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**Master Account Number for Import:**

564231967

**Document ID for Import:**

3260V17C51E

**Enclosed is your 2023 Consolidated Tax Statement. 1099 Tax Forms for the following accounts are included in this package:**

564231967 - Robinhood Securities LLC

564231967C - Robinhood Crypto LLC

**New for 2023 Tax Year** - 1099 tax forms for Robinhood Markets Inc. will be displayed using an aggregated format based on key tax lot criteria. We have done this to reduce the size of your overall tax package, as well as to help make your tax documents easier to use. This new format still provides you with all the information you need to file your taxes.

**Robinhood Retirements Accounts** - If you had any reportable distributions or contributions within a Robinhood Retirement account, your 2023 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.

**Filing Your Taxes** - If filing through tax service providers, such as TurboTax or H&R Block, please utilize the Master Account Number and Document ID listed above. 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. Please note that tax software providers may have limits on the total number of transactions that can be directly imported using the Document ID.

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Robinhood Markets Inc. as agent for  
 Robinhood Securities LLC  
 2023

**Summary Information**  
 (continued)

Account 564231967  
 02/12/2024

**INTEREST INCOME**

2023 1099-INT

OMB No. 1545-0112

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

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

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

|   |       |
|---|-------|
| Other Receipts & Reconciliations- Partnership distributions     | 0.00  |
| Other Receipts & Reconciliations- Foreign tax paid- partnership | 0.00  |
| Other Receipts & Reconciliations- Return of principal           | 0.00  |
| Other Receipts & Reconciliations- Deferred income payment       | 0.00  |
| Other Receipts & Reconciliations- Deemed premium                | 0.00  |
| Other Receipts & Reconciliations- Income accrual- UIT           | 0.00  |
| Other Receipts & Reconciliations- Basis adjustments             | 0.00  |
| Other Receipts & Reconciliations- Foreign tax pd beyond treaty  | 0.00  |
| Fees & Expenses- Margin interest                                | 0.00  |
| Fees & Expenses- Dividends paid on short position               | 0.00  |
| Fees & Expenses- Interest paid on short position                | 0.00  |
| Fees & Expenses- Non reportable distribution expense            | 0.00  |
| Fees & Expenses- Other expenses                                 | 35.00 |
| 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  |

Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 564231967

## Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

02/12/2024

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, Check if basis reported to IRS 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 regulations. 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) | Gain or loss(-) & Additional information |
|--|----------|---|-------------------|-------------------------|--|---|--|
| AMD 04/21/2023 CALL \$150.00 / CUSIP: / Symbol:  |          |   |                   |                         |  |   |  |
| 04/21/23   | 6.000    | 0.00  | Various           | 24.00                   | ...  | -24.00  | Total of 2 transactions                  |
| AMZN 07/21/2023 CALL \$185.00 / CUSIP: / Symbol: |          |   |                   |                         |  |   |  |
| 07/21/23   | 2.000    | 0.00  | Various           | 5.00                    | ...  | -5.00   | Total of 2 transactions                  |
| AVGO 11/10/2023 CALL \$905.00 / CUSIP: / Symbol: |          |   |                   |                         |  |   |  |
| 11/08/23   | 8.000    | 6,739.65                                    | Various           | 6,400.24                | ...  | 339.41  | Total of 7 transactions                  |
| BA 09/29/2023 PUT \$187.50 / CUSIP: / Symbol:    |          |   |                   |                         |  |   |  |
| 09/26/23   | 1.000    | 39.98                                       | 09/19/23          | 27.00                   | ...  | 12.98   | Option sale to close-put <sup>25</sup>   |
| BA 09/29/2023 PUT \$195.00 / CUSIP: / Symbol:    |          |   |                   |                         |  |   |  |
| 09/28/23   | 1.000    | 374.98                                      | 09/19/23          | 105.00                  | ...  | 269.98  | Option sale to close-put <sup>25</sup>   |
| CLF 03/17/2023 CALL \$22.00 / CUSIP: / Symbol:   |          |   |                   |                         |  |   |  |
| 01/27/23   | 3.000    | 446.97                                      | Various           | 444.00                  | ...  | 2.97  | Total of 3 transactions                  |

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 564231967

**Proceeds from Broker and Barter Exchange Transactions**

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

| 1c- Date sold or disposed                        | Quantity               | 1d- Proceeds & 6- Reported (G)ross or (N)et | 1b- Date acquired | 1e- Cost or other basis | 1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W) | Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z) | Additional information                  |
|--|------------------------|---|-------------------|-------------------------|--|---|---|
| COIN 10/06/2023 CALL \$83.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 10/03/23   | 1.000                  | 16.98                                       | 10/02/23          | 32.00                   | ...  | -15.02  | Option sale to close-call <sup>25</sup> |
| MCD 11/03/2023 CALL \$257.50 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 10/31/23   | 3.000                  | 1,184.89                                    | 10/30/23          | 666.09                  | ...  | 518.80  | Option sale to close-call <sup>25</sup> |
| MCD 11/10/2023 CALL \$257.50 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 10/31/23   | 5.000                  | 2,574.81                                    | Various           | 2,875.15                | ...  | -300.34   | Total of 2 transactions                 |
| META 03/17/2023 CALL \$240.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |   |
| 03/09/23   | 5.000                  | 9.98  | 02/01/23          | 55.00                   | ...  | -45.02  | Option sale to close-call <sup>25</sup> |
| 03/13/23   | 15.000                 | 14.95                                       | 02/01/23          | 165.00                  | ...  | -150.05   | Option sale to close-call <sup>25</sup> |
|  | <b>Security total:</b> | <b>24.93</b>                                |                   | <b>220.00</b>           | ...  | <b>-195.07</b>  |   |
| META 03/17/2023 CALL \$245.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |   |
| 03/08/23   | 12.000                 | 23.96                                       | Various           | 88.00                   | ...  | -64.04  | Total of 3 transactions                 |
| META 03/17/2023 CALL \$290.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |   |
| 02/02/23   | 8.000                  | 119.97                                      | 02/01/23          | 16.00                   | ...  | 103.97  | Option sale to close-call <sup>25</sup> |
| 03/17/23   | 54.000                 | 0.00  | Various           | 615.00                  | ...  | -615.00   | Total of 15 transactions                |
|  | <b>Security total:</b> | <b>119.97</b>                               |                   | <b>631.00</b>           | ...  | <b>-511.03</b>  |   |
| META 07/21/2023 CALL \$380.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |   |
| 07/21/23   | 1.000                  | 0.00  | 06/20/23          | 15.00                   | ...  | -15.00  | Option expiration- long call            |
| META 07/21/2023 CALL \$390.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |   |
| 07/21/23   | 1.000                  | 0.00  | 06/15/23          | 10.00                   | ...  | -10.00  | Option expiration- long call            |
| META 09/22/2023 PUT \$295.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 09/15/23   | 1.000                  | 284.98                                      | 09/14/23          | 109.00                  | ...  | 175.98  | Option sale to close-put <sup>25</sup>  |
| META 10/13/2023 PUT \$205.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 10/13/23   | 1.000                  | 0.00  | 09/07/23          | 17.00                   | ...  | -17.00  | Option expiration- long put             |
| META 11/10/2023 CALL \$312.50 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |   |
| 11/06/23   | 4.000                  | 2,919.83                                    | Various           | 2,160.12                | ...  | 759.71  | Total of 2 transactions                 |

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Account 564231967

### Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

#### 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                  |
|--|----------|---|-------------------|-------------------------|--|---|---|
| META 12/15/2023 CALL \$335.00 / CUSIP: / Symbol:<br>12/14/23 | 1.000    | 184.95                                      | 12/13/23          | 330.03                  | ...  | -145.08   | Option sale to close-call <sup>25</sup> |
| MRNA 12/15/2023 CALL \$89.00 / CUSIP: / Symbol:<br>12/14/23  | 5.000    | 924.83                                      | Various           | 700.15                  | ...  | 224.68  | Total of 3 transactions                 |
| NFLX 11/10/2023 CALL \$417.50 / CUSIP: / Symbol:<br>11/02/23 | 2.000    | 1,999.91                                    | 11/01/23          | 1,560.06                | ...  | 439.85  | Option sale to close-call <sup>25</sup> |
| NFLX 11/17/2023 CALL \$415.00 / CUSIP: / Symbol:<br>10/26/23 | 1.000    | 1,554.94                                    | 10/25/23          | 1,400.03                | ...  | 154.91  | Option sale to close-call <sup>25</sup> |
| NVDA 01/05/2024 CALL \$502.50 / CUSIP: / Symbol:<br>12/28/23 | 3.000    | 1,874.88                                    | 12/27/23          | 1,710.09                | ...  | 164.79  | Option sale to close-call <sup>25</sup> |
| NVDA 11/03/2023 PUT \$397.50 / CUSIP: / Symbol:<br>11/01/23  | 1.000    | 108.95                                      | 10/31/23          | 510.03                  | ...  | -401.08   | Option sale to close-put <sup>25</sup>  |
| NVDA 11/03/2023 PUT \$415.00 / CUSIP: / Symbol:<br>11/01/23  | 3.000    | 1,799.88                                    | 11/01/23          | 1,560.09                | ...  | 239.79  | Option sale to close-put <sup>25</sup>  |
| NVDA 11/10/2023 CALL \$460.00 / CUSIP: / Symbol:<br>11/07/23 | 6.000    | 4,559.77                                    | 11/07/23          | 3,390.18                | ...  | 1,169.59  | Option sale to close-call <sup>25</sup> |
| 11/08/23   | 8.000    | 6,399.68                                    | 11/07/23          | 4,520.24                | ...  | 1,879.44  | Option sale to close-call <sup>25</sup> |
| <b>Security total:</b>                                       |          | <b>10,959.45</b>                            |                   | <b>7,910.42</b>         | ...  | <b>3,049.03</b>   |   |
| NVDA 11/10/2023 PUT \$400.00 / CUSIP: / Symbol:<br>11/01/23  | 3.000    | 1,454.88                                    | 10/31/23          | 3,285.09                | ...  | -1,830.21   | Option sale to close-put <sup>25</sup>  |
| NVDA 11/17/2023 CALL \$475.00 / CUSIP: / Symbol:<br>11/10/23 | 7.000    | 8,784.69                                    | Various           | 7,210.21                | ...  | 1,574.48  | Total of 4 transactions                 |
| NVDA 11/17/2023 CALL \$490.00 / CUSIP: / Symbol:<br>11/14/23 | 7.000    | 7,139.71                                    | Various           | 5,110.21                | ...  | 2,029.50  | Total of 2 transactions                 |
| NVDA 11/17/2023 CALL \$492.50 / CUSIP: / Symbol:<br>11/14/23 | 11.000   | 10,999.55                                   | 11/14/23          | 8,250.33                | ...  | 2,749.22  | Option sale to close-call <sup>25</sup> |

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**Proceeds from Broker and Barter Exchange Transactions**

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

| 1c- Date sold or disposed                        | Quantity               | 1d- Proceeds & 6- Reported (G)ross or (N)et | 1b- Date acquired | 1e- Cost or other basis | 1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W) | Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z) | Additional information                  |
|--|------------------------|---|-------------------|-------------------------|--|---|---|
| NVDA 11/24/2023 CALL \$495.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |   |
| 11/15/23   | 6.000                  | 11,009.72                                   | 11/15/23          | 12,600.18               | 265.08 W   | -1,325.38   | Option sale to close-call <sup>25</sup> |
| 11/16/23   | 1.000                  | 1,709.94                                    | 11/15/23          | 1,865.11                | ...  | -155.17   | Option sale to close-call <sup>25</sup> |
|  | <b>Security total:</b> | <b>12,719.66</b>                            |                   | <b>14,465.29</b>        | <b>265.08 W</b>  | <b>-1,480.55</b>  |   |
| NVDA 11/24/2023 PUT \$487.50 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 11/17/23   | 5.000                  | 8,499.77                                    | Various           | 9,900.15                | ...  | -1,400.38   | Total of 4 transactions                 |
| SE 09/29/2023 CALL \$47.00 / CUSIP: / Symbol:    |                        |   |                   |                         |  |   |   |
| 09/29/23   | 1.000                  | 0.00  | 09/25/23          | 4.00                    | ...  | -4.00   | Option expiration- long call            |
| SPY 01/02/2024 CALL \$477.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 12/29/23   | 19.000                 | 1,424.36                                    | Various           | 2,850.57                | ...  | -1,426.21   | Total of 2 transactions                 |
| SPY 01/03/2023 PUT \$350.00 / CUSIP: / Symbol:   |                        |   |                   |                         |  |   |   |
| 01/03/23   | 1.000                  | 0.00  | 12/20/22          | 27.00                   | ...  | -27.00  | Option expiration- long put             |
| SPY 02/17/2023 CALL \$401.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 01/17/23   | 1.000                  | 787.97                                      | 12/30/22          | 446.00                  | ...  | 341.97  | Option sale to close-call <sup>25</sup> |
| SPY 03/17/2023 CALL \$452.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 03/17/23   | 1.000                  | 0.00  | 01/03/23          | 33.00                   | ...  | -33.00  | Option expiration- long call            |
| SPY 04/21/2023 CALL \$465.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 04/21/23   | 10.000                 | 0.00  | Various           | 20.00                   | ...  | -20.00  | Total of 2 transactions                 |
| SPY 09/19/2023 PUT \$442.00 / CUSIP: / Symbol:   |                        |   |                   |                         |  |   |   |
| 09/19/23   | 1.000                  | 54.98                                       | 09/19/23          | 56.00                   | ...  | -1.02   | Option sale to close-put <sup>25</sup>  |
| SPY 09/22/2023 CALL \$444.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 09/18/23   | 1.000                  | 226.98                                      | 09/15/23          | 280.00                  | ...  | -53.02  | Option sale to close-call <sup>25</sup> |
| SPY 10/06/2023 PUT \$427.00 / CUSIP: / Symbol:   |                        |   |                   |                         |  |   |   |
| 10/02/23   | 1.000                  | 411.98                                      | 09/28/23          | 364.00                  | ...  | 47.98   | Option sale to close-put <sup>25</sup>  |
| SPY 10/09/2023 CALL \$426.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 10/03/23   | 1.000                  | 167.98                                      | 10/03/23          | 315.00                  | ...  | -147.02   | Option sale to close-call <sup>25</sup> |

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 564231967

Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

**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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| 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                  |
|---|----------|---|-------------------|-------------------------|--|---|---|
| SPY 10/11/2023 PUT \$415.00 / CUSIP: / Symbol:<br>10/09/23  | 1.000    | 9.98  | 10/03/23          | 214.00                  | ...  | -204.02   | Option sale to close-put <sup>25</sup>  |
| SPY 10/11/2023 PUT \$425.00 / CUSIP: / Symbol:<br>10/03/23  | 1.000    | 462.98                                      | 10/02/23          | 353.00                  | ...  | 109.98  | Option sale to close-put <sup>25</sup>  |
| SPY 10/13/2023 PUT \$400.00 / CUSIP: / Symbol:<br>10/02/23  | 1.000    | 38.98                                       | 09/07/23          | 68.00                   | ...  | -29.02  | Option sale to close-put <sup>25</sup>  |
| SPY 10/26/2023 CALL \$425.00 / CUSIP: / Symbol:<br>10/24/23 | 2.000    | 509.90                                      | Various           | 392.06                  | ...  | 117.84  | Total of 2 transactions                 |
| SPY 10/27/2023 PUT \$418.00 / CUSIP: / Symbol:<br>10/24/23  | 3.000    | 431.89                                      | 10/23/23          | 906.00                  | ...  | -474.11   | Option sale to close-put <sup>25</sup>  |
| SPY 10/27/2023 PUT \$422.00 / CUSIP: / Symbol:<br>10/25/23  | 9.000    | 3,230.68                                    | Various           | 2,601.27                | ...  | 629.41  | Total of 7 transactions                 |
| SPY 11/03/2023 PUT \$403.00 / CUSIP: / Symbol:<br>10/25/23  | 1.000    | 120.95                                      | 10/23/23          | 93.00                   | ...  | 27.95   | Option sale to close-put <sup>25</sup>  |
| SPY 11/17/2023 CALL \$449.00 / CUSIP: / Symbol:<br>11/15/23 | 21.000   | 6,929.26                                    | Various           | 4,371.63                | ...  | 2,557.63  | Total of 2 transactions                 |
| SPY 11/17/2023 PUT \$436.00 / CUSIP: / Symbol:<br>11/09/23  | 15.000   | 4,679.47                                    | Various           | 4,080.45                | ...  | 599.02  | Total of 2 transactions                 |
| SPY 11/20/2023 CALL \$450.00 / CUSIP: / Symbol:<br>11/17/23 | 80.000   | 12,997.28                                   | Various           | 10,802.40               | ...  | 2,194.88  | Total of 3 transactions                 |
| SPY 11/22/2023 CALL \$454.00 / CUSIP: / Symbol:<br>11/21/23 | 65.000   | 6,562.83                                    | 11/20/23          | 12,351.95               | ...  | -5,789.12   | Option sale to close-call <sup>25</sup> |
| SPY 11/22/2023 PUT \$452.00 / CUSIP: / Symbol:<br>11/21/23  | 80.000   | 5,517.35                                    | Various           | 6,802.40                | ...  | -1,285.05   | Total of 2 transactions                 |
| SPY 11/24/2023 CALL \$454.00 / CUSIP: / Symbol:<br>11/22/23 | 108.000  | 24,256.29                                   | Various           | 15,587.24               | ...  | 8,669.05  | Total of 2 transactions                 |

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Robinhood Markets Inc. as agent for  
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Account 564231967

**Proceeds from Broker and Barter Exchange Transactions**

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

**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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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| SPY 11/28/2023 CALL \$455.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |  |
| 11/27/23  | 114.000                | 13,106.19                                   | Various           | 9,123.42                | ...  | 3,982.77  | Total of 2 transactions                |
| SPY 11/30/2023 CALL \$458.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |  |
| 11/30/23  | 170.000                | 1,184.48                                    | Various           | 16,850.10               | ...  | -15,665.62  | Total of 4 transactions                |
| SPY 12/01/2023 CALL \$454.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |  |
| 11/30/23  | 6.000                  | 1,169.78                                    | Various           | 1,128.18                | ...  | 41.60   | Total of 2 transactions                |
| SPY 12/01/2023 CALL \$455.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |  |
| 11/28/23  | 20.000                 | 3,699.31                                    | Various           | 4,960.60                | ...  | -1,261.29   | Total of 2 transactions                |
| SPY 12/01/2023 PUT \$454.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |  |
| 11/30/23  | 9.000                  | 1,484.69                                    | 11/30/23          | 1,170.27                | ...  | 314.42  | Option sale to close-put <sup>25</sup> |
| SPY 12/05/2023 PUT \$454.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |  |
| 12/05/23  | 62.000                 | 555.90                                      | Various           | 3,039.86                | ...  | -2,483.96   | Total of 7 transactions                |
| SPY 12/07/2023 PUT \$454.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |  |
| 12/07/23  | 50.000                 | 98.37                                       | 12/07/23          | 401.50                  | ...  | -303.13   | Option sale to close-put <sup>25</sup> |
| SPY 12/08/2023 PUT \$456.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |  |
| 12/08/23  | 3.000                  | 8.89  | Various           | 225.09                  | ...  | -216.20   | Total of 2 transactions                |
| SPY 12/12/2023 PUT \$460.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |  |
| 12/12/23  | 46.000                 | 228.50                                      | Various           | 1,818.01                | ...  | -1,589.51   | Total of 4 transactions                |
| 12/12/23  | 42.000                 | 208.63                                      | Various           | 967.26                  | 758.63 W   | 0.00  | Total of 3 transactions                |
|   | <b>Security total:</b> | <b>437.13</b>                               |                   | <b>2,785.27</b>         | <b>758.63 W</b>  | <b>-1,589.51</b>  |  |
| SPY 12/15/2023 PUT \$469.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |  |
| 12/15/23  | 38.000                 | 1,632.75                                    | Various           | 3,075.58                | ...  | -1,442.83   | Total of 3 transactions                |
| 12/15/23  | 7.000                  | 300.77                                      | 12/15/23          | 525.21                  | 224.44 W   | 0.00  | Option sale to close-put <sup>25</sup> |
|   | <b>Security total:</b> | <b>1,933.52</b>                             |                   | <b>3,600.79</b>         | <b>224.44 W</b>  | <b>-1,442.83</b>  |  |
| SPY 12/18/2023 PUT \$470.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |  |
| 12/15/23  | 6.000                  | 1,199.80                                    | 12/14/23          | 864.18                  | ...  | 335.62  | Option sale to close-put <sup>25</sup> |

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Account 564231967

**Proceeds from Broker and Barter Exchange Transactions**

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

**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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|--|------------------------|---|-------------------|-------------------------|--|---|---|
| SPY 12/20/2023 CALL \$474.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 12/19/23   | 87.000                 | 9,567.10                                    | 12/19/23          | 6,962.61                | ...  | 2,604.49  | Option sale to close-call <sup>25</sup> |
| SPY 12/22/2023 CALL \$472.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 12/21/23   | 52.000                 | 4,418.24                                    | Various           | 11,915.03               | ...  | -7,496.79   | Total of 7 transactions                 |
| 12/21/23   | 60.000                 | 5,098.01                                    | Various           | 9,511.98                | 4,063.65 W   | -350.32   | Total of 8 transactions                 |
|  | <b>Security total:</b> | <b>9,516.25</b>                             |                   | <b>21,427.01</b>        | <b>4,063.65 W</b>  | <b>-7,847.11</b>  |   |
| SPY 12/22/2023 CALL \$476.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 12/22/23   | 420.000                | 1,266.35                                    | Various           | 5,892.60                | ...  | -4,626.25   | Total of 2 transactions                 |
| SPY 12/26/2023 CALL \$474.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 12/26/23   | 8.000                  | 1,039.72                                    | Various           | 680.24                  | ...  | 359.48  | Total of 3 transactions                 |
| SPY 12/26/2023 PUT \$471.00 / CUSIP: / Symbol:   |                        |   |                   |                         |  |   |   |
| 12/26/23   | 8.000                  | 0.00  | 12/22/23          | 640.24                  | ...  | -640.24   | Option expiration- long put             |
| SPY 12/26/2023 PUT \$472.00 / CUSIP: / Symbol:   |                        |   |                   |                         |  |   |   |
| 12/22/23   | 70.000                 | 4,897.68                                    | Various           | 10,152.10               | ...  | -5,254.42   | Total of 2 transactions                 |
| SPY 12/27/2023 CALL \$476.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 12/27/23   | 29.000                 | 1,159.05                                    | 12/27/23          | 1,885.87                | ...  | -726.82   | Option sale to close-call <sup>25</sup> |
| SPY 12/27/2023 PUT \$475.00 / CUSIP: / Symbol:   |                        |   |                   |                         |  |   |   |
| 12/21/23   | 30.000                 | 13,528.91                                   | Various           | 5,100.90                | ...  | 8,428.01  | Total of 2 transactions                 |
| SPY 12/29/2023 CALL \$477.00 / CUSIP: / Symbol:  |                        |   |                   |                         |  |   |   |
| 12/29/23   | 71.000                 | 707.69                                      | Various           | 1,001.21                | ...  | -293.52   | Total of 7 transactions                 |
| 12/29/23   | 1.000                  | 8.95  | 12/29/23          | 14.03                   | 5.08 W   | 0.00  | Option sale to close-call <sup>25</sup> |
|  | <b>Security total:</b> | <b>716.64</b>                               |                   | <b>1,015.24</b>         | <b>5.08 W</b>  | <b>-293.52</b>  |   |
| TSLA 03/17/2023 CALL \$180.00 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |   |
| 01/30/23   | 1.000                  | 1,374.95                                    | 01/26/23          | 595.00                  | ...  | 779.95  | Option sale to close-call <sup>25</sup> |
| TSLA 03/17/2023 CALL \$198.33 / CUSIP: / Symbol: |                        |   |                   |                         |  |   |   |
| 01/30/23   | 1.000                  | 824.97                                      | 01/26/23          | 291.00                  | ...  | 533.97  | Option sale to close-call <sup>25</sup> |

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### Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

#### 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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|--|----------|---|-------------------|-------------------------|--|---|--|
| TSLA 03/17/2023 CALL \$330.00 / CUSIP: / Symbol:<br>01/30/23 | 1.000    | 54.98                                       | 01/26/23          | 10.00                   | ...  | 44.98   | Option sale to close-call <sup>25</sup>  |
| TSLA 04/21/2023 CALL \$441.67 / CUSIP: / Symbol:<br>04/21/23 | 2.000    | 0.00  | 03/15/23          | 4.00                    | ...  | -4.00   | Option expiration- long call             |
| TSLA 09/01/2023 PUT \$205.00 / CUSIP: / Symbol:<br>09/01/23  | 1.000    | 0.00  | 08/11/23          | 97.00                   | ...  | -97.00  | Option expiration- long put              |
| TSLA 09/15/2023 CALL \$275.00 / CUSIP: / Symbol:<br>09/14/23 | 1.000    | 314.98                                      | 09/11/23          | 455.00                  | ...  | -140.02                                       | Option sale to close-call <sup>25</sup>  |
| TSLA 09/22/2023 CALL \$277.50 / CUSIP: / Symbol:<br>09/19/23 | 1.000    | 74.98                                       | 09/18/23          | 208.00                  | ...  | -133.02                                       | Option sale to close-call <sup>25</sup>  |
| TSLA 09/22/2023 PUT \$222.50 / CUSIP: / Symbol:<br>09/11/23  | 2.000    | 75.98                                       | Various           | 313.00                  | ...  | -237.02                                       | Total of 2 transactions                  |
| TSLA 09/29/2023 CALL \$290.00 / CUSIP: / Symbol:<br>09/11/23 | 1.000    | 459.98                                      | 09/11/23          | 245.00                  | ...  | 214.98  | Option sale to close-call <sup>25</sup>  |
| TSLA 10/13/2023 CALL \$400.00 / CUSIP: / Symbol:<br>10/13/23 | 1.000    | 0.00  | 09/12/23          | 35.00                   | ...  | -35.00  | Option expiration- long call             |
| TSLA 11/03/2023 PUT \$215.00 / CUSIP: / Symbol:<br>10/24/23  | 1.000    | 664.95                                      | 10/24/23          | 505.03                  | ...  | 159.92  | Option sale to close-put <sup>25</sup>   |
| TSLA 11/10/2023 CALL \$220.00 / CUSIP: / Symbol:<br>11/07/23 | 8.000    | 2,255.72                                    | 11/06/23          | 2,880.24                | ...  | -624.52                                       | Option sale to close-call <sup>25</sup>  |
| TSLA 11/10/2023 CALL \$225.00 / CUSIP: / Symbol:<br>11/07/23 | 8.000    | 1,159.73                                    | 11/06/23          | 3,920.24                | ...  | -2,760.51                                     | Option sale to close-call <sup>25</sup>  |
| TSLA 11/10/2023 CALL \$230.00 / CUSIP: / Symbol:<br>11/07/23 | 1.000    | 71.95                                       | 11/06/23          | 202.03                  | ...  | -130.08                                       | Option sale to close-call <sup>25</sup>  |
| TSLA 12/29/2023 CALL \$260.00 / CUSIP: / Symbol:<br>12/27/23 | 4.000    | 1,879.85                                    | 12/26/23          | 980.12                  | ...  | 899.73  | Option sale to close-call <sup>25</sup>  |

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**Proceeds from Broker and Barter Exchange Transactions**

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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|---|------------------------|---|-------------------|-------------------------|--|---|---|
| TSM 02/03/2023 CALL \$93.00 / CUSIP: / Symbol:                          |                        |   |                   |                         |  |   |   |
| 01/31/23  | 1.000                  | 53.98                                       | 01/30/23          | 338.02                  | ...  | -284.04   | Option sale to close-call <sup>25</sup> |
| 01/31/23  | 1.000                  | 53.98                                       | 01/30/23          | 196.00                  | 142.02 W   | 0.00  | Option sale to close-call <sup>25</sup> |
|   | <b>Security total:</b> | <b>107.96</b>                               |                   | <b>534.02</b>           | <b>142.02 W</b>  | <b>-284.04</b>  |   |
| TSM 02/03/2023 PUT \$92.00 / CUSIP: / Symbol:                           |                        |   |                   |                         |  |   |   |
| 01/31/23  | 1.000                  | 221.98                                      | 01/31/23          | 248.00                  | 26.02 W  | 0.00  | Option sale to close-put <sup>25</sup>  |
| 02/01/23  | 9.000                  | 404.97                                      | Various           | 2,036.02                | ...  | -1,631.05   | Total of 8 transactions                 |
|   | <b>Security total:</b> | <b>626.95</b>                               |                   | <b>2,284.02</b>         | <b>26.02 W</b>   | <b>-1,631.05</b>  |   |
| TSM 02/17/2023 CALL \$100.00 / CUSIP: / Symbol:                         |                        |   |                   |                         |  |   |   |
| 01/25/23  | 3.000                  | 199.96                                      | Various           | 144.00                  | ...  | 55.96   | Total of 2 transactions                 |
| TSM 02/17/2023 CALL \$105.00 / CUSIP: / Symbol:                         |                        |   |                   |                         |  |   |   |
| 01/25/23  | 2.000                  | 41.96                                       | Various           | 32.00                   | ...  | 9.96  | Total of 2 transactions                 |
| TSM 02/17/2023 CALL \$90.00 / CUSIP: / Symbol:                          |                        |   |                   |                         |  |   |   |
| 01/25/23  | 1.000                  | 474.97                                      | 12/22/22          | 63.00                   | ...  | 411.97  | Option sale to close-call <sup>25</sup> |
| TSM 03/17/2023 CALL \$110.00 / CUSIP: / Symbol:                         |                        |   |                   |                         |  |   |   |
| 01/25/23  | 6.000                  | 179.96                                      | Various           | 168.00                  | ...  | 11.96   | Total of 2 transactions                 |
| HEART TEST LABORATORIES, INC. COMMON STOCK / CUSIP: 42254E104 / Symbol: |                        |   |                   |                         |  |   |   |
| 02/07/23  | 26.000                 | 84.52                                       | 01/30/23          | 53.29                   | ...  | 31.23   | Sale <sup>25</sup>                      |
| CHECHE GROUP INC. CLASS A ORDINARY SHARES / CUSIP: G20707108 / Symbol:  |                        |   |                   |                         |  |   |   |
| 09/18/23  | 0.433                  | 60.13                                       | 09/18/23          | 25.00                   | ...  | 35.13   | Sale <sup>25</sup>                      |
| VCI GLOBAL LIMITED ORDINARY SHARES / CUSIP: G98218103 / Symbol:         |                        |   |                   |                         |  |   |   |
| 06/20/23  | 1.661                  | 16.72                                       | Various           | 16.00                   | ...  | 0.72  | Total of 5 transactions                 |
| ATAI LIFE SCIENCES N.V. COMMON SHARES / CUSIP: N0731H103 / Symbol:      |                        |   |                   |                         |  |   |   |
| 05/10/23  | 1.414                  | 2.84  | Various           | 2.58                    | ...  | 0.26  | Total of 2 transactions                 |
| <b>Totals :</b>   |                        | <b>230,158.82</b>                           |                   | <b>252,718.39</b>       | <b>5,484.92 W</b>  | <b>-17,074.65</b>   |   |

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Robinhood Securities LLC

Account 564231967

## Fees and Expenses

2023

02/12/2024

*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 |
|-----------------------|---------------------|----------|---------------|-----------------------------------|-------|
| Gold Subscription fee | GLDSUBFEE           | 06/15/23 | -5.00         | Subscription expense              |       |
|                       |                     | 07/17/23 | -5.00         | Subscription expense              |       |
|                       |                     | 08/14/23 | -5.00         | Subscription expense              |       |
|                       |                     | 09/13/23 | -5.00         | Subscription expense              |       |
|                       |                     | 10/13/23 | -5.00         | Subscription expense              |       |
|                       |                     | 11/13/23 | -5.00         | Subscription expense              |       |
|                       |                     | 12/12/23 | -5.00         | Subscription expense              |       |
|                       |                     |          | -35.00        | Total Subscription expense        |       |
|                       |                     |          | <b>-35.00</b> | <b>Total Subscription expense</b> |       |

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

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**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040) 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) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040).

**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), or Pub. 550 for details.

**Instructions for Recipient**

**Line 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040) 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) 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 is generally 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) 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) as you may be able to report your transaction directly on Schedule D (Form 1040). 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.



|  |  |                            |      |
|--|--|----------------------------|------|
| <b>Robinhood Markets Inc. as agent for Robinhood Crypto LLC</b><br>85 Willow Rd<br>Menlo Park, CA 94025<br>Customer Service: 650-940-2700<br><br>PAYER'S TIN: 46-4364776 | <b>Tax Information</b><br><b>Account 564231967C</b><br><br>Dileep reddy Suddamalla<br>3917 Fairfax Square<br>Fairfax, VA 22031<br><br>RECIPIENT'S TIN: XXX-XX-7360 | Statement Date: 02/12/2024 | 2023 |
|--|--|----------------------------|------|

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

|  |  |
|--|--|
| <b>DIVIDENDS AND DISTRIBUTIONS 2023 1099-DIV*</b> <span style="float: right;">OMB No. 1545-0110</span>   | <b>MISCELLANEOUS INFORMATION 2023 1099-MISC*</b> <span style="float: right;">OMB No. 1545-0115</span>  |
| 1a- Total ordinary dividends (includes lines 1b, 5, 2e) 0.00<br>1b- Qualified dividends 0.00<br>2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f) 0.00<br>2b- Unrecaptured Section 1250 gain 0.00<br>2c- Section 1202 gain 0.00<br>2d- Collectibles (28%) gain 0.00<br>2e- Section 897 ordinary dividends 0.00<br>2f- Section 897 capital gain 0.00<br>3- Nondividend distributions 0.00<br><b>4- Federal income tax withheld 0.00</b><br>5- Section 199A dividends 0.00<br>6- Investment expenses 0.00<br>8- Foreign country or US possession: 7- Foreign tax paid: 0.00<br>9- Cash liquidation distributions 0.00<br>10- Noncash liquidation distributions 0.00<br>12- Exempt-interest dividends (includes line 13) 0.00<br>13- Specified private activity bond interest dividends (AMT) 0.00 | 2- Royalties 0.00<br>3- Other income 2.00<br><b>4- Federal income tax withheld 0.00</b><br>8- Substitute payments in lieu of dividends or interest 0.00<br><br><b>SECTION 1256 CONTRACTS 2023 1099-B*</b> <span style="float: right;">OMB No. 1545-0715</span><br>8- Profit or (loss) realized in 2023 on closed contracts 0.00<br>9- Unrealized profit or (loss) on open contracts-12/31/2022 0.00<br>10- Unrealized profit or (loss) on open contracts-12/31/2023 0.00<br>11- Aggregate profit or (loss) on contracts 0.00<br><br><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i><br><br><b>* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.</b> |

**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)          | 0.00          | 0.00          | 0.00            | 0.00                      | 0.00                |
| Short              | B (basis not reported to the IRS)      | 115.91        | 116.41        | 0.00            | 0.00                      | -0.50               |
| Short              | C (Form 1099-B not received)           | 0.00          | 0.00          | 0.00            | 0.00                      | 0.00                |
|                    | <b>Total Short-term</b>                | <b>115.91</b> | <b>116.41</b> | <b>0.00</b>     | <b>0.00</b>               | <b>-0.50</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>115.91</b> | <b>116.41</b> | <b>0.00</b>     | <b>0.00</b>               | <b>-0.50</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 2023 may require an amended tax form.

Robinhood Markets Inc. as agent for  
Robinhood Crypto LLC  
2023

**Summary Information**  
(continued)

Account 564231967C  
02/12/2024

**INTEREST INCOME**

2023 1099-INT

OMB No. 1545-0112

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

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

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

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

**STATE TAX WITHHELD**

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

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

**ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS**

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

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

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

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

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

Robinhood Markets Inc. as agent for  
Robinhood Crypto LLC

Account 564231967C

## Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

02/12/2024

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, Check if basis reported to IRS 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 regulations. 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 NONCOVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Line 5)

Report on Form 8949, Part I with Box B checked. Basis is NOT provided to the IRS. (Line 12)

"Date acquired," "Cost or other basis," "Accrued market discount," "Wash sale loss disallowed" and "Gain or loss (-)" are 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 | Date acquired | Cost or other basis | Accrued mkt disc (D) & Wash sale loss disallowed (W) | Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z) | Additional information                      |
|--------------------------------------|------------------------|---|---------------|---------------------|--|---|---|
| Cardano / CUSIP: ADAUSD / Symbol:    |                        |   |               |                     |  |   |   |
| 03/21/23                             | 73.180                 | 26.21                                       | 03/21/23      | 26.01               | ...  | 0.20  | Sale <sup>25</sup>                          |
| 06/28/23                             | 0.010                  | 0.00  | 03/21/23      | 0.00                | ...  | 0.00  | Zero proceeds / negative sale <sup>25</sup> |
|                                      | <b>Security total:</b> | <b>26.21</b>                                |               | <b>26.01</b>        | ...  | <b>0.20</b>   |   |
| Bitcoin / CUSIP: BTCUSD / Symbol:    |                        |   |               |                     |  |   |   |
| 03/23/23                             | 0.00092473             | 26.10                                       | 03/21/23      | 26.21               | ...  | -0.11   | Sale <sup>25</sup>                          |
| 06/15/23                             | 0.000103               | 2.60  | Various       | 2.86                | ...  | -0.26   | Total of 2 transactions                     |
| 06/17/23                             | 0.00019561             | 5.16  | 06/15/23      | 5.00                | ...  | 0.16  | Sale <sup>25</sup>                          |
| 09/18/23                             | 0.00034876             | 9.46  | 09/18/23      | 9.34                | ...  | 0.12  | Sale <sup>25</sup>                          |
| 09/29/23                             | 0.001471               | 39.37                                       | Various       | 39.99               | ...  | -0.62   | Total of 2 transactions                     |
|                                      | <b>Security total:</b> | <b>82.69</b>                                |               | <b>83.40</b>        | ...  | <b>-0.71</b>  |   |
| Shiba Inu / CUSIP: SHIBUSD / Symbol: |                        |   |               |                     |  |   |   |
| 06/20/23                             | 859,598.000            | 6.01  | 06/17/23      | 6.00                | ...  | 0.01  | 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 Crypto LLC

Account 564231967C

**Proceeds from Broker and Barter Exchange Transactions**

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

**SHORT TERM TRANSACTIONS FOR NONCOVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Line 5)**

Report on Form 8949, Part I with Box B checked. Basis is NOT provided to the IRS. (Line 12)

"Date acquired," "Cost or other basis," "Accrued market discount," "Wash sale loss disallowed" and "Gain or loss (-)" are NOT reported to the IRS.

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

| 1c- Date<br>sold or<br>disposed     | Quantity | 1d- Proceeds &<br>6- Reported<br>(G)ross or (N)et | Date<br>acquired | Cost or<br>other basis | Accrued mkt disc (D) &<br>Wash sale loss<br>disallowed (W) | Gain or loss(-) &<br>7- Loss not allowed (X)<br>also not reported (Z) | Additional information |
|-------------------------------------|----------|---|------------------|------------------------|--|---|------------------------|
| USD Coin / CUSIP: USDCUSD / Symbol: |          |   |                  |                        |  |   |                        |
| 03/01/23                            | 1.000    | 1.00  | 03/01/23         | 1.00                   | ...  | 0.00  | Sale <sup>25</sup>     |
| <b>Totals :</b>                     |          | <b>115.91</b>                                     |                  | <b>116.41</b>          |  | <b>-0.50</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 Markets Inc. as agent for  
Robinhood Crypto LLC

Account 564231967C

### Detail for Miscellaneous Information

2023

02/12/2024

| <u>Security description</u> | <u>CUSIP and/or symbol</u> | <u>Date</u> | <u>Amount</u> | <u>Transaction type</u>           | <u>Notes</u> |
|-----------------------------|----------------------------|-------------|---------------|-----------------------------------|--------------|
| Bitcoin                     | BTCUSD                     | 12/11/23    | 1.00          | Other income                      |              |
| USD Coin                    | USDCUSD                    | 03/01/23    | 1.00          | Other income                      |              |
|                             |                            |             | <b>2.00</b>   | <b>Total Miscellaneous income</b> |              |

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

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**Common Instructions for Recipient**

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

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

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

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

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

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

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

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

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040) 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) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040).

**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), or Pub. 550 for details.

**Instructions for Recipient**

**Line 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040) 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) 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 is generally 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) 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) as you may be able to report your transaction directly on Schedule D (Form 1040). 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 of Schedule 1 (Form 1040) 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.

Shows backup withholding or withholding on Indian gaming profits.

Generally, a payer must backup withhold if you did not furnish your TIN. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

**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.

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