

<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 565179918</b>	Statement Date: 02/14/2021 Document ID: 7WJ1 15S 4E6R	2020
	Naga Mahesh 7473 Hedera Ct Columbus, OH 43235  RECIPIENT'S TIN: XXX-XX-5609		

**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2020 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5)      0.00</p> <p>1b- Qualified dividends      0.00</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d)      0.00</p> <p>2b- Unrecaptured Section 1250 gain      0.00</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>3- Nondividend distributions      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession:      0.00</p> <p>7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>11- Exempt-interest dividends (includes line 12)      0.00</p> <p>12- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INCOME</b>      <b>2020 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2020 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2020 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2019      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2020      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p>
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**SUMMARY OF PROCEEDS, GAINS & LOSSES, ADJUSTMENTS AND WITHHOLDING**

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	423,203.21	437,377.43	0.00	5,930.73	-8,243.49
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>423,203.21</b>	<b>437,377.43</b>	<b>0.00</b>	<b>5,930.73</b>	<b>-8,243.49</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>423,203.21</b>	<b>437,377.43</b>	<b>0.00</b>	<b>5,930.73</b>	<b>-8,243.49</b>
<b>Withholding</b>		<b>Amount</b>				
	Federal income tax withheld	0.00				

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

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**Summary Information**

2020

(continued)

02/14/2021

**INTEREST INCOME**

**2020 1099-INT**

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.00
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	41.47
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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**Proceeds from Broker and Barter Exchange Transactions**

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

02/14/2021

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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ALPHABET INC. CLASS C CAPITAL STOCK / CUSIP: 02079K107 / Symbol:							
06/19/20	7.000	10,074.16	06/18/20	9,998.11	...	76.05	Sale <sup>25</sup>
AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol:							
06/24/20	4.000	10,924.79	06/23/20	10,970.38	11.40 W	-34.19	Sale <sup>25</sup>
07/07/20	1.000	3,058.93	07/02/20	2,932.30	...	126.63	Sale <sup>25</sup>
	<b>Security total:</b>	<b>13,983.72</b>		<b>13,902.68</b>	<b>11.40 W</b>	<b>92.44</b>	
APPLE INC. COMMON STOCK / CUSIP: 037833100 / Symbol:							
06/19/20	15.000	5,305.86	06/18/20	5,251.80	...	54.06	Sale <sup>25</sup>
ARBUTUS BIOPHARMA CORPORATION COMMON STOCK / CUSIP: 03879J100 / Symbol:							
07/28/20	10.000	40.40	07/24/20	83.55	...	-43.15	Sale <sup>25</sup>
AVINO SILVER & GOLD MINES LTD. (CANADA) / CUSIP: 053906103 / Symbol:							
07/31/20	500.000	514.92	07/24/20	510.00	...	4.92	Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

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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
AYTU BIOSCIENCE, INC. COMMON S TOCK / CUSIP: 054754700 / Symbol:							
06/03/20	137.000	204.11	05/21/20	200.02	...	4.09	Sale <sup>25</sup>
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
<i>2 transactions for 07/22/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	103.99	07/20/20	68.98	...	35.01	1 of 2 - Sale <sup>25</sup>
	200.000	207.97	07/21/20	170.96	...	37.01	2 of 2 - Sale <sup>25</sup>
07/22/20	300.000	311.96	Various	239.94	...	72.02	Total of 2 transactions
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
05/18/20	40.000	5,273.28	05/18/20	5,254.81	...	18.47	Sale <sup>25</sup>
<i>2 transactions for 06/09/20. Total proceeds and cost reported to the IRS.</i>							
	20.000	4,420.50	06/04/20	3,644.00	...	776.50	1 of 2 - Sale <sup>25</sup>
	16.000	3,536.40	06/05/20	3,465.20	...	71.20	2 of 2 - Sale <sup>25</sup>
06/09/20	36.000	7,956.90	Various	7,109.20	...	847.70	Total of 2 transactions
<i>2 transactions for 06/15/20. Total proceeds and cost reported to the IRS.</i>							
	42.000	7,445.58	06/12/20	7,722.96	...	-277.38	1 of 2 - Sale <sup>25</sup>
	12.000	2,127.31	06/12/20	2,206.68	...	-79.37	2 of 2 - Sale <sup>25</sup>
06/15/20	54.000	9,572.89	Various	9,929.64	...	-356.75	Total of 2 transactions
	<b>Security total:</b>	<b>22,803.07</b>		<b>22,293.65</b>	...	<b>509.42</b>	
CITIUS PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 17322U207 / Symbol:							
06/25/20	1,200.000	1,319.83	06/23/20	1,079.64	...	240.19	Sale <sup>25</sup>
07/22/20	800.000	1,199.87	07/21/20	1,222.48	...	-22.61	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,519.70</b>		<b>2,302.12</b>	...	<b>217.58</b>	
DELMAR PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 247078306 / Symbol:							
<i>7 transactions for 07/22/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	1.29	07/20/20	0.96	...	0.33	1 of 7 - Sale <sup>25</sup>
	99.000	127.69	07/20/20	94.72	...	32.97	2 of 7 - Sale <sup>25</sup>
	96.000	123.82	07/21/20	132.98	...	-9.16	3 of 7 - Sale <sup>25</sup>
	3.000	3.87	07/21/20	4.15	...	-0.28	4 of 7 - Sale <sup>25</sup>
	1.000	1.29	07/21/20	1.39	...	-0.10	5 of 7 - Sale <sup>25</sup>
	2.000	2.58	07/21/20	2.64	...	-0.06	6 of 7 - Sale <sup>25</sup>

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Account 565179918

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DELMAR PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 247078306 / Symbol: (cont'd)							
07/22/20	198.000	255.39	07/21/20	243.54	...	11.85	7 of 7 - Sale <sup>25</sup>
	400.000	515.93	Various	480.38	...	35.55	Total of 7 transactions
	3 transactions for 07/22/20. Total proceeds and cost reported to the IRS.						
	200.000	257.97	07/21/20	276.03	0.18 W	-17.88	1 of 3 - Sale <sup>25</sup>
	296.000	381.79	07/21/20	427.72	45.93 W	0.00	2 of 3 - Sale <sup>25</sup>
	4.000	5.16	07/21/20	5.78	0.62 W	0.00	3 of 3 - Sale <sup>25</sup>
07/22/20	500.000	644.92	Various	709.53	46.73 W	-17.88	Total of 3 transactions
	<b>Security total:</b>	<b>1,160.85</b>		<b>1,189.91</b>	<b>46.73 W</b>	<b>17.67</b>	
ENDEAVOUR SILVER CORP. / CUSIP: 29258Y103 / Symbol:							
07/31/20	150.000	649.87	07/24/20	626.60	...	23.27	Sale <sup>25</sup>
EXXON MOBIL CORPORATION / CUSIP: 30231G102 / Symbol:							
	3 transactions for 05/29/20. Total proceeds and cost reported to the IRS.						
	100.000	4,452.39	05/20/20	4,538.85	86.46 W	0.00	1 of 3 - Sale <sup>25</sup>
	20.000	890.38	05/20/20	907.77	17.39 W	0.00	2 of 3 - Sale <sup>25</sup>
	100.000	4,451.89	05/20/20	4,538.85	86.96 W	0.00	3 of 3 - Sale <sup>25</sup>
05/29/20	220.000	9,794.66	Various	9,985.47	190.81 W	0.00	Total of 3 transactions
	3 transactions for 06/05/20. Total proceeds and cost reported to the IRS.						
	10.000	531.68	06/03/20	488.65	...	43.03	1 of 3 - Sale <sup>25</sup>
	10.000	531.69	06/03/20	488.65	...	43.04	2 of 3 - Sale <sup>25</sup>
	50.000	2,658.43	06/03/20	2,443.23	...	215.20	3 of 3 - Sale <sup>25</sup>
06/05/20	70.000	3,721.80	Various	3,420.53	...	301.27	Total of 3 transactions
	3 transactions for 06/09/20. Total proceeds and cost reported to the IRS.						
	20.000	1,055.97	06/03/20	977.39	...	78.58	1 of 3 - Sale <sup>25</sup>
	30.000	1,583.96	06/03/20	1,465.93	...	118.03	2 of 3 - Sale <sup>25</sup>
	100.000	5,279.87	06/03/20	4,886.96	...	392.91	3 of 3 - Sale <sup>25</sup>
06/09/20	150.000	7,919.80	Various	7,330.28	...	589.52	Total of 3 transactions
	3 transactions for 06/18/20. Total proceeds and cost reported to the IRS.						
	100.000	4,581.90	06/17/20	4,682.78	...	-100.88	1 of 3 - Sale <sup>25</sup>
	53.000	2,428.40	06/17/20	2,494.18	...	-65.78	2 of 3 - Sale <sup>25</sup>
	47.000	2,153.49	06/17/20	2,211.82	...	-58.33	3 of 3 - Sale <sup>25</sup>
06/18/20	200.000	9,163.79	Various	9,388.78	...	-224.99	Total of 3 transactions

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
EXXON MOBIL CORPORATION / CUSIP: 30231G102 / Symbol: (cont'd)							
5 transactions for 06/18/20. Total proceeds and cost reported to the IRS.							
	200.000	9,163.79	06/16/20	9,773.70	609.91 W	0.00	1 of 5 - Sale <sup>25</sup>
	100.000	4,581.90	06/16/20	4,804.70	222.80 W	0.00	2 of 5 - Sale <sup>25</sup>
	100.000	4,581.89	06/16/20	4,792.85	210.96 W	0.00	3 of 5 - Sale <sup>25</sup>
	200.000	9,163.79	06/17/20	9,512.00	348.21 W	0.00	4 of 5 - Sale <sup>25</sup>
	100.000	4,581.90	06/17/20	4,706.00	124.10 W	0.00	5 of 5 - Sale <sup>25</sup>
06/18/20	700.000	32,073.27	Various	33,589.25	1,515.98 W	0.00	Total of 5 transactions
9 transactions for 06/23/20. Total proceeds and cost reported to the IRS.							
	200.000	9,350.07	06/19/20	10,089.61	...	-739.54	1 of 9 - Sale <sup>25</sup>
	88.000	4,110.37	06/19/20	4,267.21	...	-156.84	2 of 9 - Sale <sup>25</sup>
	68.000	3,176.20	06/19/20	3,314.97	...	-138.77	3 of 9 - Sale <sup>25</sup>
	35.000	1,634.81	06/19/20	1,710.38	...	-75.57	4 of 9 - Sale <sup>25</sup>
	32.000	1,494.68	06/19/20	1,563.77	...	-69.09	5 of 9 - Sale <sup>25</sup>
	32.000	1,494.68	06/19/20	1,559.99	...	-65.31	6 of 9 - Sale <sup>25</sup>
	17.000	794.05	06/19/20	830.76	...	-36.71	7 of 9 - Sale <sup>25</sup>
	16.000	747.34	06/19/20	781.89	...	-34.55	8 of 9 - Sale <sup>25</sup>
	12.000	560.51	06/19/20	581.89	...	-21.38	9 of 9 - Sale <sup>25</sup>
06/23/20	500.000	23,362.71	Various	24,700.47	...	-1,337.76	Total of 9 transactions
2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	100.000	4,452.90	06/19/20	4,806.96	...	-354.06	1 of 2 - Sale <sup>25</sup>
	100.000	4,452.90	06/19/20	4,756.95	...	-304.05	2 of 2 - Sale <sup>25</sup>
06/24/20	200.000	8,905.80	Various	9,563.91	...	-658.11	Total of 2 transactions
	<b>Security total:</b>	<b>94,941.83</b>		<b>97,978.69</b>	<b>1,706.79 W</b>	<b>-1,330.07</b>	
FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
06/17/20	40.000	9,315.69	06/17/20	9,400.89	...	-85.20	Sale <sup>25</sup>
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol:							
3 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	100.000	632.47	05/18/20	631.73	...	0.74	1 of 3 - Sale <sup>25</sup>
	200.000	1,264.95	05/18/20	1,263.46	...	1.49	2 of 3 - Sale <sup>25</sup>
	400.000	2,529.89	05/18/20	2,526.92	...	2.97	3 of 3 - Sale <sup>25</sup>
05/18/20	700.000	4,427.31	Various	4,422.11	...	5.20	Total of 3 transactions

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Robinhood Securities LLC

Account 565179918

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
GENERAL ELECTRIC COMPANY / CUSIP: 369604103 / Symbol: (cont'd)							
06/16/20	400.000	2,968.93	06/16/20	2,966.88	...	2.05	Sale <sup>25</sup>
06/16/20	1,000.000	7,422.31	06/16/20	7,700.00	55.82 W	-221.87	Sale <sup>25</sup>
5 transactions for 07/07/20. Total proceeds and cost reported to the IRS.							
	100.000	692.98	07/02/20	727.51	...	-34.53	1 of 5 - Sale <sup>25</sup>
	1.000	6.93	07/02/20	7.16	...	-0.23	2 of 5 - Sale <sup>25</sup>
	78.000	540.51	07/06/20	567.46	...	-26.95	3 of 5 - Sale <sup>25</sup>
	20.000	138.59	07/06/20	145.50	...	-6.91	4 of 5 - Sale <sup>25</sup>
	2.000	13.86	07/06/20	14.55	...	-0.69	5 of 5 - Sale <sup>25</sup>
07/07/20	201.000	1,392.87	Various	1,462.18	...	-69.31	Total of 5 transactions
	<b>Security total:</b>	<b>16,211.42</b>		<b>16,551.17</b>	<b>55.82 W</b>	<b>-283.93</b>	
GENERAL MOTORS COMPANY / CUSIP: 37045V100 / Symbol:							
2 transactions for 07/16/20. Total proceeds and cost reported to the IRS.							
	11.000	295.46	07/08/20	275.09	...	20.37	1 of 2 - Sale <sup>25</sup>
	29.000	778.92	07/08/20	725.23	...	53.69	2 of 2 - Sale <sup>25</sup>
07/16/20	40.000	1,074.38	Various	1,000.32	...	74.06	Total of 2 transactions
GENIUS BRANDS INTERNATIONAL, I NC. COMMON STOCK / CUSIP: 37229T301 / Symbol:							
3 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	100.000	176.48	07/24/20	186.00	...	-9.52	1 of 3 - Sale <sup>25</sup>
	100.000	176.48	07/24/20	186.00	...	-9.52	2 of 3 - Sale <sup>25</sup>
	100.000	176.48	07/24/20	186.00	...	-9.52	3 of 3 - Sale <sup>25</sup>
08/03/20	300.000	529.44	Various	558.00	...	-28.56	Total of 3 transactions
HTG MOLECULAR DIAGNOSTICS, INC . COMMON STOCK / CUSIP: 40434H104 / Symbol:							
07/24/20	100.000	63.59	07/23/20	76.00	...	-12.41	Sale <sup>25</sup>
HEAT BIOLOGICS, INC. COMMON STOCK / CUSIP: 42237K300 / Symbol:							
7 transactions for 07/21/20. Total proceeds and cost reported to the IRS.							
	400.000	1,333.05	07/20/20	1,414.00	...	-80.95	1 of 7 - Sale <sup>25</sup>
	100.000	333.26	07/20/20	319.00	...	14.26	2 of 7 - Sale <sup>25</sup>
	100.000	333.26	07/20/20	319.00	...	14.26	3 of 7 - Sale <sup>25</sup>
	100.000	333.26	07/20/20	319.00	...	14.26	4 of 7 - Sale <sup>25</sup>
	100.000	333.26	07/20/20	284.00	...	49.26	5 of 7 - Sale <sup>25</sup>

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Robinhood Securities LLC

Account 565179918

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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HEAT BIOLOGICS, INC. COMMON STOCK / CUSIP: 42237K300 / Symbol: (cont'd)							
	200.000	666.52	07/20/20	596.00	...	70.52	6 of 7 - Sale <sup>25</sup>
	200.000	666.52	07/20/20	560.00	...	106.52	7 of 7 - Sale <sup>25</sup>
07/21/20	1,200.000	3,999.13	Various	3,811.00	...	188.13	Total of 7 transactions
HERON THERAPEUTICS, INC. COMMON STOCK / CUSIP: 427746102 / Symbol:							
06/29/20	50.000	655.29	06/26/20	1,077.00	...	-421.71	Sale <sup>25</sup>
IAMGOLD CORPORATION / CUSIP: 450913108 / Symbol:							
07/31/20	100.000	497.00	07/24/20	486.99	...	10.01	Sale <sup>25</sup>
IBIO, INC. / CUSIP: 451033203 / Symbol:							
3 transactions for 07/21/20. Total proceeds and cost reported to the IRS.							
	100.000	629.97	07/20/20	636.50	...	-6.53	1 of 3 - Sale <sup>25</sup>
	100.000	629.97	07/20/20	636.00	...	-6.03	2 of 3 - Sale <sup>25</sup>
	50.000	314.99	07/20/20	281.49	...	33.50	3 of 3 - Sale <sup>25</sup>
07/21/20	250.000	1,574.93	Various	1,553.99	...	20.94	Total of 3 transactions
IMMURON LIMITED AMERICAN DEPOSITORY SHARES / CUSIP: 45254U101 / Symbol:							
07/28/20	50.000	556.60	07/24/20	694.28	...	-137.68	Sale <sup>25</sup>
INOVIO PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 45773H201 / Symbol:							
2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	14.000	341.59	05/26/20	201.32	...	140.27	1 of 2 - Sale <sup>25</sup>
	20.000	487.99	06/23/20	392.40	...	95.59	2 of 2 - Sale <sup>25</sup>
06/24/20	34.000	829.58	Various	593.72	...	235.86	Total of 2 transactions
JUST ENERGY GROUP INC. / CUSIP: 48213W101 / Symbol:							
07/22/20	500.000	224.69	07/20/20	304.27	...	-79.58	Sale <sup>25</sup>
KINROSS GOLD CORPORATION / CUSIP: 496902404 / Symbol:							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	475.000	3,111.12	06/11/20	3,182.45	...	-71.33	1 of 2 - Sale <sup>25</sup>
	25.000	163.75	06/11/20	167.50	...	-3.75	2 of 2 - Sale <sup>25</sup>
06/16/20	500.000	3,274.87	Various	3,349.95	...	-75.08	Total of 2 transactions

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Account 565179918

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

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KINROSS GOLD CORPORATION / CUSIP: 496902404 / Symbol: (cont'd)							
07/31/20	50.000	452.60	07/24/20	419.40	...	33.20	Sale <sup>25</sup>
	<b>Security total:</b>	<b>3,727.47</b>		<b>3,769.35</b>	...	<b>-41.88</b>	
LINEAGE CELL THERAPEUTICS, INC. / CUSIP: 53566P109 / Symbol:							
<i>3 transactions for 06/29/20. Total proceeds and cost reported to the IRS.</i>							
	701.000	651.83	06/26/20	665.60	...	-13.77	1 of 3 - Sale <sup>25</sup>
	200.000	185.98	06/26/20	189.90	...	-3.92	2 of 3 - Sale <sup>25</sup>
	99.000	92.06	06/26/20	94.00	...	-1.94	3 of 3 - Sale <sup>25</sup>
06/29/20	1,000.000	929.87	Various	949.50	...	-19.63	Total of 3 transactions
MACY'S INC. / CUSIP: 55616P104 / Symbol:							
<i>2 transactions for 06/10/20. Total proceeds and cost reported to the IRS.</i>							
	499.000	4,291.24	06/09/20	5,144.64	...	-853.40	1 of 2 - Sale <sup>25</sup>
	1.000	8.60	06/09/20	10.31	...	-1.71	2 of 2 - Sale <sup>25</sup>
06/10/20	500.000	4,299.84	Various	5,154.95	...	-855.11	Total of 2 transactions
07/27/20	100.000	624.14	07/24/20	660.83	...	-36.69	Sale <sup>25</sup>
	<b>Security total:</b>	<b>4,923.98</b>		<b>5,815.78</b>	...	<b>-891.80</b>	
MATINAS BIOPHARMA HOLDINGS, IN C. / CUSIP: 576810105 / Symbol:							
06/08/20	220.000	197.97	05/21/20	200.18	...	-2.21	Sale <sup>25</sup>
MENLO THERAPEUTICS INC. COMMON STOCK / CUSIP: 586858102 / Symbol:							
07/24/20	85.000	140.67	05/26/20	207.83	...	-67.16	Sale <sup>25</sup>
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
<i>4 transactions for 06/02/20. Total proceeds and cost reported to the IRS.</i>							
	1.000	184.82	05/27/20	180.78	...	4.04	1 of 4 - Sale <sup>25</sup>
	6.000	1,108.89	05/27/20	1,084.68	...	24.21	2 of 4 - Sale <sup>25</sup>
	15.000	2,772.24	05/27/20	2,711.70	...	60.54	3 of 4 - Sale <sup>25</sup>
	52.000	9,610.41	05/29/20	9,431.23	...	179.18	4 of 4 - Sale <sup>25</sup>
06/02/20	74.000	13,676.36	Various	13,408.39	...	267.97	Total of 4 transactions

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Account 565179918

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol: (cont'd)							
2 transactions for 06/16/20. Total proceeds and cost reported to the IRS.							
	50.000	9,621.83	06/15/20	9,406.50	...	215.33	1 of 2 - Sale <sup>25</sup>
	20.000	3,848.73	06/16/20	3,842.15	...	6.58	2 of 2 - Sale <sup>25</sup>
06/16/20	70.000	13,470.56	Various	13,248.65	...	221.91	Total of 2 transactions
06/17/20	50.000	9,745.91	06/17/20	9,759.37	13.46 W	0.00	Sale <sup>25</sup>
06/24/20	20.000	3,953.36	06/23/20	4,044.60	...	-91.24	Sale <sup>25</sup>
2 transactions for 06/24/20. Total proceeds and cost reported to the IRS.							
	40.000	7,906.72	06/22/20	7,914.67	7.95 W	0.00	1 of 2 - Sale <sup>25</sup>
	10.000	1,976.68	06/23/20	2,024.99	48.31 W	0.00	2 of 2 - Sale <sup>25</sup>
06/24/20	50.000	9,883.40	Various	9,939.66	56.26 W	0.00	Total of 2 transactions
2 transactions for 06/26/20. Total proceeds and cost reported to the IRS.							
	10.000	1,989.06	06/25/20	2,027.61	...	-38.55	1 of 2 - Sale <sup>25</sup>
	40.000	7,956.23	06/25/20	7,925.15	...	31.08	2 of 2 - Sale <sup>25</sup>
06/26/20	50.000	9,945.29	Various	9,952.76	...	-7.47	Total of 2 transactions
	<b>Security total:</b>	<b>60,674.88</b>		<b>60,353.43</b>	<b>69.72 W</b>	<b>391.17</b>	
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
2 transactions for 08/03/20. Total proceeds and cost reported to the IRS.							
	10.000	762.21	07/24/20	715.70	...	46.51	1 of 2 - Sale <sup>25</sup>
	10.000	762.21	07/31/20	753.00	...	9.21	2 of 2 - Sale <sup>25</sup>
08/03/20	20.000	1,524.42	Various	1,468.70	...	55.72	Total of 2 transactions
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
04/16/20	1.000	3.32	02/24/20	3.78	...	-0.46	Sale <sup>25</sup>
11 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	7.000	95.29	02/24/20	26.46	...	68.83	1 of 11 - Sale <sup>25</sup>
	10.000	136.12	07/06/20	115.30	...	20.82	2 of 11 - Sale <sup>25</sup>
	10.000	136.12	07/06/20	114.95	...	21.17	3 of 11 - Sale <sup>25</sup>
	17.000	231.19	07/07/20	228.32	...	2.87	4 of 11 - Sale <sup>25</sup>
	20.000	271.99	07/07/20	268.61	...	3.38	5 of 11 - Sale <sup>25</sup>
	63.000	856.77	07/07/20	846.11	...	10.66	6 of 11 - Sale <sup>25</sup>
	10.000	136.00	07/07/20	111.00	...	25.00	7 of 11 - Sale <sup>25</sup>
	17.000	231.19	07/07/20	188.70	...	42.49	8 of 11 - Sale <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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NIO INC. AMERICAN DEPOSITORY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol: (cont'd)							
	73.000	993.69	07/07/20	810.29	...	183.40	9 of 11 - Sale <sup>25</sup>
	100.000	1,361.21	07/07/20	1,150.50	...	210.71	10 of 11 - Sale <sup>25</sup>
	100.000	1,359.96	07/08/20	1,250.75	...	109.21	11 of 11 - Sale <sup>25</sup>
07/09/20	427.000	5,809.53	Various	5,110.99	...	698.54	Total of 11 transactions
	3 transactions for 07/09/20. Total proceeds and cost reported to the IRS.						
	83.000	1,128.76	07/07/20	1,132.94	4.18 W	0.00	1 of 3 - Sale <sup>25</sup>
	17.000	231.19	07/07/20	232.05	0.86 W	0.00	2 of 3 - Sale <sup>25</sup>
	40.000	543.98	07/08/20	585.20	41.22 W	0.00	3 of 3 - Sale <sup>25</sup>
07/09/20	140.000	1,903.93	Various	1,950.19	46.26 W	0.00	Total of 3 transactions
	6 transactions for 07/14/20. Total proceeds and cost reported to the IRS.						
	10.000	125.30	07/13/20	168.21	42.91 W	0.00	1 of 6 - Sale <sup>25</sup>
	30.000	375.89	07/13/20	505.36	129.47 W	0.00	2 of 6 - Sale <sup>25</sup>
	70.000	877.08	07/13/20	1,107.05	229.97 W	0.00	3 of 6 - Sale <sup>25</sup>
	100.000	1,252.97	07/13/20	1,589.00	336.03 W	0.00	4 of 6 - Sale <sup>25</sup>
	200.000	2,505.94	07/13/20	3,175.50	669.56 W	0.00	5 of 6 - Sale <sup>25</sup>
	90.000	1,127.67	07/13/20	1,444.28	316.61 W	0.00	6 of 6 - Sale <sup>25</sup>
07/14/20	500.000	6,264.85	Various	7,989.40	1,724.55 W	0.00	Total of 6 transactions
	3 transactions for 07/15/20. Total proceeds and cost reported to the IRS.						
	10.000	130.10	07/13/20	203.38	73.28 W	0.00	1 of 3 - Sale <sup>25</sup>
	30.000	390.29	07/13/20	594.47	204.18 W	0.00	2 of 3 - Sale <sup>25</sup>
	60.000	780.58	07/13/20	1,127.11	346.53 W	0.00	3 of 3 - Sale <sup>25</sup>
07/15/20	100.000	1,300.97	Various	1,924.96	623.99 W	0.00	Total of 3 transactions
	10 transactions for 07/16/20. Total proceeds and cost reported to the IRS.						
	100.000	1,299.21	07/13/20	1,857.52	...	-558.31	1 of 10 - Sale <sup>25</sup>
	100.000	1,299.21	07/13/20	1,818.53	...	-519.32	2 of 10 - Sale <sup>25</sup>
	90.000	1,169.29	07/13/20	1,651.99	...	-482.70	3 of 10 - Sale <sup>25</sup>
	50.000	649.60	07/13/20	1,002.27	...	-352.67	4 of 10 - Sale <sup>25</sup>
	30.000	389.76	07/13/20	632.28	...	-242.52	5 of 10 - Sale <sup>25</sup>
	100.000	1,299.21	07/13/20	1,426.50	...	-127.29	6 of 10 - Sale <sup>25</sup>
	10.000	129.92	07/13/20	221.65	...	-91.73	7 of 10 - Sale <sup>25</sup>
	10.000	129.92	07/13/20	200.46	...	-70.54	8 of 10 - Sale <sup>25</sup>
	10.000	129.92	07/13/20	142.70	...	-12.78	9 of 10 - Sale <sup>25</sup>

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

(continued)

02/14/2021

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

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NIO INC. AMERICAN DEPOSITORY S HARES, EACH REPRESENTING ONE CLASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol: (cont'd)							
	290.000	3,767.71	07/14/20	4,071.57	...	-303.86	10 of 10 - Sale <sup>25</sup>
07/16/20	790.000	10,263.75	Various	13,025.47	...	-2,761.72	Total of 10 transactions
<i>2 transactions for 07/16/20. Total proceeds and cost reported to the IRS.</i>							
	10.000	129.92	07/13/20	187.85	57.93 W	0.00	1 of 2 - Sale <sup>25</sup>
	100.000	1,299.21	07/13/20	1,858.77	559.56 W	0.00	2 of 2 - Sale <sup>25</sup>
07/16/20	110.000	1,429.13	Various	2,046.62	617.49 W	0.00	Total of 2 transactions
07/24/20	10.000	111.45	07/14/20	198.33	...	-86.88	Sale <sup>25</sup>
08/03/20	100.000	1,329.97	07/24/20	1,713.30	...	-383.33	Sale <sup>25</sup>
	<b>Security total:</b>	<b>28,416.90</b>		<b>33,963.04</b>	<b>3,012.29 W</b>	<b>-2,533.85</b>	
NEW GOLD INC. / CUSIP: 644535106 / Symbol:							
<i>3 transactions for 07/31/20. Total proceeds and cost reported to the IRS.</i>							
	100.000	164.49	07/24/20	158.50	...	5.99	1 of 3 - Sale <sup>25</sup>
	100.000	164.49	07/24/20	158.50	...	5.99	2 of 3 - Sale <sup>25</sup>
	200.000	328.98	07/24/20	317.00	...	11.98	3 of 3 - Sale <sup>25</sup>
07/31/20	400.000	657.96	Various	634.00	...	23.96	Total of 3 transactions
NEWMONT CORPORATION / CUSIP: 651639106 / Symbol:							
05/18/20	74.000	5,031.13	05/15/20	5,002.99	...	28.14	Sale <sup>25</sup>
<i>9 transactions for 06/16/20. Total proceeds and cost reported to the IRS.</i>							
	3.000	170.70	06/15/20	169.05	...	1.65	1 of 9 - Sale <sup>25</sup>
	10.000	568.98	06/15/20	563.50	...	5.48	2 of 9 - Sale <sup>25</sup>
	17.000	967.27	06/15/20	957.95	...	9.32	3 of 9 - Sale <sup>25</sup>
	20.000	1,137.97	06/15/20	1,127.00	...	10.97	4 of 9 - Sale <sup>25</sup>
	23.000	1,308.67	06/15/20	1,277.65	...	31.02	5 of 9 - Sale <sup>25</sup>
	73.000	4,153.59	06/15/20	4,113.54	...	40.05	6 of 9 - Sale <sup>25</sup>
	77.000	4,381.19	06/15/20	4,338.94	...	42.25	7 of 9 - Sale <sup>25</sup>
	77.000	4,381.19	06/15/20	4,277.34	...	103.85	8 of 9 - Sale <sup>25</sup>
	100.000	5,689.86	06/15/20	5,554.99	...	134.87	9 of 9 - Sale <sup>25</sup>
06/16/20	400.000	22,759.42	Various	22,379.96	...	379.46	Total of 9 transactions
	<b>Security total:</b>	<b>27,790.55</b>		<b>27,382.95</b>	...	<b>407.60</b>	

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Robinhood Securities LLC

Account 565179918

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/14/2021

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

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NORTHERN DYNASTY MINERALS, LTD . / CUSIP: 66510M204 / Symbol:							
3 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	1.000	2.27	07/23/20	2.24	...	0.03	1 of 3 - Sale <sup>25</sup>
	135.000	306.43	07/23/20	303.75	...	2.68	2 of 3 - Sale <sup>25</sup>
	865.000	1,963.39	07/23/20	1,946.25	...	17.14	3 of 3 - Sale <sup>25</sup>
07/24/20	1,001.000	2,272.09	Various	2,252.24	...	19.85	Total of 3 transactions
NORTHERN OIL AND GAS, INC. COM MON STOCK / CUSIP: 665531109 / Symbol:							
06/05/20	227.000	206.32	05/21/20	201.98	...	4.34	Sale <sup>25</sup>
07/28/20	500.000	396.22	07/24/20	392.50	...	3.72	Sale <sup>25</sup>
	<b>Security total:</b>	<b>602.54</b>		<b>594.48</b>	...	<b>8.06</b>	
NOVAN, INC. COMMON STOCK / CUSIP: 66988N106 / Symbol:							
2 transactions for 06/26/20. Total proceeds and cost reported to the IRS.							
	600.000	290.37	06/25/20	341.58	...	-51.21	1 of 2 - Sale <sup>25</sup>
	300.000	145.19	06/25/20	170.79	...	-25.60	2 of 2 - Sale <sup>25</sup>
06/26/20	900.000	435.56	Various	512.37	...	-76.81	Total of 2 transactions
4 transactions for 06/26/20. Total proceeds and cost reported to the IRS.							
	400.000	193.59	06/25/20	224.00	30.41 W	0.00	1 of 4 - Sale <sup>25</sup>
	500.000	241.98	06/25/20	280.00	38.02 W	0.00	2 of 4 - Sale <sup>25</sup>
	100.000	48.40	06/25/20	56.00	7.60 W	0.00	3 of 4 - Sale <sup>25</sup>
	100.000	48.40	06/25/20	56.93	8.53 W	0.00	4 of 4 - Sale <sup>25</sup>
06/26/20	1,100.000	532.37	Various	616.93	84.56 W	0.00	Total of 4 transactions
8 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	100.000	100.98	07/20/20	77.37	...	23.61	1 of 8 - Sale <sup>25</sup>
	20.000	20.10	07/21/20	19.32	...	0.78	2 of 8 - Sale <sup>25</sup>
	100.000	100.49	07/21/20	97.52	...	2.97	3 of 8 - Sale <sup>25</sup>
	80.000	80.78	07/21/20	77.27	...	3.51	4 of 8 - Sale <sup>25</sup>
	100.000	100.48	07/21/20	96.59	...	3.89	5 of 8 - Sale <sup>25</sup>
	100.000	100.97	07/21/20	96.60	...	4.37	6 of 8 - Sale <sup>25</sup>
	100.000	100.98	07/21/20	96.59	...	4.39	7 of 8 - Sale <sup>25</sup>
	500.000	502.42	07/21/20	482.97	...	19.45	8 of 8 - Sale <sup>25</sup>
07/22/20	1,100.000	1,107.20	Various	1,044.23	...	62.97	Total of 8 transactions
	<b>Security total:</b>	<b>2,075.13</b>		<b>2,173.53</b>	<b>84.56 W</b>	<b>-13.84</b>	

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Robinhood Securities LLC

Account 565179918

## Proceeds from Broker and Barter Exchange Transactions

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

(continued)

02/14/2021

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

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PAYPAL HOLDINGS, INC. COMMON S TOCK / CUSIP: 70450Y103 / Symbol:							
06/24/20	40.000	6,603.05	06/23/20	6,947.60	...	-344.55	Sale <sup>25</sup>
PYXUS INTL INC COMMON STOCK / CUSIP: 74737V106 / Symbol:							
07/24/20	45.000	11.70	06/08/20	206.33	...	-194.63	Sale <sup>25</sup>
QUALIGEN THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 74754R103 / Symbol:							
07/22/20	200.000	1,161.95	07/21/20	1,074.00	...	87.95	Sale <sup>25</sup>
RINGCENTRAL, INC. / CUSIP: 76680R206 / Symbol:							
06/19/20	71.000	19,857.53	06/18/20	19,922.96	...	-65.43	Sale <sup>25</sup>
STARBUCKS CORPORATION COMMON S TOCK / CUSIP: 855244109 / Symbol:							
05/18/20	60.000	4,621.38	05/18/20	4,615.72	...	5.66	Sale <sup>25</sup>
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
4 transactions for 07/09/20. Total proceeds and cost reported to the IRS.							
	1.000	1,387.00	07/07/20	1,415.50	28.50 W	0.00	1 of 4 - Sale <sup>25</sup>
	1.000	1,387.00	07/07/20	1,425.24	38.24 W	0.00	2 of 4 - Sale <sup>25</sup>
	1.000	1,384.50	07/07/20	1,411.48	26.98 W	0.00	3 of 4 - Sale <sup>25</sup>
	1.000	1,384.49	07/07/20	1,418.97	34.48 W	0.00	4 of 4 - Sale <sup>25</sup>
07/09/20	4.000	5,542.99	Various	5,671.19	128.20 W	0.00	Total of 4 transactions
3 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	1.000	1,406.16	07/23/20	1,548.29	...	-142.13	1 of 3 - Sale <sup>25</sup>
	1.000	1,406.16	07/23/20	1,540.79	...	-134.63	2 of 3 - Sale <sup>25</sup>
	1.000	1,406.17	07/23/20	1,513.82	...	-107.65	3 of 3 - Sale <sup>25</sup>
07/24/20	3.000	4,218.49	Various	4,602.90	...	-384.41	Total of 3 transactions
	<b>Security total:</b>	<b>9,761.48</b>		<b>10,274.09</b>	<b>128.20 W</b>	<b>-384.41</b>	
TONIX PHARMACEUTICALS HOLDING CORP. COMMON STOCK / CUSIP: 890260706 / Symbol:							
4 transactions for 07/22/20. Total proceeds and cost reported to the IRS.							
	300.000	393.08	07/20/20	434.61	...	-41.53	1 of 4 - Sale <sup>25</sup>
	100.000	131.02	07/20/20	118.87	...	12.15	2 of 4 - Sale <sup>25</sup>
	500.000	655.12	07/21/20	915.00	...	-259.88	3 of 4 - Sale <sup>25</sup>
	100.000	131.03	07/21/20	194.87	...	-63.84	4 of 4 - Sale <sup>25</sup>
07/22/20	1,000.000	1,310.25	Various	1,663.35	...	-353.10	Total of 4 transactions

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Account 565179918

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

(continued)

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UNITED STATES OIL FUND, LP / CUSIP: 91232N207 / Symbol:							
6 transactions for 05/15/20. Total proceeds and cost reported to the IRS.							
	100.000	2,174.00	05/05/20	2,108.99	...	65.01	1 of 6 - Sale <sup>25</sup>
	125.000	2,717.50	05/05/20	2,636.24	...	81.26	2 of 6 - Sale <sup>25</sup>
	7.000	157.22	05/15/20	154.56	...	2.66	3 of 6 - Sale <sup>25</sup>
	24.000	539.98	05/15/20	529.91	...	10.07	4 of 6 - Sale <sup>25</sup>
	89.000	1,998.88	05/15/20	1,965.07	...	33.81	5 of 6 - Sale <sup>25</sup>
	100.000	2,245.94	05/15/20	2,207.93	...	38.01	6 of 6 - Sale <sup>25</sup>
05/15/20	445.000	9,833.52	Various	9,602.70	...	230.82	Total of 6 transactions
3 transactions for 05/18/20. Total proceeds and cost reported to the IRS.							
	94.000	2,313.27	05/18/20	2,318.03	...	-4.76	1 of 3 - Sale <sup>25</sup>
	100.000	2,461.43	05/18/20	2,465.99	...	-4.56	2 of 3 - Sale <sup>25</sup>
	6.000	147.69	05/18/20	147.96	...	-0.27	3 of 3 - Sale <sup>25</sup>
05/18/20	200.000	4,922.39	Various	4,931.98	...	-9.59	Total of 3 transactions
	<b>Security total:</b>	<b>14,755.91</b>		<b>14,534.68</b>	...	<b>221.23</b>	
VBI VACCINES, INC. NEW COMMON STOCK (CANADA) / CUSIP: 91822J103 / Symbol:							
2 transactions for 07/21/20. Total proceeds and cost reported to the IRS.							
	100.000	554.66	07/20/20	687.98	133.32 W	0.00	1 of 2 - Sale <sup>25</sup>
	100.000	554.66	07/20/20	723.32	168.66 W	0.00	2 of 2 - Sale <sup>25</sup>
07/21/20	200.000	1,109.32	Various	1,411.30	301.98 W	0.00	Total of 2 transactions
07/22/20	100.000	551.97	07/20/20	815.43	...	-263.46	Sale <sup>25</sup>
07/22/20	100.000	551.97	07/20/20	772.53	220.56 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>2,213.26</b>		<b>2,999.26</b>	<b>522.54 W</b>	<b>-263.46</b>	
VISA INC. / CUSIP: 92826C839 / Symbol:							
07/07/20	5.000	983.32	07/06/20	986.00	...	-2.68	Sale <sup>25</sup>
WALMART INC. / CUSIP: 931142103 / Symbol:							
05/14/20	40.000	4,908.34	05/08/20	4,907.46	...	0.88	Sale <sup>25</sup>
05/18/20	40.000	5,086.01	05/15/20	4,979.89	...	106.12	Sale <sup>25</sup>
	<b>Security total:</b>	<b>9,994.35</b>		<b>9,887.35</b>	...	<b>107.00</b>	
XPRESSPA GROUP, INC. COMMON STOCK / CUSIP: 98420U604 / Symbol:							
06/03/20	220.000	200.63	05/26/20	199.91	...	0.72	Sale <sup>25</sup>

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Account 565179918

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

(continued)

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YAMANA GOLD, INC. / CUSIP: 98462Y100 / Symbol:							
2 transactions for 07/31/20. Total proceeds and cost reported to the IRS.							
	100.000	643.22	07/24/20	600.00	...	43.22	1 of 2 - Sale <sup>25</sup>
	50.000	321.61	07/28/20	329.88	...	-8.27	2 of 2 - Sale <sup>25</sup>
07/31/20	150.000	964.83	Various	929.88	...	34.95	Total of 2 transactions
ZOGENIX, INC. COMMON STOCK / CUSIP: 98978L204 / Symbol:							
2 transactions for 06/29/20. Total proceeds and cost reported to the IRS.							
	40.000	1,011.74	06/26/20	1,163.73	...	-151.99	1 of 2 - Sale <sup>25</sup>
	20.000	505.87	06/26/20	519.40	...	-13.53	2 of 2 - Sale <sup>25</sup>
06/29/20	60.000	1,517.61	Various	1,683.13	...	-165.52	Total of 2 transactions
CALEDONIA MINING CORPORATION P LC / CUSIP: G1757E113 / Symbol:							
06/16/20	200.000	3,479.90	06/16/20	3,760.24	...	-280.34	Sale <sup>25</sup>
2 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	1.000	25.15	07/23/20	24.98	...	0.17	1 of 2 - Sale <sup>25</sup>
	200.000	5,029.86	07/23/20	4,925.70	...	104.16	2 of 2 - Sale <sup>25</sup>
07/24/20	201.000	5,055.01	Various	4,950.68	...	104.33	Total of 2 transactions
4 transactions for 08/04/20. Total proceeds and cost reported to the IRS.							
	25.000	581.98	07/24/20	641.21	...	-59.23	1 of 4 - Sale <sup>25</sup>
	20.000	465.59	07/28/20	511.20	...	-45.61	2 of 4 - Sale <sup>25</sup>
	20.000	465.59	08/03/20	457.50	...	8.09	3 of 4 - Sale <sup>25</sup>
	50.000	1,163.97	08/03/20	1,147.00	...	16.97	4 of 4 - Sale <sup>25</sup>
08/04/20	115.000	2,677.13	Various	2,756.91	...	-79.78	Total of 4 transactions
	<b>Security total:</b>	<b>11,212.04</b>		<b>11,467.83</b>	...	<b>-255.79</b>	
GASLOG LTD / CUSIP: G37585109 / Symbol:							
07/27/20	200.000	609.96	07/24/20	635.98	...	-26.02	Sale <sup>25</sup>
ROYALTY PHARMA PLC CLASS A ORD INARY SHARES / CUSIP: G7709Q104 / Symbol:							
5 transactions for 06/19/20. Total proceeds and cost reported to the IRS.							
	30.000	1,447.76	06/18/20	1,549.20	...	-101.44	1 of 5 - Sale <sup>25</sup>
	40.000	1,930.35	06/18/20	2,026.40	...	-96.05	2 of 5 - Sale <sup>25</sup>
	10.000	482.60	06/18/20	560.51	...	-77.91	3 of 5 - Sale <sup>25</sup>
	10.000	482.59	06/18/20	550.95	...	-68.36	4 of 5 - Sale <sup>25</sup>

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

(continued)

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ROYALTY PHARMA PLC CLASS A ORD INARY SHARES / CUSIP: G7709Q104 / Symbol: (cont'd)							
	10.000	482.59	06/18/20	535.00	...	-52.41	5 of 5 - Sale <sup>25</sup>
06/19/20	100.000	4,825.89	Various	5,222.06	...	-396.17	Total of 5 transactions
06/19/20	10.000	482.59	06/18/20	536.50	53.91 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>5,308.48</b>		<b>5,758.56</b>	<b>53.91 W</b>	<b>-396.17</b>	
TRANSOCEAN LTD. / CUSIP: H8817H100 / Symbol:							
3 transactions for 06/09/20. Total proceeds and cost reported to the IRS.							
	2.000	6.30	06/03/20	2.96	...	3.34	1 of 3 - Sale <sup>25</sup>
	135.000	425.22	06/03/20	199.80	...	225.42	2 of 3 - Sale <sup>25</sup>
	90.000	283.48	06/05/20	196.20	...	87.28	3 of 3 - Sale <sup>25</sup>
06/09/20	227.000	715.00	Various	398.96	...	316.04	Total of 3 transactions
06/15/20	1,000.000	2,021.13	06/12/20	2,259.90	238.77 W	0.00	Sale <sup>25</sup>
06/16/20	1,000.000	2,240.03	06/16/20	2,688.57	...	-448.54	Sale <sup>25</sup>
	<b>Security total:</b>	<b>4,976.16</b>		<b>5,347.43</b>	<b>238.77 W</b>	<b>-132.50</b>	
ROYAL CARIBBEAN GROUP / CUSIP: V7780T103 / Symbol:							
06/16/20	80.000	4,616.68	06/16/20	5,190.66	...	-573.98	Sale <sup>25</sup>
07/28/20	10.000	515.38	07/24/20	501.90	...	13.48	Sale <sup>25</sup>
	<b>Security total:</b>	<b>5,132.06</b>		<b>5,692.56</b>	...	<b>-560.50</b>	
TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y164 / Symbol:							
04/16/20	14.000	2.87	09/10/19	125.65	...	-122.78	Sale <sup>25</sup>
4 transactions for 07/24/20. Total proceeds and cost reported to the IRS.							
	100.000	10.44	09/10/19	830.36	...	-819.92	1 of 4 - Sale <sup>25</sup>
	59.000	6.16	09/10/19	529.55	...	-523.39	2 of 4 - Sale <sup>25</sup>
	27.000	2.82	09/10/19	242.33	...	-239.51	3 of 4 - Sale <sup>25</sup>
	80.000	8.35	09/11/19	373.21	...	-364.86	4 of 4 - Sale <sup>25</sup>
07/24/20	266.000	27.77	Various	1,975.45	...	-1,947.68	Total of 4 transactions
	<b>Security total:</b>	<b>30.64</b>		<b>2,101.10</b>	...	<b>-2,070.46</b>	
<b>Totals :</b>		<b>423,203.21</b>		<b>437,377.43</b>	<b>5,930.73 W</b>	<b>-8,243.49</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 565179918

**Proceeds Not Reported to the IRS**

2020

02/14/2021

This section of your tax information statement provides proceeds transactions that are not reported to the IRS, but may have a tax impact. They are grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued Market Discount and Wash Sale Loss Disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

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

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

Report on Form 8949, Part I, with Box C checked.

**Description of property**

<b>Date sold or disposed</b>	<b>Quantity</b>	<b>Proceeds &amp; Reported (G)ross or (N)et</b>	<b>Date acquired</b>	<b>Cost or other basis</b>	<b>Accrued mkt disc (D) &amp; Wash sale loss disallowed (W)</b>	<b>Gain or loss(-) &amp; Loss not allowed (X) also not reported (Z)</b>	<b>Additional information</b>
JE RIGHTS / CUSIP: 482RGT016 / Symbol: 10/02/20	27.000	0.00	07/20/20	0.00	...	0.00	Gain or loss <sup>25</sup>
<b>Totals:</b>		<b>0.00</b>		<b>0.00</b>	...	<b>0.00</b>	

Robinhood Securities LLC

Account 565179918

**Fees and Expenses**

2020

02/14/2021

*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 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
		04/27/20	-5.00	Margin interest paid	
		05/26/20	-5.00	Margin interest paid	
		06/24/20	-5.00	Margin interest paid	
		06/24/20	-13.16	Margin interest paid	
		07/24/20	-5.00	Margin interest paid	
		07/24/20	-8.02	Margin interest paid	
		08/24/20	-0.29	Margin interest paid	
			-41.47	Total Margin interest paid	
			<b>-41.47</b>	<b>Total Margin interest paid</b>	

Robinhood Securities LLC

Account 565179918

**Non-Reportable Actions**

2020

02/14/2021

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
JE RIGHTS	482RGT016	07/29/20	27.00	0.00	Stock spinoff	
		10/02/20	-27.00	0.00	Security deemed worthless	

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

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**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Instructions for Recipient**

(whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

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

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

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

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

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

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

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

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

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

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

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

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

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