



Swapnika Mittapally  
10410 Glenmere Crk Cir  
Charlotte, NC 28262

**Master Account Number for Import:**

929433654

**Document ID for Import:**

2NEK77587N0

**Enclosed is your 2022 Consolidated Tax Statement. 1099 Tax Forms for the following accounts are included in this package:**

929433654 - Robinhood Securities LLC

**New for 2022 Tax Year** - Where applicable, 1099 Tax Forms for Robinhood Securities, Robinhood Crypto, and Robinhood Money are being consolidated into one package and reported under our parent entity, Robinhood Markets Inc. We have done this to ensure all forms that you need are provided at the same time in this consolidated package.

**Important** - Please utilize the Master Account Number and Document ID listed above if filing through tax service providers such as TurboTax or H&R Block. The Document ID is necessary in order to directly import your 1099 data into the tax software so that you do not need to manually enter each transaction. This year there is only one Master Account Number and Document ID that needs to be used to import all of your data across all accounts and 1099s (including crypto). Please note that tax software providers may have limits on the total number of transactions that can be directly imported using the Document ID.

**CSVs** - In addition, a CSV file which includes the same information that is reported on your 1099 forms will be provided. The CSV is not a separate 1099. It is being provided as a supplement in a format that may be more helpful if you have a large number of transactions or if you are not using the Document ID to import all of your Securities, Crypto and Money activity. Tax software providers may have limits on the total number of transactions that can be uploaded and CSV files may not be compatible with tax service providers such as TurboTax or H&R Block.

**Robinhood Retirements Accounts** - If you had any reportable distributions or contributions within a Robinhood Retirement account, your 2022 tax forms 1099-R and/or 5498 will be delivered separately. Retirement accounts will be reported under Robinhood Securities LLC and will have their own unique Doc IDs for import to tax software providers such as TurboTax or H&R Block.

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<b>Robinhood Markets Inc. as agent for Robinhood Securities LLC</b> 85 Willow Road Menlo Park, CA 94025 Customer Service: 650-940-2700	<b>Tax Information</b> <b>Account 929433654</b>  Swapnika Mittapally 10410 Glenmere Crk Cir Charlotte, NC 28262  RECIPIENT'S TIN: XXX-XX-4471
Statement Date: 02/13/2023	
<b>2022</b>	

11 - [ ] FATCA filing requirement (see instructions)      13 - [ ] FATCA filing requirement (see instructions)

**DIVIDENDS AND DISTRIBUTIONS**      2022 1099-DIV\*      OMB No. 1545-0110      **MISCELLANEOUS INFORMATION**      2022 1099-MISC\*      OMB No. 1545-0115

1a- Total ordinary dividends (includes lines 1b, 5, 2e)      18.72 1b- Qualified dividends      0.00 2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)      0.00 2b- Unrecaptured Section 1250 gain      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      14.51 4- <b>Federal income tax withheld</b> <b>0.00</b> 5- Section 199A dividends      18.72 6- Investment expenses      0.00 8- Foreign country or US possession:      7- Foreign tax paid: 9- Cash liquidation distributions      0.00 10- Noncash liquidation distributions      0.00 12- Exempt-interest dividends (includes line 13)      0.00 13- Specified private activity bond interest dividends (AMT)      0.00	2- Royalties      0.00 3- Other income      0.00 4- <b>Federal income tax withheld</b> <b>0.00</b> 8- Substitute payments in lieu of dividends or interest      15.19  <b>SECTION 1256 CONTRACTS</b> <b>2022 1099-B*</b> OMB No. 1545-0715  8- Profit or (loss) realized in 2022 on closed contracts      0.00 9- Unrealized profit or (loss) on open contracts-12/31/2021      0.00 10- Unrealized profit or (loss) on open contracts-12/31/2022      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.
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	11,562.11	14,399.31	0.00	1,186.65	-1,650.55
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>11,562.11</b>	<b>14,399.31</b>	<b>0.00</b>	<b>1,186.65</b>	<b>-1,650.55</b>
Long	D (basis reported to the IRS)	1,692.55	3,923.88	0.00	1,883.16	-348.17
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>1,692.55</b>	<b>3,923.88</b>	<b>0.00</b>	<b>1,883.16</b>	<b>-348.17</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>13,254.66</b>	<b>18,323.19</b>	<b>0.00</b>	<b>3,069.81</b>	<b>-1,998.72</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 2022 may require an amended tax form.

Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 929433654

2022

02/13/2023

**Summary Information**  
(continued)

**INTEREST INCOME 2022 1099-INT**

OMB No. 1545-0112

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

1- Interest income (not included in line 3)	0.00
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession:	0.00
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
Tax-exempt obligations (covered lots)	0.00
Tax-exempt private activity obligations (AMT, covered lots)	0.00
14- Tax-exempt and tax credit bond CUSIP number	0.00
FATCA filing requirement [ ]	

**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- UJT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	161.20
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

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

Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 929433654

2022 1099-B\* OMB No. 1545-0715

02/13/2023

**Proceeds from Broker and Barter Exchange Transactions**

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)	7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 04/14/2022 PUT \$170.00 / CUSIP: / Symbol: 04/06/22	1,000	231.98	03/28/22	180.00	...	51.98	Option sale to close-put <sup>25</sup>
GM 06/17/2022 CALL \$43.00 / CUSIP: / Symbol: 05/03/22	1,000	106.98	04/27/22	85.00	...	21.98	Option sale to close-call <sup>25</sup>
GME 05/20/2022 PUT \$90.00 / CUSIP: / Symbol: 05/18/22	1,000	399.98	05/17/22	200.00	...	199.98	Option sale to close-put <sup>25</sup>
IBM 05/20/2022 PUT \$130.00 / CUSIP: / Symbol: 04/25/22	1,000	205.98	04/20/22	115.00	...	90.98	Option sale to close-put <sup>25</sup>
IWM 06/13/2022 CALL \$188.00 / CUSIP: / Symbol: 06/13/22	1,000	0.00	06/09/22	65.00	...	-65.00	Option expiration- long call

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**Robinhood Markets Inc. as agent for Robinhood Securities LLC**  
**2022 1099-B\*** OMB No. 1545-0715  
**Proceeds from Broker and Barter Exchange Transactions**  
 Account 929433654  
 02/13/2023  
 (continued)

**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	Quantity	1d- Proceeds & 6- Reported (G)Gross or (N)Net	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
MRVL 04/14/2022 CALL \$68.00 / CUSIP: / Symbol:	1,000	0.00	04/07/22	70.00	...	-70.00	Option expiration- long call
NVDA 05/13/2022 CALL \$195.00 / CUSIP: / Symbol:	1,000	504.98	05/06/22	300.00	...	204.98	Option sale to close-call <sup>25</sup>
OXY 06/10/2022 CALL \$70.00 / CUSIP: / Symbol:	1,000	27.98	06/08/22	73.00	...	-45.02	Option sale to close-call <sup>25</sup>
OXY 06/24/2022 CALL \$70.00 / CUSIP: / Symbol:	1,000	0.00	06/09/22	170.00	...	-170.00	Option expiration- long call
PIXY 01/21/2022 CALL \$2.50 / CUSIP: / Symbol:	1,000	0.00	06/22/21	80.00	...	-80.00	Option expiration- long call
QCOM 05/13/2022 CALL \$134.00 / CUSIP: / Symbol:	1,000	150.98	05/12/22	45.00	...	105.98	Option sale to close-call <sup>25</sup>
RBLX 04/22/2022 CALL \$50.00 / CUSIP: / Symbol:	1,000	182.98	04/06/22	140.00	...	42.98	Option sale to close-call <sup>25</sup>
SQ 03/04/2022 PUT \$110.00 / CUSIP: / Symbol:	1,000	46.98	02/25/22	180.00	...	-133.02	Option sale to close-put <sup>25</sup>
TCOM 06/17/2022 CALL \$30.00 / CUSIP: / Symbol:	1,000	139.98	12/16/21	90.00	...	49.98	Option sale to close-call <sup>25</sup>
TSLA 04/08/2022 PUT \$1,000.00 / CUSIP: / Symbol:	1,000	238.98	04/07/22	120.00	...	118.98	Option sale to close-put <sup>25</sup>
AMC ENTERTAINMENT HOLDINGS, IN C., PREFERRED EQUITY UNITS / CUSIP: 00165C203 / Symbol:							
4 transactions for 11/11/22. Total proceeds and cost reported to the IRS.							
	30,000	43.80	11/26/21	424.84	...	-381.04	1 of 4 - Sale <sup>25</sup>
	20,000	29.20	11/26/21	288.88	...	-259.68	2 of 4 - Sale <sup>25</sup>
	20,000	29.19	11/29/21	285.58	...	-256.39	3 of 4 - Sale <sup>25</sup>
	10,000	14.60	12/14/21	91.15	...	-76.55	4 of 4 - Sale <sup>25</sup>
11/11/22	80,000	116.79	Various	1,090.45	...	-973.66	Total of 4 transactions

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**Robinhood Markets Inc. as agent for Robinhood Securities LLC**  
**Proceeds from Broker and Barter Exchange Transactions**  
 Account 929433654  
 2022 1099-B\* OMB No. 1545-0715 02/13/2023  
 (continued)

**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	1d- Proceeds & 6- Reported (G)Gross or (N)Net	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
META METALS INC PREFERRED (SER IES A) / CUSIP: 59134N203 / Symbol:	02/23/22	40,000	72.44	03/15/21	0.00	72.44	Sale <sup>25</sup>
NEXTDECADE CORPORATION COMMON STOCK / CUSIP: 65342K105 / Symbol:	2 transactions for 05/23/22. Total proceeds and cost reported to the IRS.						
	05/23/22	5,000	34.86	06/08/21	31.49	3.37	1 of 2 - Sale <sup>25</sup>
		45,000	313.70	06/08/21	283.45	30.25	2 of 2 - Sale <sup>25</sup>
		50,000	348.56	Various	314.94	33.62	Total of 2 transactions
OCUGEN, INC. COMMON STOCK / CUSIP: 67577C105 / Symbol:	8 transactions for 02/23/22. Total proceeds and cost reported to the IRS.						
	02/23/22	25,873	84.87	11/26/21	175.55	-90.68	Sale <sup>25</sup>
		0,873	2.87	11/09/21	11.39	0.00	1 of 8 - Sale <sup>25</sup>
		24,127	79.15	11/09/21	314.96	0.00	2 of 8 - Sale <sup>25</sup>
		25,000	82.01	11/09/21	289.86	0.00	3 of 8 - Sale <sup>25</sup>
		20,000	65.61	11/10/21	171.50	0.00	4 of 8 - Sale <sup>25</sup>
		50,000	164.02	11/16/21	395.75	0.00	5 of 8 - Sale <sup>25</sup>
		50,000	164.02	11/17/21	392.43	0.00	6 of 8 - Sale <sup>25</sup>
		30,000	98.41	11/18/21	227.70	0.00	7 of 8 - Sale <sup>25</sup>
		50,000	164.01	11/24/21	359.75	-156.59	8 of 8 - Sale <sup>25</sup>
		250,000	820.10	Various	2,163.34	-156.59	Total of 8 transactions
		<b>Security total:</b>	<b>904.97</b>		<b>2,338.89</b>	<b>-247.27</b>	
ROLLS ROYCE HOLDINGS PLC SPONS ORED AMERICAN DEPOSITARY SHARE S / CUSIP: 775781206 / Symbol:	4 transactions for 01/19/22. Total proceeds and cost reported to the IRS.						
	01/19/22	453,000	756.45	02/24/21	774.58	-18.13	1 of 4 - Sale <sup>25</sup>
		46,866	78.26	02/24/21	80.14	-1.88	2 of 4 - Sale <sup>25</sup>
		0,134	0.23	02/24/21	0.23	0.00	3 of 4 - Sale <sup>25</sup>
		65,110	108.73	03/19/21	115.90	-7.17	4 of 4 - Sale <sup>25</sup>
		565,110	943.67	Various	970.85	-27.18	Total of 4 transactions
	01/20/22	69,000	113.84	03/19/21	122.82	-8.98	1 of 2 - Sale <sup>25</sup>
		0,697	1.15	03/19/21	1.24	-0.09	2 of 2 - Sale <sup>25</sup>
		69,697	114.99	Various	124.06	-9.07	Total of 2 transactions

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**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)Gross or (N)Net	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ROLLS ROYCE HOLDINGS PLC SPONS ORED AMERICAN DEPOSITARY SHARE S / CUSIP: 775781206 / Symbol: (cont'd)								
4 transactions for 01/21/22. Total proceeds and cost reported to the IRS.								
	01/21/22	18.000	28.62	03/19/21	32.04	...	-3.42	1 of 4 - Sale <sup>25</sup>
		9.000	14.31	03/19/21	16.02	...	-1.71	2 of 4 - Sale <sup>25</sup>
		0.376	0.60	03/19/21	0.67	...	-0.07	3 of 4 - Sale <sup>25</sup>
		0.239	0.38	03/19/21	0.43	...	-0.05	4 of 4 - Sale <sup>25</sup>
		27.615	43.91	Various	49.16	...	-5.25	Total of 4 transactions
4 transactions for 01/24/22. Total proceeds and cost reported to the IRS.								
	01/24/22	50.000	74.99	03/19/21	89.00	...	-14.01	1 of 4 - Sale <sup>25</sup>
		37.000	55.49	03/19/21	65.85	...	-10.36	2 of 4 - Sale <sup>25</sup>
		0.578	0.87	03/19/21	1.03	...	-0.16	3 of 4 - Sale <sup>25</sup>
		250.000	374.97	11/26/21	405.00	...	-30.03	4 of 4 - Sale <sup>25</sup>
		337.578	506.32	Various	560.88	...	-54.56	Total of 4 transactions
		<b>Security total:</b>	<b>1,608.89</b>		<b>1,704.95</b>	...	<b>-96.06</b>	
SORRENTO THERAPEUTICS, INC. COMMON STOCK / CUSIP: 83587F202 / Symbol:								
2 transactions for 02/23/22. Total proceeds and cost reported to the IRS.								
	02/23/22	27.000	71.69	03/26/21	295.89	...	-224.20	1 of 2 - Sale <sup>25</sup>
		0.599	1.59	03/26/21	6.57	...	-4.98	2 of 2 - Sale <sup>25</sup>
		27.599	73.28	Various	302.46	...	-229.18	Total of 2 transactions
SUNDIAL GROWERS INC. COMMON SHARES / CUSIP: 86730L109 / Symbol:								
19 transactions for 01/21/22. Total proceeds and cost reported to the IRS.								
		149.000	71.89	03/29/21	439.66	...	-367.77	1 of 19 - Sale <sup>25</sup>
		101.000	48.73	03/29/21	317.12	...	-268.39	2 of 19 - Sale <sup>25</sup>
		100.000	48.25	03/29/21	244.56	...	-196.31	3 of 19 - Sale <sup>25</sup>
		99.000	47.77	03/29/21	233.50	...	-185.73	4 of 19 - Sale <sup>25</sup>
		99.000	47.77	03/29/21	214.81	...	-167.04	5 of 19 - Sale <sup>25</sup>
		50.000	24.12	03/29/21	156.78	...	-132.66	6 of 19 - Sale <sup>25</sup>
		51.000	24.61	03/29/21	153.01	...	-128.40	7 of 19 - Sale <sup>25</sup>
		49.000	23.64	03/29/21	147.42	...	-123.78	8 of 19 - Sale <sup>25</sup>
		49.000	23.64	03/29/21	147.02	...	-123.38	9 of 19 - Sale <sup>25</sup>
		51.000	24.61	03/29/21	123.72	...	-99.11	10 of 19 - Sale <sup>25</sup>
		47.000	22.68	03/29/21	115.86	...	-93.18	11 of 19 - Sale <sup>25</sup>

\* 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 Markets Inc. as agent for**  
**Robinhood Securities LLC**  
**2022 1099-B\* OMB No. 1545-0715**  
**Proceeds from Broker and Barter Exchange Transactions**  
 Account 929433654  
 02/13/2023  
 (continued)

**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	Quantity	1d- Proceeds & 6- Reported (G)Gross or (N)Net	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SUNDIAL GROWERS INC. COMMON SH.ARES / CUSIP: 86730L109 / Symbol: (cont'd)							
	30.000	14.47	03/29/21	94.07	...	-79.60	12 of 19 - Sale <sup>25</sup>
	16.000	7.72	03/29/21	50.25	...	-42.53	13 of 19 - Sale <sup>25</sup>
	11.653	5.62	03/29/21	28.28	...	-22.66	14 of 19 - Sale <sup>25</sup>
	2.000	0.96	03/29/21	6.27	...	-5.31	15 of 19 - Sale <sup>25</sup>
	2.000	0.97	03/29/21	4.93	...	-3.96	16 of 19 - Sale <sup>25</sup>
	1.000	0.48	03/29/21	3.13	...	-2.65	17 of 19 - Sale <sup>25</sup>
	1.000	0.48	03/29/21	3.05	...	-2.57	18 of 19 - Sale <sup>25</sup>
	1.000	0.48	03/29/21	3.00	...	-2.52	19 of 19 - Sale <sup>25</sup>
01/21/22	909.653	438.89	Various	2,486.44	...	-2,047.55	Total of 19 transactions
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
							2 transactions for 01/24/22. Total proceeds and cost reported to the IRS.
	1.000	892.74	04/30/21	778.08	...	114.66	1 of 2 - Sale <sup>25</sup>
	1.000	892.74	05/07/21	750.44	...	142.30	2 of 2 - Sale <sup>25</sup>
01/24/22	2.000	1,785.48	Various	1,528.52	...	256.96	Total of 2 transactions
							2 transactions for 03/08/22. Total proceeds and cost reported to the IRS.
	1.000	805.47	05/07/21	743.89	...	61.58	1 of 2 - Sale <sup>25</sup>
	1.000	799.18	05/07/21	667.68	...	131.50	2 of 2 - Sale <sup>25</sup>
03/08/22	2.000	1,604.65	Various	1,411.57	...	193.08	Total of 2 transactions
							2 transactions for 04/04/22. Total proceeds and cost reported to the IRS.
	1.000	1,147.06	05/11/21	621.56	...	525.50	1 of 2 - Sale <sup>25</sup>
	1.000	1,147.93	05/11/21	621.57	...	526.36	2 of 2 - Sale <sup>25</sup>
04/04/22	2.000	2,294.99	Various	1,243.13	...	1,051.86	Total of 2 transactions
							<b>Security total: 1,501.90</b>
VINCO VENTURES, INC. COMMON ST. OCK / CUSIP: 927330100 / Symbol:							
	28.000	75.39	05/04/21	64.96	...	10.43	Sale <sup>25</sup>
02/23/22							
<b>Totals :</b>		<b>11,562.11</b>		<b>14,399.31</b>		<b>1,186.65 W</b>	

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**LONG TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)**  
 Report on Form 8949, Part II with Box D checked. Basis is provided to the IRS. (Line 12)  
 \*Gain or loss (-) is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol	1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et acquired	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)	Additional information
AMC ENTERTAINMENT HOLDINGS, IN C., PREFERRED EQUITY UNITS / CUSIP: 00165C203 / Symbol: 3 transactions for 11/11/22. Total proceeds and cost reported to the IRS.								
		5,000	7.30	09/21/21	72.08	...	-64.78	1 of 3 - Sale <sup>25</sup>
		10,000	14.60	10/22/21	144.06	...	-129.46	2 of 3 - Sale <sup>25</sup>
		5,000	7.30	10/22/21	70.57	...	-63.27	3 of 3 - Sale <sup>25</sup>
	11/11/22	20,000	29.20	Various	286.71	...	-257.51	Total of 3 transactions
GENIUS BRANDS INTERNATIONAL, INC. COMMON STOCK / CUSIP: 37229T301 / Symbol: 2 transactions for 01/24/22. Total proceeds and cost reported to the IRS.								
	01/21/22	97,939	85.45	06/04/20	807.99	722.54 W	0.00	Sale <sup>25</sup>
3 transactions for 01/24/22. Total proceeds and cost reported to the IRS.								
		100,000	79.74	07/07/20	211.00	...	-131.26	1 of 2 - Sale <sup>25</sup>
		10,336	8.24	07/23/20	19.07	...	-10.83	2 of 2 - Sale <sup>25</sup>
	01/24/22	110,336	87.98	Various	230.07	...	-142.09	Total of 2 transactions
3 transactions for 01/24/22. Total proceeds and cost reported to the IRS.								
		102,061	81.38	06/04/20	842.01	760.63 W	0.00	1 of 3 - Sale <sup>25</sup>
		100,000	79.74	07/02/20	295.47	215.73 W	0.00	2 of 3 - Sale <sup>25</sup>
		100,000	79.74	07/06/20	264.00	184.26 W	0.00	3 of 3 - Sale <sup>25</sup>
	01/24/22	302,061	240.86	Various	1,401.48	1,160.62 W	0.00	Total of 3 transactions
		<b>Security total:</b>	<b>414.29</b>		<b>2,439.54</b>	<b>1,883.16 W</b>	<b>-142.09</b>	
GLOBALSTAR, INC. / CUSIP: 378973408 / Symbol: 2 transactions for 11/11/22. Total proceeds and cost reported to the IRS.								
		100,000	198.98	03/09/21	165.86	...	33.12	1 of 2 - Sale <sup>25</sup>
		400,000	795.92	03/09/21	670.99	...	124.93	2 of 2 - Sale <sup>25</sup>
	11/11/22	500,000	994.90	Various	836.85	...	158.05	Total of 2 transactions
GOLD STANDARD VENTURES CORP. / CUSIP: 380738104 / Symbol: 2 transactions for 08/11/22. Total proceeds and cost reported to the IRS.								
		100,000	42.36	03/15/21	67.78	...	-25.42	1 of 2 - Merger
		500,000	211.80	04/27/21	293.00	...	-81.20	2 of 2 - Merger
	08/11/22	600,000	254.16	Various	360.78	...	-106.62	Total of 2 transactions
<b>Totals :</b>			<b>1,692.55</b>		<b>3,923.88</b>	<b>1,883.16 W</b>	<b>-348.17</b>	

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**Robinhood Markets Inc. as agent for  
Robinhood Securities LLC**  
2022

Account 929433654  
02/13/2023

**Detail for Dividends and Distributions**

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

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

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

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

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
INVESCO MORTGAGE CAPITAL INC.	46131B100		01/27/22	4.92	Section 199A dividend	03
			01/27/22	3.81	Nondividend distribution	03
			04/27/22	5.07	Section 199A dividend	03
			04/27/22	3.93	Nondividend distribution	03
				<b>17.73</b>	<b>Total Dividends &amp; distributions</b>	
INVESCO MORTGAGE CAPITAL INC.	46131B704		07/27/22	5.07	Section 199A dividend	03
			07/27/22	3.93	Nondividend distribution	03
			10/27/22	3.66	Section 199A dividend	03
			10/27/22	2.84	Nondividend distribution	03
				<b>15.50</b>	<b>Total Dividends &amp; distributions</b>	
				<b>33.23</b>	<b>Total Dividends &amp; distributions</b>	

Robinhood Markets Inc. as agent for  
 Robinhood Securities LLC  
 2022

Account 929433654  
 02/13/2023

**Detail for Miscellaneous Information**

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
INVESCO MORTGAGE CAPITAL INC.	46131B100	01/27/22	0.27	Substitute payment	
SEANERGY MARITIME HOLDINGS COR P COMMON STOCK	Y73760194	04/05/22	3.73	Substitute payment	
		04/05/22	3.73	Substitute payment	
		07/14/22	3.73	Substitute payment	
		10/11/22	3.73	Substitute payment	
			14.92	Total Miscellaneous income	
			<b>15.19</b>	<b>Total Miscellaneous income</b>	

**Robinhood Markets Inc. as agent for  
Robinhood Securities LLC  
2022**

**Account 929433654  
02/13/2023**

## Fees and Expenses

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Margin charge		01/03/22	-5.00	Margin interest paid	
		01/03/22	-21.88	Margin interest paid	
		02/02/22	-5.00	Margin interest paid	
		02/02/22	-19.40	Margin interest paid	
		03/04/22	-5.00	Margin interest paid	
		03/04/22	-12.87	Margin interest paid	
		04/04/22	-5.00	Margin interest paid	
		04/04/22	-9.98	Margin interest paid	
		04/04/22	-5.00	Margin interest paid	
		05/03/22	-5.00	Margin interest paid	
		05/03/22	-5.00	Margin interest paid	
		06/02/22	-3.48	Margin interest paid	
		06/02/22	-5.00	Margin interest paid	
		07/05/22	-3.12	Margin interest paid	
		07/05/22	-5.00	Margin interest paid	
		08/01/22	-3.73	Margin interest paid	
		08/01/22	-5.00	Margin interest paid	
		08/31/22	-4.29	Margin interest paid	
		08/31/22	-5.00	Margin interest paid	
		09/30/22	-4.50	Margin interest paid	
		09/30/22	-5.00	Margin interest paid	
		10/31/22	-5.00	Margin interest paid	
		10/31/22	-5.01	Margin interest paid	
		11/29/22	-2.94	Margin interest paid	
		11/29/22	-5.00	Margin interest paid	
		12/29/22	-5.00	Margin interest paid	
			-161.20	Total Margin interest paid	
			<b>-161.20</b>	<b>Total Margin interest paid</b>	

Robinhood Markets Inc. as agent for  
 Robinhood Securities LLC  
 2022

Account 929433654  
 02/13/2023

### Non-Reportable Actions

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
AMC ENTERTAINMENT HOLDINGS, IN C., PREFERRED EQUITY UNITS	00165C203	08/22/22	100.00	0.00	Stock spinoff	
GOLD STANDARD VENTURES CORP.	380738104	08/17/22	-600.00	0.00	Merger	
ORLA MINING LTD.	68634K106	08/17/22	71.58	0.00	Merger	
UNITED MARITIME CORPORATION CO MMON STOCK	Y92335101	07/05/22	1.26	0.00	Stock spinoff	

**Robinhood Markets Inc. as agent for  
Robinhood Securities LLC**

**2022 End Notes for Account 929433654**

03 The tax character of the distribution has been allocated based on information provided by the security issuer.

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

**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.

**Noninterest.** 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 OLD) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the General Instructions for Certain Information Returns.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Instructions for Recipient**

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

**Line 11.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its account reporting requirement under chapter 4 of the Internal Revenue Code. You may also have a filing requirement. See the Instructions for Form 8938.

**Line 12.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Forms 1040 and 1040-SR for where to report. This amount may be subject to backup withholding. See Line 4 above.

**Line 13.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in Line 12. See the Instructions for Form 6251.

**Lines 14-16.** State income tax withheld reporting Lines.

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

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

**1099-B Instructions for Recipient**

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

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

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

**Line 1a.** Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock of 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 in or before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

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

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

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

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

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

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

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

**1099-MISC Instructions for Recipient**

**Line 2.** Report royalties from oil, gas, or mineral properties; copyrights; and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the Schedule E (Form 1040) instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

**Line 3.** Generally, report this amount on the "Other income" line on Form 1040 (or Form 1040NR) and identify the payment. The amount shown may be payments received as the beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

**Line 4.** See "Backup Withholding" section.

**Line 8.** Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other income" line of Schedule 1 (Form 1040).

**Line 13.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its account reporting requirement under chapter 4 of the Internal Revenue Code. You may also have a filing requirement. See the Instructions for Form 8938.

**Lines 16-18.** Show state or local income tax withheld from the payments.

**Future developments.** For the latest information about developments related to Form 1099-MISC and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099MISC](http://www.irs.gov/Form1099MISC).

**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.