC

Account 841687791

**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
NAKED BRAND GROUP LIMITED ORDINARY SHARES / CUSIP: Q6519T117 / Symbol: (cont'd)							
<i>13 transactions for 02/10/21. Total proceeds and cost reported to the IRS.</i>							
	1.130	1.39	02/08/21	1.28	...	0.11	1 of 13 - Sale <sup>25</sup>
	1,000.000	1,230.15	02/08/21	1,130.00	...	100.15	2 of 13 - Sale <sup>25</sup>
	1,000.000	1,230.15	02/08/21	1,130.00	...	100.15	3 of 13 - Sale <sup>25</sup>
	91.000	111.94	02/09/21	101.01	...	10.93	4 of 13 - Sale <sup>25</sup>
	176.000	216.51	02/09/21	197.12	...	19.39	5 of 13 - Sale <sup>25</sup>
	244.000	300.16	02/09/21	273.28	...	26.88	6 of 13 - Sale <sup>25</sup>
	280.000	344.44	02/09/21	313.60	...	30.84	7 of 13 - Sale <sup>25</sup>
	300.000	369.05	02/09/21	336.00	...	33.05	8 of 13 - Sale <sup>25</sup>
	909.000	1,118.21	02/09/21	1,008.99	...	109.22	9 of 13 - Sale <sup>25</sup>
	1,000.000	1,230.15	02/09/21	1,118.90	...	111.25	10 of 13 - Sale <sup>25</sup>
	1,000.000	1,230.16	02/09/21	1,110.00	...	120.16	11 of 13 - Sale <sup>25</sup>
	1,000.000	1,230.16	02/09/21	1,108.90	...	121.26	12 of 13 - Sale <sup>25</sup>
	1,000.000	1,230.15	02/09/21	1,100.00	...	130.15	13 of 13 - Sale <sup>25</sup>
02/10/21	8,001.130	9,842.62	Various	8,929.08	...	913.54	Total of 13 transactions
	<b>Security total:</b>	<b>25,632.54</b>		<b>20,669.49</b>	...	<b>4,963.05</b>	
<b>Totals :</b>		<b>250,061.21</b>		<b>239,732.03</b>	<b>3,921.84 W</b>	<b>14,251.02</b>	

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

Robinhood Securities LLC

Account 841687791

**Detail for Interest Income**

2021

02/11/2022

*This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled and presented beneath the 1099-INT for informational purposes and are not reported to the IRS.*

*To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.*

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
		01/27/21	0.37	Interest	
		01/29/21	0.35	Interest	
		02/26/21	0.44	Interest	
		07/30/21	0.05	Interest	
			1.21	Total Interest	
Interest payment		08/31/21	0.01	Interest	
		09/30/21	0.01	Interest	
		10/29/21	0.01	Interest	
		11/30/21	0.01	Interest	
		12/31/21	0.01	Interest	
			0.05	Total Interest	
			<b>1.26</b>	<b>Total Interest</b>	

Robinhood Securities LLC

Account 841687791

## Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
AZURRX BIOPHARMA, INC. COMMON STOCK	05502L204	09/22/21	-100.00	0.00	Exchange	
EVOLVE TRANSITION INFRASTRUCTURE LP	30053M104	03/01/21	3,000.00	0.00	Exchange	
FIRST WAVE BIOPHARMA, INC. COMMON STOCK	33749P101	09/22/21	100.00	0.00	Exchange	
SANCHEZ MIDSTREAM PARTNERS LP	79971C201	03/01/21	-3,000.00	0.00	Exchange	

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

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**Common Instructions for Recipient**

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

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

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

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

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

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

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer generally must report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**Line 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during 2021 on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Line 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction.

**Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

**Line 5.** Any amount shown is your share of investment expenses of a singledass REMIC. This amount is included in line 1. Note: This amount is not deductible.

**Line 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Line 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Line 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040 and 1040-SR. This amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Line 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in line 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Instructions for Recipient**

**Line 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Forms 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Line 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Line 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040 or 1040-SR) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Line 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this line, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Line 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Lines 15-17.** State tax withheld reporting lines.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).

**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).



**Instructions for Recipient**

**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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