



Abhijeet Shinde  
12215 Hunters Chase Dr  
Austin, TX 78729

**Master Account Number for Import:**  
126564913  
**Document ID for Import:**  
9KTM3RC8B03

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

126564913 - Robinhood Securities 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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<b>Robinhood Markets Inc. as agent for Robinhood Securities LLC</b> 85 Willow Road Menlo Park, CA 94025 Customer Service: 650-940-2700  PAYER'S TIN: 46-4364776	<b>Tax Information</b> <b>Account 126564913</b>  Abhijeet Shinde 12215 Hunters Chase Dr Austin, TX 78729  RECIPIENT'S TIN: XXX-XX-2071	Statement Date: 02/12/2024	2023
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**Summary Information**

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

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

Term	Form 8949 type	Proceeds	Cost basis	Market discount	Wash sale loss disallowed	Net gain or loss(-)
Short	A (basis reported to the IRS)	100,034.33	107,513.93	0.00	2,864.33	-4,615.27
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Short-term</b>	<b>100,034.33</b>	<b>107,513.93</b>	<b>0.00</b>	<b>2,864.33</b>	<b>-4,615.27</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>100,034.33</b>	<b>107,513.93</b>	<b>0.00</b>	<b>2,864.33</b>	<b>-4,615.27</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 Securities LLC  
 2023

Account 126564913

**Summary Information**  
 (continued)

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 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	5.00
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 126564913

## 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
AAPL 01/13/2023 PUT \$125.00 / CUSIP: / Symbol:							
01/10/23	1.000	97.98	01/09/23	60.00	...	37.98	Option sale to close-put <sup>25</sup>
01/11/23	2.000	35.96	Various	134.02	...	-98.06	Total of 2 transactions
01/11/23	1.000	17.98	01/09/23	60.00	42.02 W	0.00	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>151.92</b>		<b>254.02</b>	<b>42.02 W</b>	<b>-60.08</b>	
AAPL 09/15/2023 PUT \$175.00 / CUSIP: / Symbol:							
09/12/23	1.000	86.98	09/07/23	170.00	...	-83.02	Option sale to close-put <sup>25</sup>
AAPL 09/29/2023 PUT \$175.00 / CUSIP: / Symbol:							
09/26/23	2.000	629.96	Various	468.00	...	161.96	Total of 2 transactions
AAPL 11/03/2023 CALL \$170.00 / CUSIP: / Symbol:							
10/30/23	2.000	819.90	Various	610.06	...	209.84	Total of 2 transactions

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 126564913

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)

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AAPL 11/10/2023 PUT \$175.00 / CUSIP: / Symbol: 11/03/23	2.000	381.92	Various	546.06	...	-164.14	Total of 2 transactions
AAPL 11/10/2023 PUT \$182.50 / CUSIP: / Symbol: 11/08/23	10.000	1,369.66	Various	1,070.30	...	299.36	Total of 2 transactions
AAPL 12/08/2023 PUT \$195.00 / CUSIP: / Symbol: 12/08/23	1.000	53.95	12/07/23	103.03	...	-49.08	Option sale to close-put <sup>25</sup>
ADBE 12/15/2023 PUT \$585.00 / CUSIP: / Symbol: 12/15/23	2.000	474.90	Various	445.06	...	29.84	Total of 2 transactions
AFRM 10/13/2023 PUT \$20.00 / CUSIP: / Symbol: 10/11/23	1.000	79.98	10/10/23	56.00	...	23.98	Option sale to close-put <sup>25</sup>
AFRM 11/10/2023 PUT \$26.00 / CUSIP: / Symbol: 11/09/23	10.000	409.63	Various	560.30	...	-150.67	Total of 3 transactions
AFRM 12/08/2023 CALL \$40.00 / CUSIP: / Symbol: 12/06/23	3.000	524.89	Various	324.09	...	200.80	Total of 3 transactions
AFRM 12/22/2023 CALL \$50.00 / CUSIP: / Symbol: 12/22/23	30.000	449.02	Various	1,110.90	...	-661.88	Total of 3 transactions
AFRM 12/29/2023 CALL \$50.00 / CUSIP: / Symbol: 12/27/23	4.000	991.86	12/27/23	752.12	...	239.74	Option sale to close-call <sup>25</sup>
12/28/23	1.000	119.95	12/27/23	188.03	...	-68.08	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>1,111.81</b>		<b>940.15</b>	...	<b>171.66</b>	
AI 05/19/2023 CALL \$20.50 / CUSIP: / Symbol: 05/15/23	3.000	434.98	Various	255.00	...	179.98	Total of 3 transactions
AI 05/26/2023 CALL \$30.00 / CUSIP: / Symbol: 05/26/23	1.000	29.98	05/25/23	40.00	...	-10.02	Option sale to close-call <sup>25</sup>
AKRO 10/20/2023 CALL \$15.00 / CUSIP: / Symbol: 10/12/23	1.000	134.98	10/11/23	95.00	...	39.98	Option sale to close-call <sup>25</sup>

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Robinhood Markets Inc. as agent for  
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Account 126564913

**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)

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AKRO 11/17/2023 CALL \$20.00 / CUSIP: / Symbol: 10/10/23	5.000	924.98	Various	445.00	...	479.98	Total of 2 transactions
AMD 06/02/2023 CALL \$130.00 / CUSIP: / Symbol: 05/31/23	1.000	40.98	05/30/23	268.00	...	-227.02	Option sale to close-call <sup>25</sup>
AMZN 05/19/2023 PUT \$114.00 / CUSIP: / Symbol: 05/18/23	4.000	35.98	05/17/23	288.00	...	-252.02	Option sale to close-put <sup>25</sup>
AMZN 05/26/2023 PUT \$113.00 / CUSIP: / Symbol: 05/22/23	1.000	94.98	05/19/23	50.00	...	44.98	Option sale to close-put <sup>25</sup>
AMZN 09/29/2023 PUT \$128.00 / CUSIP: / Symbol: 09/26/23	1.000	104.98	09/22/23	122.00	...	-17.02	Option sale to close-put <sup>25</sup>
AMZN 10/06/2023 PUT \$127.00 / CUSIP: / Symbol: 10/05/23	2.000	510.96	Various	342.00	...	168.96	Total of 2 transactions
AMZN 10/20/2023 CALL \$133.00 / CUSIP: / Symbol: 10/18/23	1.000	38.98	10/13/23	145.00	...	-106.02	Option sale to close-call <sup>25</sup>
AMZN 12/08/2023 CALL \$146.00 / CUSIP: / Symbol: 12/06/23	1.000	146.95	12/06/23	183.03	...	-36.08	Option sale to close-call <sup>25</sup>
APPS 12/15/2023 CALL \$7.00 / CUSIP: / Symbol: 12/15/23	14.000	0.00	Various	274.42	...	-274.42	Total of 5 transactions
ASAN 01/19/2024 CALL \$20.00 / CUSIP: / Symbol: 12/06/23	1.000	144.95	12/06/23	110.03	...	34.92	Option sale to close-call <sup>25</sup>
ASAN 11/03/2023 CALL \$19.00 / CUSIP: / Symbol: 10/27/23	2.000	69.90	Various	120.06	...	-50.16	Total of 2 transactions
AVGO 10/13/2023 CALL \$910.00 / CUSIP: / Symbol: 10/12/23	1.000	679.98	10/12/23	530.00	...	149.98	Option sale to close-call <sup>25</sup>
AVGO 10/13/2023 PUT \$880.00 / CUSIP: / Symbol: 10/13/23	1.000	19.98	10/12/23	510.00	...	-490.02	Option sale to close-put <sup>25</sup>

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Robinhood Markets Inc. as agent for  
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Account 126564913

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)

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AVGO 11/24/2023 CALL \$1,000.00 / CUSIP: / Symbol:							
11/21/23	1.000	969.95	11/21/23	700.03	...	269.92	Option sale to close-call <sup>25</sup>
AVGO 12/01/2023 PUT \$900.00 / CUSIP: / Symbol:							
12/01/23	2.000	0.00	12/01/23	240.06	...	-240.06	Option expiration- long put
AVGO 12/01/2023 PUT \$930.00 / CUSIP: / Symbol:							
12/01/23	2.000	479.92	Various	680.06	...	-200.14	Total of 2 transactions
AVGO 12/01/2023 PUT \$950.00 / CUSIP: / Symbol:							
11/29/23	1.000	929.95	11/29/23	680.03	...	249.92	Option sale to close-put <sup>25</sup>
AVGO 12/15/2023 CALL \$1,100.00 / CUSIP: / Symbol:							
12/13/23	2.000	2,341.90	Various	1,520.06	...	821.84	Total of 2 transactions
AVGO 12/15/2023 CALL \$1,110.00 / CUSIP: / Symbol:							
12/14/23	1.000	1,149.95	12/14/23	900.03	...	249.92	Option sale to close-call <sup>25</sup>
AVGO 12/15/2023 PUT \$1,120.00 / CUSIP: / Symbol:							
12/15/23	1.000	184.95	12/15/23	380.03	...	-195.08	Option sale to close-put <sup>25</sup>
AVGO 12/15/2023 PUT \$1,140.00 / CUSIP: / Symbol:							
12/15/23	1.000	509.95	12/15/23	600.03	...	-90.08	Option sale to close-put <sup>25</sup>
AVGO 12/15/2023 PUT \$950.00 / CUSIP: / Symbol:							
12/11/23	1.000	154.95	12/11/23	490.03	...	-335.08	Option sale to close-put <sup>25</sup>
BABA 01/13/2023 PUT \$100.00 / CUSIP: / Symbol:							
01/09/23	1.000	39.98	01/05/23	177.00	...	-137.02	Option sale to close-put <sup>25</sup>
BILL 11/10/2023 PUT \$65.00 / CUSIP: / Symbol:							
11/06/23	10.000	1,849.66	Various	655.38	...	1,194.28	Total of 2 transactions
11/06/23	1.000	184.95	11/03/23	195.03	10.08 W	0.00	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>2,034.61</b>		<b>850.41</b>	<b>10.08 W</b>	<b>1,194.28</b>	
BLUE 01/20/2023 CALL \$7.50 / CUSIP: / Symbol:							
01/18/23	6.000	29.94	Various	330.00	...	-300.06	Total of 3 transactions

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 126564913

**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 05/26/2023 CALL \$63.00 / CUSIP: / Symbol:							
05/23/23	1.000	197.98	05/22/23	92.00	...	105.98	Option sale to close-call <sup>25</sup>
COIN 11/17/2023 CALL \$93.00 / CUSIP: / Symbol:							
11/13/23	5.000	1,474.82	11/13/23	955.15	...	519.67	Option sale to close-call <sup>25</sup>
11/14/23	1.000	384.95	11/14/23	270.03	...	114.92	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>1,859.77</b>		<b>1,225.18</b>	...	<b>634.59</b>	
COIN 12/08/2023 CALL \$140.00 / CUSIP: / Symbol:							
12/06/23	1.000	449.95	12/06/23	590.03	...	-140.08	Option sale to close-call <sup>25</sup>
COIN 12/22/2023 PUT \$165.00 / CUSIP: / Symbol:							
12/20/23	1.000	489.95	12/20/23	395.03	...	94.92	Option sale to close-put <sup>25</sup>
COIN 12/29/2023 CALL \$185.00 / CUSIP: / Symbol:							
12/28/23	1.000	319.95	12/28/23	190.03	...	129.92	Option sale to close-call <sup>25</sup>
CRM 12/01/2023 CALL \$250.00 / CUSIP: / Symbol:							
11/30/23	3.000	719.89	Various	532.09	...	187.80	Total of 2 transactions
DE 01/27/2023 PUT \$405.00 / CUSIP: / Symbol:							
01/27/23	3.000	11.98	Various	696.00	...	-684.02	Total of 2 transactions
DE 11/24/2023 PUT \$360.00 / CUSIP: / Symbol:							
11/24/23	1.000	0.00	11/22/23	27.03	...	-27.03	Option expiration- long put
DE 12/01/2023 PUT \$367.50 / CUSIP: / Symbol:							
12/01/23	1.000	99.95	12/01/23	114.03	...	-14.08	Option sale to close-put <sup>25</sup>
DE 12/08/2023 PUT \$370.00 / CUSIP: / Symbol:							
12/06/23	1.000	539.95	12/06/23	345.03	...	194.92	Option sale to close-put <sup>25</sup>
DE 12/15/2023 PUT \$390.00 / CUSIP: / Symbol:							
12/14/23	1.000	369.95	12/14/23	212.03	...	157.92	Option sale to close-put <sup>25</sup>
DE 12/29/2023 PUT \$400.00 / CUSIP: / Symbol:							
12/26/23	2.000	649.92	12/26/23	552.06	...	97.86	Option sale to close-put <sup>25</sup>

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Account 126564913

**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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ENPH 01/20/2023 CALL \$262.50 / CUSIP: / Symbol:							
01/18/23	1.000	324.98	01/17/23	163.00	...	161.98	Option sale to close-call <sup>25</sup>
ENPH 05/19/2023 CALL \$165.00 / CUSIP: / Symbol:							
05/17/23	2.000	259.98	Various	640.00	...	-380.02	Total of 2 transactions
ENPH 08/04/2023 PUT \$145.00 / CUSIP: / Symbol:							
08/02/23	2.000	984.96	Various	690.00	...	294.96	Total of 2 transactions
ENPH 08/11/2023 PUT \$135.00 / CUSIP: / Symbol:							
08/07/23	6.000	1,323.96	Various	714.00	...	609.96	Total of 6 transactions
ENPH 08/18/2023 PUT \$135.00 / CUSIP: / Symbol:							
08/16/23	4.000	603.98	08/15/23	928.00	...	-324.02	Option sale to close-put <sup>25</sup>
ENPH 10/20/2023 CALL \$125.00 / CUSIP: / Symbol:							
10/02/23	1.000	349.98	09/19/23	520.00	...	-170.02	Option sale to close-call <sup>25</sup>
ENPH 10/27/2023 CALL \$95.00 / CUSIP: / Symbol:							
10/26/23	1.000	834.95	10/24/23	570.03	...	264.92	Option sale to close-call <sup>25</sup>
ENPH 10/27/2023 PUT \$81.00 / CUSIP: / Symbol:							
10/27/23	1.000	143.95	10/27/23	67.03	...	76.92	Option sale to close-put <sup>25</sup>
ENPH 11/10/2023 CALL \$80.00 / CUSIP: / Symbol:							
11/02/23	2.000	686.90	Various	415.14	...	271.76	Total of 2 transactions
11/02/23	1.000	341.95	10/30/23	380.03	38.08 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>1,028.85</b>		<b>795.17</b>	<b>38.08 W</b>	<b>271.76</b>	
ENPH 12/01/2023 CALL \$100.00 / CUSIP: / Symbol:							
11/22/23	1.000	389.95	11/22/23	289.03	...	100.92	Option sale to close-call <sup>25</sup>
11/27/23	1.000	219.95	11/27/23	206.11	...	13.84	Option sale to close-call <sup>25</sup>
11/27/23	1.000	214.95	11/22/23	289.03	74.08 W	0.00	Option sale to close-call <sup>25</sup>
11/28/23	1.000	89.95	11/27/23	132.03	...	-42.08	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>914.80</b>		<b>916.20</b>	<b>74.08 W</b>	<b>72.68</b>	
HOOD 06/16/2023 CALL \$10.00 / CUSIP: / Symbol:							
06/12/23	3.000	14.98	Various	39.00	...	-24.02	Total of 2 transactions

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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)

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

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ILMN 08/18/2023 PUT \$170.00 / CUSIP: / Symbol: 08/15/23	6.000	899.92	Various	660.00	...	239.92	Total of 4 transactions
ILMN 11/03/2023 PUT \$105.00 / CUSIP: / Symbol: 11/01/23	1.000	94.95	10/30/23	295.03	...	-200.08	Option sale to close-put <sup>25</sup>
ISRG 05/26/2023 CALL \$305.00 / CUSIP: / Symbol: 05/25/23	1.000	39.98	05/23/23	200.00	...	-160.02	Option sale to close-call <sup>25</sup>
ISRG 07/28/2023 CALL \$330.00 / CUSIP: / Symbol: 07/25/23	3.000	764.96	Various	585.00	...	179.96	Total of 2 transactions
ISRG 10/20/2023 PUT \$255.00 / CUSIP: / Symbol: 10/20/23	2.000	0.00	Various	195.00	...	-195.00	Total of 2 transactions
LLY 10/13/2023 CALL \$605.00 / CUSIP: / Symbol: 10/11/23	2.000	1,339.97	10/11/23	920.00	...	419.97	Option sale to close-call <sup>25</sup>
LLY 10/20/2023 PUT \$580.00 / CUSIP: / Symbol: 10/13/23	1.000	309.98	10/11/23	410.00	...	-100.02	Option sale to close-put <sup>25</sup>
LLY 11/10/2023 CALL \$600.00 / CUSIP: / Symbol: 11/09/23	1.000	349.95	11/09/23	750.03	...	-400.08	Option sale to close-call <sup>25</sup>
LLY 12/15/2023 CALL \$600.00 / CUSIP: / Symbol: 12/14/23	1.000	79.95	12/14/23	180.03	...	-100.08	Option sale to close-call <sup>25</sup>
MDB 12/08/2023 PUT \$400.00 / CUSIP: / Symbol: 12/06/23	1.000	679.95	12/06/23	485.11	...	194.84	Option sale to close-put <sup>25</sup>
12/06/23	1.000	654.95	12/06/23	810.03	155.08 W	0.00	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>1,334.90</b>		<b>1,295.14</b>	<b>155.08 W</b>	<b>194.84</b>	
MDB 12/15/2023 CALL \$415.00 / CUSIP: / Symbol: 12/14/23	1.000	659.95	12/14/23	355.03	...	304.92	Option sale to close-call <sup>25</sup>
MDB 12/15/2023 CALL \$420.00 / CUSIP: / Symbol: 12/15/23	1.000	172.95	12/15/23	320.03	...	-147.08	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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META 09/01/2023 CALL \$275.00 / CUSIP: / Symbol:							
08/18/23	1.000	1,439.97	08/18/23	890.00	...	549.97	Option sale to close-call <sup>25</sup>
META 09/08/2023 CALL \$300.00 / CUSIP: / Symbol:							
09/06/23	2.000	894.96	Various	610.00	...	284.96	Total of 2 transactions
META 10/06/2023 PUT \$300.00 / CUSIP: / Symbol:							
09/29/23	1.000	299.95	09/26/23	790.00	...	-490.05	Option sale to close-put <sup>25</sup>
META 10/13/2023 CALL \$302.50 / CUSIP: / Symbol:							
10/05/23	1.000	844.98	10/05/23	610.00	...	234.98	Option sale to close-call <sup>25</sup>
META 12/22/2023 CALL \$355.00 / CUSIP: / Symbol:							
12/22/23	1.000	99.95	12/22/23	176.03	...	-76.08	Option sale to close-call <sup>25</sup>
META 12/22/2023 PUT \$352.50 / CUSIP: / Symbol:							
12/20/23	1.000	389.95	12/20/23	254.03	...	135.92	Option sale to close-put <sup>25</sup>
12/22/23	1.000	91.95	12/21/23	305.03	...	-213.08	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>481.90</b>		<b>559.06</b>	...	<b>-77.16</b>	
MSFT 07/28/2023 PUT \$335.00 / CUSIP: / Symbol:							
07/27/23	1.000	196.98	07/27/23	178.01	...	18.97	Option sale to close-put <sup>25</sup>
07/27/23	3.000	533.98	07/26/23	849.00	105.01 W	-210.01	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>730.96</b>		<b>1,027.01</b>	<b>105.01 W</b>	<b>-191.04</b>	
MSFT 10/06/2023 PUT \$320.00 / CUSIP: / Symbol:							
10/06/23	19.000	0.00	Various	962.00	...	-962.00	Total of 3 transactions
MSFT 11/24/2023 CALL \$370.00 / CUSIP: / Symbol:							
11/20/23	1.000	794.95	11/20/23	580.03	...	214.92	Option sale to close-call <sup>25</sup>
NFLX 01/06/2023 PUT \$290.00 / CUSIP: / Symbol:							
01/05/23	2.000	84.97	Various	602.01	...	-517.04	Total of 2 transactions
01/05/23	2.000	89.99	01/03/23	720.00	315.01 W	-315.00	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>174.96</b>		<b>1,322.01</b>	<b>315.01 W</b>	<b>-832.04</b>	
NFLX 01/27/2023 CALL \$350.00 / CUSIP: / Symbol:							
01/23/23	1.000	639.97	01/23/23	519.00	...	120.97	Option sale to close-call <sup>25</sup>

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Robinhood Markets Inc. as agent for  
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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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NFLX 08/25/2023 PUT \$395.00 / CUSIP: / Symbol:							
08/22/23	4.000	463.97	Various	1,202.01	...	-738.04	Total of 3 transactions
08/22/23	2.000	231.99	08/21/23	598.00	366.01 W	0.00	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>695.96</b>		<b>1,800.01</b>	<b>366.01 W</b>	<b>-738.04</b>	
NFLX 09/22/2023 PUT \$390.00 / CUSIP: / Symbol:							
09/21/23	1.000	539.98	09/21/23	370.00	...	169.98	Option sale to close-put <sup>25</sup>
NFLX 10/06/2023 CALL \$385.00 / CUSIP: / Symbol:							
10/04/23	2.000	339.98	10/03/23	1,030.00	...	-690.02	Option sale to close-call <sup>25</sup>
NFLX 10/06/2023 PUT \$380.00 / CUSIP: / Symbol:							
10/03/23	1.000	339.98	10/02/23	525.00	...	-185.02	Option sale to close-put <sup>25</sup>
NFLX 12/08/2023 PUT \$450.00 / CUSIP: / Symbol:							
12/05/23	1.000	389.95	12/05/23	237.03	...	152.92	Option sale to close-put <sup>25</sup>
NFLX 12/08/2023 PUT \$475.00 / CUSIP: / Symbol:							
11/29/23	1.000	639.95	11/29/23	510.03	...	129.92	Option sale to close-put <sup>25</sup>
NFLX 12/15/2023 CALL \$475.00 / CUSIP: / Symbol:							
12/14/23	1.000	136.95	12/14/23	496.11	...	-359.16	Option sale to close-call <sup>25</sup>
12/14/23	1.000	128.95	12/14/23	442.03	313.08 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>265.90</b>		<b>938.14</b>	<b>313.08 W</b>	<b>-359.16</b>	
NFLX 12/15/2023 PUT \$470.00 / CUSIP: / Symbol:							
12/13/23	1.000	203.95	12/13/23	409.03	...	-205.08	Option sale to close-put <sup>25</sup>
NFLX 12/22/2023 PUT \$480.00 / CUSIP: / Symbol:							
12/19/23	2.000	501.92	Various	790.06	...	-288.14	Total of 2 transactions
NKE 10/13/2023 CALL \$95.00 / CUSIP: / Symbol:							
10/03/23	2.000	417.96	Various	314.00	...	103.96	Total of 2 transactions
NKE 11/10/2023 CALL \$100.00 / CUSIP: / Symbol:							
11/02/23	1.000	344.95	10/26/23	235.03	...	109.92	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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NVDA 07/28/2023 PUT \$450.00 / CUSIP: / Symbol: 07/26/23	1.000	779.98	07/25/23	644.00	...	135.98	Option sale to close-put <sup>25</sup>
NVDA 08/04/2023 PUT \$450.00 / CUSIP: / Symbol: 08/03/23	1.000	544.98	08/02/23	1,000.00	...	-455.02	Option sale to close-put <sup>25</sup>
NVDA 08/18/2023 CALL \$420.00 / CUSIP: / Symbol: 08/18/23	4.000	899.98	Various	1,335.00	...	-435.02	Total of 2 transactions
NVDA 08/18/2023 CALL \$425.00 / CUSIP: / Symbol: 08/14/23	1.000	779.98	08/11/23	530.00	...	249.98	Option sale to close-call <sup>25</sup>
NVDA 08/18/2023 CALL \$440.00 / CUSIP: / Symbol: 08/17/23	1.000	334.98	08/16/23	520.00	...	-185.02	Option sale to close-call <sup>25</sup>
NVDA 09/01/2023 CALL \$480.00 / CUSIP: / Symbol: 09/01/23	1.000	609.98	09/01/23	380.00	...	229.98	Option sale to close-call <sup>25</sup>
NVDA 09/01/2023 CALL \$495.00 / CUSIP: / Symbol: 09/01/23	1.000	339.98	08/31/23	510.00	...	-170.02	Option sale to close-call <sup>25</sup>
NVDA 11/03/2023 PUT \$450.00 / CUSIP: / Symbol: 11/03/23	1.000	29.95	11/03/23	113.03	...	-83.08	Option sale to close-put <sup>25</sup>
NVDA 11/10/2023 PUT \$435.00 / CUSIP: / Symbol: 11/06/23	1.000	206.95	11/03/23	826.11	...	-619.16	Option sale to close-put <sup>25</sup>
11/06/23	1.000	213.95	11/03/23	640.03	426.08 W	0.00	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>420.90</b>		<b>1,466.14</b>	<b>426.08 W</b>	<b>-619.16</b>	
NVDA 11/10/2023 PUT \$480.00 / CUSIP: / Symbol: 11/10/23	1.000	499.95	11/10/23	380.03	...	119.92	Option sale to close-put <sup>25</sup>
NVDA 11/17/2023 CALL \$490.00 / CUSIP: / Symbol: 11/17/23	1.000	639.95	11/17/23	505.03	...	134.92	Option sale to close-call <sup>25</sup>
NVDA 11/17/2023 CALL \$500.00 / CUSIP: / Symbol: 11/16/23	6.000	629.80	Various	2,050.18	...	-1,420.38	Total of 4 transactions

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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
NVDA 11/24/2023 PUT \$477.50 / CUSIP: / Symbol:							
11/24/23	4.000	123.86	11/24/23	396.12	...	-272.26	Option sale to close-put <sup>25</sup>
NVDA 11/24/2023 PUT \$480.00 / CUSIP: / Symbol:							
11/24/23	5.000	805.79	Various	597.15	...	208.64	Total of 3 transactions
NVDA 12/01/2023 PUT \$465.00 / CUSIP: / Symbol:							
12/01/23	1.000	252.95	12/01/23	184.03	...	68.92	Option sale to close-put <sup>25</sup>
NVDA 12/01/2023 PUT \$480.00 / CUSIP: / Symbol:							
11/28/23	1.000	792.95	11/27/23	665.03	...	127.92	Option sale to close-put <sup>25</sup>
NVDA 12/08/2023 PUT \$460.00 / CUSIP: / Symbol:							
12/05/23	1.000	689.95	12/05/23	495.03	...	194.92	Option sale to close-put <sup>25</sup>
12/08/23	1.000	0.00	12/07/23	224.03	...	-224.03	Option expiration- long put
<b>Security total:</b>		<b>689.95</b>		<b>719.06</b>	...	<b>-29.11</b>	
NVDA 12/22/2023 CALL \$500.00 / CUSIP: / Symbol:							
12/19/23	1.000	594.95	12/19/23	480.03	...	114.92	Option sale to close-call <sup>25</sup>
12/20/23	1.000	449.95	12/19/23	480.03	...	-30.08	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>1,044.90</b>		<b>960.06</b>	...	<b>84.84</b>	
NVDA 12/29/2023 PUT \$500.00 / CUSIP: / Symbol:							
12/29/23	1.000	349.95	12/29/23	250.03	...	99.92	Option sale to close-put <sup>25</sup>
NVTA 01/19/2024 CALL \$1.00 / CUSIP: / Symbol:							
10/05/23	20.000	99.94	09/26/23	200.00	...	-100.06	Option sale to close-call <sup>25</sup>
OKTA 11/03/2023 CALL \$70.00 / CUSIP: / Symbol:							
10/24/23	2.000	749.90	Various	446.00	...	303.90	Total of 2 transactions
PACB 06/16/2023 CALL \$12.00 / CUSIP: / Symbol:							
06/01/23	1.000	109.98	05/31/23	60.00	...	49.98	Option sale to close-call <sup>25</sup>
QQQ 01/24/2023 PUT \$285.00 / CUSIP: / Symbol:							
01/24/23	1.000	55.98	01/23/23	144.00	...	-88.02	Option sale to close-put <sup>25</sup>

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 126564913

### 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
QQQ 06/02/2023 PUT \$340.00 / CUSIP: / Symbol: 05/30/23	6.000	275.98	Various	1,006.00	...	-730.02	Total of 2 transactions
QQQ 11/22/2023 PUT \$392.00 / CUSIP: / Symbol: 11/22/23	5.000	529.83	11/22/23	425.15	...	104.68	Option sale to close-put <sup>25</sup>
QQQ 12/15/2023 PUT \$405.00 / CUSIP: / Symbol: 12/15/23	12.000	419.60	Various	900.36	...	-480.76	Total of 3 transactions
QQQ 12/18/2023 PUT \$406.00 / CUSIP: / Symbol: 12/18/23	2.000	227.92	12/18/23	164.06	...	63.86	Option sale to close-put <sup>25</sup>
QQQ 12/28/2023 CALL \$412.78 / CUSIP: / Symbol: 12/28/23	10.000	209.65	Various	610.30	...	-400.65	Total of 2 transactions
ROKU 09/08/2023 CALL \$95.00 / CUSIP: / Symbol: 09/07/23	27.000	107.92	Various	1,770.00	...	-1,662.08	Total of 7 transactions
SNAP 02/03/2023 PUT \$10.00 / CUSIP: / Symbol: 02/03/23	1.000	0.00	02/01/23	10.00	...	-10.00	Option expiration- long put
SNOW 12/01/2023 CALL \$190.00 / CUSIP: / Symbol: 11/30/23	6.000	863.80	Various	591.18	...	272.62	Total of 3 transactions
SNOW 12/29/2023 CALL \$202.50 / CUSIP: / Symbol: 12/27/23	1.000	90.95	12/26/23	138.03	...	-47.08	Option sale to close-call <sup>25</sup>
SPY 01/09/2023 PUT \$391.00 / CUSIP: / Symbol: 01/09/23	2.000	121.98	01/09/23	180.00	...	-58.02	Option sale to close-put <sup>25</sup>
SPY 01/12/2023 CALL \$400.00 / CUSIP: / Symbol: 01/12/23	3.000	2.94	Various	63.00	...	-60.06	Total of 3 transactions
SPY 01/13/2023 CALL \$396.00 / CUSIP: / Symbol: 01/13/23	5.000	469.97	01/13/23	400.00	...	69.97	Option sale to close-call <sup>25</sup>
SPY 01/18/2023 CALL \$400.00 / CUSIP: / Symbol: 01/17/23	2.000	169.98	01/17/23	236.00	...	-66.02	Option sale to close-call <sup>25</sup>

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Account 126564913

**Proceeds from Broker and Barter Exchange Transactions**

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

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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
SPY 06/05/2023 PUT \$426.00 / CUSIP: / Symbol: 06/05/23	1.000	27.98	06/02/23	123.00	...	-95.02	Option sale to close-put <sup>25</sup>
SPY 08/07/2023 PUT \$448.00 / CUSIP: / Symbol: 08/07/23	20.000	1,479.93	08/07/23	1,000.00	...	479.93	Option sale to close-put <sup>25</sup>
SPY 08/07/2023 PUT \$450.00 / CUSIP: / Symbol: 08/04/23	6.000	881.98	08/04/23	534.00	...	347.98	Option sale to close-put <sup>25</sup>
SPY 08/14/2023 PUT \$447.00 / CUSIP: / Symbol: 08/14/23	13.000	1,221.96	Various	786.00	...	435.96	Total of 4 transactions
SPY 08/22/2023 PUT \$437.00 / CUSIP: / Symbol: 08/21/23	8.000	1,551.96	08/21/23	960.00	...	591.96	Option sale to close-put <sup>25</sup>
SPY 08/28/2023 PUT \$443.00 / CUSIP: / Symbol: 08/28/23	7.000	727.97	Various	819.00	...	-91.03	Total of 2 transactions
SPY 08/30/2023 PUT \$445.00 / CUSIP: / Symbol: 08/29/23	25.000	549.93	Various	1,870.00	...	-1,320.07	Total of 6 transactions
SPY 09/07/2023 PUT \$444.00 / CUSIP: / Symbol: 09/07/23	1.000	163.98	09/07/23	100.00	...	63.98	Option sale to close-put <sup>25</sup>
SPY 09/12/2023 PUT \$446.00 / CUSIP: / Symbol: 09/12/23	2.000	95.98	09/12/23	88.00	...	7.98	Option sale to close-put <sup>25</sup>
SPY 09/13/2023 PUT \$445.00 / CUSIP: / Symbol: 09/13/23	1.000	4.98	09/12/23	99.00	...	-94.02	Option sale to close-put <sup>25</sup>
SPY 09/22/2023 PUT \$440.00 / CUSIP: / Symbol: 09/19/23	4.000	625.96	Various	464.00	...	161.96	Total of 4 transactions
09/20/23	2.000	391.98	09/20/23	220.00	...	171.98	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>1,017.94</b>		<b>684.00</b>	...	<b>333.94</b>	
SPY 09/26/2023 CALL \$427.00 / CUSIP: / Symbol: 09/26/23	5.000	984.98	09/26/23	725.00	...	259.98	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)

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
SPY 09/29/2023 CALL \$447.00 / CUSIP: / Symbol:							
09/20/23	1.000	246.98	09/19/23	146.00	...	100.98	Option sale to close-call <sup>25</sup>
SPY 10/03/2023 PUT \$426.00 / CUSIP: / Symbol:							
10/03/23	7.000	1,035.94	Various	756.00	...	279.94	Total of 3 transactions
SPY 10/18/2023 CALL \$433.00 / CUSIP: / Symbol:							
10/18/23	5.000	619.98	10/18/23	455.00	...	164.98	Option sale to close-call <sup>25</sup>
SPY 10/20/2023 CALL \$430.00 / CUSIP: / Symbol:							
10/19/23	2.000	349.98	10/18/23	622.00	...	-272.02	Option sale to close-call <sup>25</sup>
SPY 10/24/2023 CALL \$424.00 / CUSIP: / Symbol:							
10/24/23	2.000	81.91	Various	193.13	...	-111.22	Total of 2 transactions
10/24/23	1.000	40.96	10/24/23	78.03	37.07 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>122.87</b>		<b>271.16</b>	<b>37.07 W</b>	<b>-111.22</b>	
SPY 11/02/2023 PUT \$427.00 / CUSIP: / Symbol:							
11/02/23	8.000	711.73	11/02/23	952.24	...	-240.51	Option sale to close-put <sup>25</sup>
SPY 11/03/2023 PUT \$433.00 / CUSIP: / Symbol:							
11/03/23	12.000	887.60	Various	822.52	...	65.08	Total of 5 transactions
11/03/23	2.000	147.90	Various	198.06	50.16 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,035.50</b>		<b>1,020.58</b>	<b>50.16 W</b>	<b>65.08</b>	
SPY 11/10/2023 PUT \$435.00 / CUSIP: / Symbol:							
11/10/23	5.000	494.83	11/10/23	400.15	...	94.68	Option sale to close-put <sup>25</sup>
SPY 11/13/2023 PUT \$439.00 / CUSIP: / Symbol:							
11/13/23	3.000	2.89	Various	90.09	...	-87.20	Total of 2 transactions
SPY 11/20/2023 CALL \$450.00 / CUSIP: / Symbol:							
11/20/23	1.000	179.95	11/17/23	124.03	...	55.92	Option sale to close-call <sup>25</sup>
SPY 11/20/2023 PUT \$452.00 / CUSIP: / Symbol:							
11/20/23	1.000	20.95	11/20/23	57.03	...	-36.08	Option sale to close-put <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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
SPY 11/28/2023 PUT \$455.00 / CUSIP: / Symbol: 11/28/23	7.000	314.76	11/28/23	434.21	...	-119.45	Option sale to close-put <sup>25</sup>
SPY 12/04/2023 PUT \$456.00 / CUSIP: / Symbol: 12/04/23	6.000	563.78	Various	422.18	...	141.60	Total of 3 transactions
SPY 12/04/2023 PUT \$458.00 / CUSIP: / Symbol: 12/04/23	5.000	1,213.79	Various	530.15	...	683.64	Total of 3 transactions
SPY 12/05/2023 PUT \$456.00 / CUSIP: / Symbol: 12/05/23	12.000	883.59	Various	714.36	...	169.23	Total of 4 transactions
SPY 12/07/2023 PUT \$457.00 / CUSIP: / Symbol: 12/07/23	24.000	191.21	Various	725.80	...	-534.59	Total of 6 transactions
12/07/23	1.000	7.95	12/07/23	93.03	85.08 W	0.00	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>199.16</b>		<b>818.83</b>	<b>85.08 W</b>	<b>-534.59</b>	
SPY 12/08/2023 PUT \$460.00 / CUSIP: / Symbol: 12/08/23	7.000	655.75	Various	647.21	...	8.54	Total of 2 transactions
SPY 12/11/2023 PUT \$460.00 / CUSIP: / Symbol: 12/11/23	4.000	123.86	12/11/23	220.12	...	-96.26	Option sale to close-put <sup>25</sup>
SPY 12/12/2023 PUT \$461.00 / CUSIP: / Symbol: 12/12/23	1.000	0.95	12/12/23	64.03	...	-63.08	Option sale to close-put <sup>25</sup>
SPY 12/18/2023 PUT \$470.00 / CUSIP: / Symbol: 12/18/23	10.000	219.67	12/18/23	330.30	...	-110.63	Option sale to close-put <sup>25</sup>
SPY 12/18/2023 PUT \$472.00 / CUSIP: / Symbol: 12/18/23	6.000	683.78	Various	468.18	...	215.60	Total of 2 transactions
SPY 12/19/2023 PUT \$473.00 / CUSIP: / Symbol: 12/19/23	3.000	36.87	Various	180.09	...	-143.22	Total of 2 transactions
SPY 12/20/2023 PUT \$475.00 / CUSIP: / Symbol: 12/20/23	10.000	499.67	12/20/23	450.30	...	49.37	Option sale to close-put <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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SPY 12/21/2023 CALL \$472.00 / CUSIP: / Symbol: 12/21/23	1.000	101.95	12/20/23	35.03	...	66.92	Option sale to close-call <sup>25</sup>
SPY 12/21/2023 PUT \$470.00 / CUSIP: / Symbol: 12/21/23	10.000	939.67	Various	665.30	...	274.37	Total of 3 transactions
SPY 12/21/2023 PUT \$471.00 / CUSIP: / Symbol: 12/21/23	10.000	979.62	Various	780.30	...	199.32	Total of 4 transactions
SPY 12/22/2023 PUT \$471.00 / CUSIP: / Symbol: 12/22/23	1.000	12.95	12/21/23	79.03	...	-66.08	Option sale to close-put <sup>25</sup>
SPY 12/27/2023 PUT \$476.00 / CUSIP: / Symbol: 12/27/23	1.000	80.95	12/27/23	27.03	...	53.92	Option sale to close-put <sup>25</sup>
TSLA 01/20/2023 PUT \$128.00 / CUSIP: / Symbol: 01/19/23	2.000	659.97	01/19/23	370.00	...	289.97	Option sale to close-put <sup>25</sup>
TSLA 08/11/2023 CALL \$250.00 / CUSIP: / Symbol: 08/09/23	2.000	324.97	Various	734.01	...	-409.04	Total of 2 transactions
08/09/23	1.000	161.99	08/07/23	420.00	258.01 W	0.00	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>486.96</b>		<b>1,154.01</b>	<b>258.01 W</b>	<b>-409.04</b>	
TSLA 09/01/2023 CALL \$220.00 / CUSIP: / Symbol: 08/21/23	2.000	1,919.96	Various	1,240.00	...	679.96	Total of 2 transactions
TSLA 09/01/2023 CALL \$235.00 / CUSIP: / Symbol: 08/28/23	1.000	859.98	08/22/23	695.00	...	164.98	Option sale to close-call <sup>25</sup>
TSLA 09/29/2023 PUT \$255.00 / CUSIP: / Symbol: 09/29/23	1.000	489.98	09/29/23	305.03	...	184.95	Option sale to close-put <sup>25</sup>
TSLA 10/20/2023 CALL \$220.00 / CUSIP: / Symbol: 10/20/23	1.000	129.98	10/19/23	310.00	...	-180.02	Option sale to close-call <sup>25</sup>
TSLA 10/20/2023 CALL \$255.00 / CUSIP: / Symbol: 10/18/23	1.000	449.98	10/13/23	880.00	...	-430.02	Option sale to close-call <sup>25</sup>

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### Proceeds from Broker and Barter Exchange Transactions

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02/12/2024

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TSLA 11/24/2023 CALL \$240.00 / CUSIP: / Symbol:							
11/22/23	1.000	71.95	11/22/23	120.03	...	-48.08	Option sale to close-call <sup>25</sup>
TSLA 11/24/2023 PUT \$237.50 / CUSIP: / Symbol:							
11/21/23	1.000	171.95	11/21/23	288.03	...	-116.08	Option sale to close-put <sup>25</sup>
TSLA 12/01/2023 CALL \$240.00 / CUSIP: / Symbol:							
11/30/23	1.000	639.95	11/30/23	455.03	...	184.92	Option sale to close-call <sup>25</sup>
TSLA 12/08/2023 PUT \$235.00 / CUSIP: / Symbol:							
12/05/23	1.000	242.95	12/05/23	404.10	...	-161.15	Option sale to close-put <sup>25</sup>
12/05/23	2.000	485.92	Various	880.06	394.14 W	0.00	Total of 2 transactions
12/06/23	1.000	107.95	12/05/23	329.10	...	-221.15	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>836.82</b>		<b>1,613.26</b>	<b>394.14 W</b>	<b>-382.30</b>	
TSLA 12/15/2023 PUT \$245.00 / CUSIP: / Symbol:							
12/14/23	1.000	119.95	12/14/23	276.03	...	-156.08	Option sale to close-put <sup>25</sup>
TSLA 12/29/2023 CALL \$265.00 / CUSIP: / Symbol:							
12/29/23	2.000	0.00	12/28/23	370.06	...	-370.06	Option expiration- long call
TSLA 12/29/2023 PUT \$250.00 / CUSIP: / Symbol:							
12/29/23	6.000	1,424.76	Various	876.18	...	548.58	Total of 4 transactions
U 06/09/2023 CALL \$37.50 / CUSIP: / Symbol:							
06/08/23	3.000	35.98	06/07/23	273.00	...	-237.02	Option sale to close-call <sup>25</sup>
U 06/09/2023 CALL \$40.00 / CUSIP: / Symbol:							
06/07/23	6.000	269.96	Various	108.00	...	161.96	Total of 6 transactions
UCAR 06/16/2023 CALL \$10.00 / CUSIP: / Symbol:							
06/06/23	2.000	99.98	06/05/23	210.00	...	-110.02	Option sale to close-call <sup>25</sup>
VTYX 11/17/2023 CALL \$2.50 / CUSIP: / Symbol:							
11/14/23	12.000	119.60	Various	745.70	...	-626.10	Total of 3 transactions
11/14/23	8.000	84.71	Various	400.24	195.34 W	-120.19	Total of 2 transactions
	<b>Security total:</b>	<b>204.31</b>		<b>1,145.94</b>	<b>195.34 W</b>	<b>-746.29</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 Securities LLC

Account 126564913

**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)

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
C3.AI, INC. / CUSIP: 12468P104 / Symbol:							
09/06/23	25.000	775.55	Various	772.00	...	3.55	Total of 2 transactions
CHEWY, INC. / CUSIP: 16679L109 / Symbol:							
12/11/23	100.000	1,989.97	Various	1,740.00	...	249.97	Total of 2 transactions
ESPORTS ENTERTAINMENT GROUP IN C. COMMON STOCK / CUSIP: 29667K603 / Symbol:							
12/22/23	99.000	930.58	12/22/23	692.01	...	238.57	Sale <sup>25</sup>
FIRST WAVE BIOPHARMA, INC. COM MON STOCK / CUSIP: 33749P408 / Symbol:							
12/27/23	70.000	498.29	12/27/23	608.97	...	-110.68	Sale <sup>25</sup>
LUCID GROUP, INC. COMMON STOCK / CUSIP: 549498103 / Symbol:							
08/18/23	150.000	924.74	08/07/23	947.55	...	-22.81	Sale <sup>25</sup>
RIVIAN AUTOMOTIVE, INC. CLASS A COMMON STOCK / CUSIP: 76954A103 / Symbol:							
08/29/23	50.000	1,100.15	Various	1,057.29	...	42.86	Total of 2 transactions
VISTAGEN THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 92840H400 / Symbol:							
08/08/23	40.000	414.40	08/07/23	543.60	...	-129.20	Sale <sup>25</sup>
<b>Totals :</b>		<b>100,034.33</b>		<b>107,513.93</b>	<b>2,864.33 W</b>	<b>-4,615.27</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 Securities LLC

Account 126564913

## 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	01/09/23	-5.00	Subscription expense	
			<b>-5.00</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.

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