



Sivaji Muggari  
3562 Rocking Horse Ct  
Dublin, CA 94568

**Master Account Number for Import:**  
536103989  
**Document ID for Import:**  
6DCB79XMK37

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

536103989 - 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 536103989</b>	<b>Statement Date: 02/12/2024</b>	<b>2023</b>
	Sivaji Muggari 3562 Rocking Horse Ct Dublin, CA 94568  RECIPIENT'S TIN: XXX-XX-8429		

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

DIVIDENDS AND DISTRIBUTIONS		2023 1099-DIV*	OMB No. 1545-0110	MISCELLANEOUS INFORMATION		2023 1099-MISC*	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5, 2e)		0.17		2- Royalties		0.00	
1b- Qualified dividends		0.00		3- Other income		0.00	
2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)		0.00		<b>4- Federal income tax withheld</b>		<b>0.00</b>	
2b- Unrecaptured Section 1250 gain		0.00		8- Substitute payments in lieu of dividends or interest		0.00	
2c- Section 1202 gain		0.00					
2d- Collectibles (28%) gain		0.00		<b>SECTION 1256 CONTRACTS</b>		<b>2023 1099-B*</b>	OMB No. 1545-0715
2e- Section 897 ordinary dividends		0.00		8- Profit or (loss) realized in 2023 on closed contracts		0.00	
2f- Section 897 capital gain		0.00		9- Unrealized profit or (loss) on open contracts-12/31/2022		0.00	
3- Nondividend distributions		0.00		10- Unrealized profit or (loss) on open contracts-12/31/2023		0.00	
<b>4- Federal income tax withheld</b>		<b>0.00</b>		11- Aggregate profit or (loss) on contracts		0.00	
5- Section 199A dividends		0.00					
6- Investment expenses		0.00		<i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i>			
8- Foreign country or US possession: See detail	7- Foreign tax paid:	0.03		<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>			
9- Cash liquidation distributions		0.00					
10- Noncash liquidation distributions		0.00					
12- Exempt-interest dividends (includes line 13)		0.00					
13- Specified private activity bond interest dividends (AMT)		0.00					

**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)	176,134.08	228,399.86	0.00	26,439.57	-25,826.21
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>176,134.08</b>	<b>228,399.86</b>	<b>0.00</b>	<b>26,439.57</b>	<b>-25,826.21</b>
Long	D (basis reported to the IRS)	101.41	137.90	0.00	5.57	-30.92
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>101.41</b>	<b>137.90</b>	<b>0.00</b>	<b>5.57</b>	<b>-30.92</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>176,235.49</b>	<b>228,537.76</b>	<b>0.00</b>	<b>26,445.14</b>	<b>-25,857.13</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 536103989

**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)	2.23	
2- Early withdrawal penalty	0.00	
3- Interest on US Savings Bonds & Treasury obligations	0.00	
<b>4- Federal income tax withheld</b>	<b>0.00</b>	
5- Investment expenses	0.00	
7- Foreign country or US possession:	0.00	6- Foreign tax paid:
8- Tax-exempt interest (includes line 9)	0.00	
9- Specified private activity bond interest (AMT)	0.00	
10- Market discount (covered lots)	0.00	
11- Bond premium (covered lots)	0.00	
12- Bond premium on Treasury obligations (covered lots)	0.00	
13- Bond premium on tax-exempt bonds (categorized below)	0.00	
<i>Tax-exempt obligations (covered lots)</i>	0.00	
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00	
14- Tax-exempt and tax credit bond CUSIP number		See detail
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	27.28
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	45.00
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 536103989

## 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
AAL 09/15/2023 CALL \$15.00 / CUSIP: / Symbol:							
09/08/23	50.000	99.75	Various	1,280.19	...	-1,180.44	Total of 18 transactions
09/08/23	50.000	99.81	Various	2,335.15	2,235.34 W	0.00	Total of 17 transactions
<b>Security total:</b>		<b>199.56</b>		<b>3,615.34</b>	<b>2,235.34 W</b>	<b>-1,180.44</b>	
ABBV 09/15/2023 CALL \$150.00 / CUSIP: / Symbol:							
09/08/23	2.000	195.96	Various	170.00	...	25.96	Total of 2 transactions
ABT 07/21/2023 CALL \$110.00 / CUSIP: / Symbol:							
07/18/23	5.000	319.98	Various	368.06	...	-48.08	Total of 4 transactions
07/18/23	5.000	319.94	Various	377.05	57.11 W	0.00	Total of 4 transactions
<b>Security total:</b>		<b>639.92</b>		<b>745.11</b>	<b>57.11 W</b>	<b>-48.08</b>	
ABT 07/28/2023 CALL \$108.00 / CUSIP: / Symbol:							
07/20/23	3.000	1,214.98	07/18/23	462.00	...	752.98	Option sale to close-call <sup>25</sup>

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Robinhood Markets Inc. as agent for  
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Account 536103989

### 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)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
ACAD 08/18/2023 CALL \$29.00 / CUSIP: / Symbol: 08/02/23	1.000	125.98	07/28/23	120.00	...	5.98	Option sale to close-call <sup>25</sup>
AFRM 08/04/2023 CALL \$18.00 / CUSIP: / Symbol: 07/31/23	3.000	404.96	Various	147.00	...	257.96	Total of 2 transactions
AGNC 09/01/2023 CALL \$10.00 / CUSIP: / Symbol: 09/01/23	73.000	72.81	Various	362.00	...	-289.19	Total of 16 transactions
AGNC 09/15/2023 CALL \$10.00 / CUSIP: / Symbol: 08/29/23	200.000	2,999.31	Various	1,100.00	...	1,899.31	Total of 22 transactions
AI 07/14/2023 CALL \$42.50 / CUSIP: / Symbol: 07/07/23	4.000	627.96	Various	360.00	...	267.96	Total of 2 transactions
AI 07/14/2023 CALL \$43.00 / CUSIP: / Symbol: 07/07/23	20.000	3,399.92	Various	1,780.00	...	1,619.92	Total of 2 transactions
AI 07/21/2023 CALL \$47.50 / CUSIP: / Symbol: 07/11/23	15.000	1,124.95	Various	798.00	...	326.95	Total of 6 transactions
AI 07/21/2023 CALL \$51.00 / CUSIP: / Symbol: 07/10/23	11.000	340.96	07/07/23	407.00	...	-66.04	Option sale to close-call <sup>25</sup>
AI 07/28/2023 CALL \$45.00 / CUSIP: / Symbol: 07/18/23	3.000	419.98	Various	612.01	...	-192.03	Total of 2 transactions
07/18/23	5.000	699.98	Various	990.00	174.01 W	-116.01	Total of 2 transactions
<b>Security total:</b>		<b>1,119.96</b>		<b>1,602.01</b>	<b>174.01 W</b>	<b>-308.04</b>	
AI 08/04/2023 CALL \$50.00 / CUSIP: / Symbol: 07/25/23	10.000	299.97	07/18/23	1,150.00	...	-850.03	Option sale to close-call <sup>25</sup>
ALB 08/25/2023 CALL \$205.00 / CUSIP: / Symbol: 08/16/23	5.000	224.98	Various	723.00	...	-498.02	Total of 4 transactions
AMBA 08/04/2023 CALL \$82.00 / CUSIP: / Symbol: 07/31/23	1.000	249.98	07/28/23	100.00	...	149.98	Option sale to close-call <sup>25</sup>

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 536103989

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
AMC 08/04/2023 CALL \$4.50 / CUSIP: / Symbol:							
08/01/23	10.000	469.95	Various	330.00	...	139.95	Total of 2 transactions
AMC 08/04/2023 CALL \$6.00 / CUSIP: / Symbol:							
07/26/23	7.000	135.96	Various	260.01	...	-124.05	Total of 3 transactions
07/26/23	8.000	159.98	07/25/23	248.00	22.01 W	-66.01	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>295.94</b>		<b>508.01</b>	<b>22.01 W</b>	<b>-190.06</b>	
AMD 08/25/2023 CALL \$116.00 / CUSIP: / Symbol:							
08/14/23	1.000	128.98	08/10/23	280.00	...	-151.02	Option sale to close-call <sup>25</sup>
AMD 09/08/2023 CALL \$107.00 / CUSIP: / Symbol:							
08/30/23	5.000	1,314.96	Various	1,050.00	...	264.96	Total of 3 transactions
AMD 09/15/2023 CALL \$112.00 / CUSIP: / Symbol:							
09/01/23	2.000	361.98	08/30/23	342.00	...	19.98	Option sale to close-call <sup>25</sup>
AMGN 07/21/2023 CALL \$230.00 / CUSIP: / Symbol:							
07/12/23	2.000	269.98	Various	186.00	...	83.98	Total of 2 transactions
APLS 08/18/2023 CALL \$50.00 / CUSIP: / Symbol:							
07/21/23	3.000	539.98	07/20/23	435.00	...	104.98	Option sale to close-call <sup>25</sup>
APPS 09/22/2023 CALL \$8.50 / CUSIP: / Symbol:							
09/18/23	2.000	1.98	Various	50.00	48.02 W	0.00	Total of 2 transactions
09/22/23	48.000	0.00	Various	494.02	...	-494.02	Total of 12 transactions
	<b>Security total:</b>	<b>1.98</b>		<b>544.02</b>	<b>48.02 W</b>	<b>-494.02</b>	
ARKK 07/21/2023 CALL \$45.00 / CUSIP: / Symbol:							
07/07/23	10.000	789.90	Various	600.00	...	189.90	Total of 5 transactions
ARWR 07/21/2023 CALL \$35.00 / CUSIP: / Symbol:							
07/12/23	2.000	189.96	Various	150.00	...	39.96	Total of 2 transactions
ASAN 08/04/2023 CALL \$25.00 / CUSIP: / Symbol:							
08/01/23	20.000	399.94	Various	1,036.00	...	-636.06	Total of 7 transactions

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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)**

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
ASAN 08/18/2023 CALL \$25.00 / CUSIP: / Symbol:							
08/10/23	12.000	59.96	Various	880.12	...	-820.16	Total of 8 transactions
08/10/23	17.000	84.88	Various	1,200.09	1,115.21 W	0.00	Total of 10 transactions
	<b>Security total:</b>	<b>144.84</b>		<b>2,080.21</b>	<b>1,115.21 W</b>	<b>-820.16</b>	
BBY 07/21/2023 CALL \$82.00 / CUSIP: / Symbol:							
07/17/23	10.000	679.97	Various	770.00	...	-90.03	Total of 3 transactions
BC 07/21/2023 CALL \$85.00 / CUSIP: / Symbol:							
07/18/23	1.000	179.98	07/17/23	105.00	...	74.98	Option sale to close-call <sup>25</sup>
BIIB 07/21/2023 CALL \$290.00 / CUSIP: / Symbol:							
07/14/23	6.000	359.98	Various	1,044.00	...	-684.02	Total of 3 transactions
BIIB 07/21/2023 CALL \$300.00 / CUSIP: / Symbol:							
07/07/23	2.000	299.98	Various	426.00	126.02 W	0.00	Total of 2 transactions
07/12/23	5.000	154.97	Various	917.07	...	-762.10	Total of 4 transactions
07/12/23	5.000	158.95	Various	1,437.09	1,278.14 W	0.00	Total of 5 transactions
	<b>Security total:</b>	<b>613.90</b>		<b>2,780.16</b>	<b>1,404.16 W</b>	<b>-762.10</b>	
BLDR 08/18/2023 CALL \$165.00 / CUSIP: / Symbol:							
08/02/23	1.000	154.98	08/01/23	140.00	...	14.98	Option sale to close-call <sup>25</sup>
BYND 08/11/2023 CALL \$18.50 / CUSIP: / Symbol:							
08/01/23	1.000	123.98	07/31/23	145.00	...	-21.02	Option sale to close-call <sup>25</sup>
BYRN 07/21/2023 CALL \$5.00 / CUSIP: / Symbol:							
07/11/23	10.000	119.97	07/10/23	400.00	...	-280.03	Option sale to close-call <sup>25</sup>
CCL 09/15/2023 CALL \$15.00 / CUSIP: / Symbol:							
09/05/23	10.000	599.97	09/05/23	470.00	...	129.97	Option sale to close-call <sup>25</sup>
CI 09/01/2023 PUT \$262.50 / CUSIP: / Symbol:							
08/21/23	4.000	263.96	Various	908.01	...	-644.05	Total of 3 transactions
08/21/23	3.000	197.98	08/18/23	540.00	228.01 W	-114.01	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>461.94</b>		<b>1,448.01</b>	<b>228.01 W</b>	<b>-758.06</b>	

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 536103989

**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
CNC 08/04/2023 CALL \$68.00 / CUSIP: / Symbol: 07/31/23	2.000	159.98	07/28/23	80.00	...	79.98	Option sale to close-call <sup>25</sup>
CNC 08/11/2023 CALL \$70.00 / CUSIP: / Symbol: 08/02/23	5.000	174.98	Various	228.00	...	-53.02	Total of 3 transactions
COIN 08/25/2023 CALL \$87.00 / CUSIP: / Symbol: 08/16/23	1.000	134.98	08/16/23	142.00	...	-7.02	Option sale to close-call <sup>25</sup>
COIN 09/08/2023 CALL \$80.00 / CUSIP: / Symbol: 08/22/23	3.000	884.98	08/18/23	885.00	...	-0.02	Option sale to close-call <sup>25</sup>
COIN 09/08/2023 CALL \$83.00 / CUSIP: / Symbol: 08/29/23	7.000	2,624.91	Various	996.00	...	1,628.91	Total of 5 transactions
COIN 09/08/2023 CALL \$93.00 / CUSIP: / Symbol: 08/18/23	5.000	559.98	Various	620.00	...	-60.02	Total of 2 transactions
COST 08/25/2023 CALL \$552.50 / CUSIP: / Symbol: 08/22/23	3.000	149.98	Various	473.00	...	-323.02	Total of 3 transactions
CPNG 08/25/2023 CALL \$20.00 / CUSIP: / Symbol: 08/16/23	8.000	47.94	Various	262.01	...	-214.07	Total of 5 transactions
08/16/23	5.000	29.98	08/10/23	195.00	66.01 W	-99.01	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>77.92</b>		<b>457.01</b>	<b>66.01 W</b>	<b>-313.08</b>	
CPNG 09/15/2023 CALL \$19.50 / CUSIP: / Symbol: 08/29/23	7.000	111.97	Various	329.03	...	-217.06	Total of 4 transactions
08/29/23	13.000	207.95	Various	455.00	114.03 W	-133.02	Total of 2 transactions
	<b>Security total:</b>	<b>319.92</b>		<b>784.03</b>	<b>114.03 W</b>	<b>-350.08</b>	
CPNG 09/22/2023 CALL \$19.00 / CUSIP: / Symbol: 08/31/23	10.000	559.97	08/29/23	400.00	...	159.97	Option sale to close-call <sup>25</sup>
09/01/23	10.000	539.97	Various	375.00	...	164.97	Total of 2 transactions
	<b>Security total:</b>	<b>1,099.94</b>		<b>775.00</b>	...	<b>324.94</b>	
CRM 08/25/2023 CALL \$240.00 / CUSIP: / Symbol: 07/11/23	1.000	304.98	07/10/23	189.00	...	115.98	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

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CROX 08/11/2023 CALL \$107.00 / CUSIP: / Symbol: 07/28/23	2.000	539.98	07/27/23	430.00	...	109.98	Option sale to close-call <sup>25</sup>
CRSP 08/18/2023 CALL \$65.00 / CUSIP: / Symbol: 07/13/23	2.000	409.98	07/07/23	270.00	...	139.98	Option sale to close-call <sup>25</sup>
CSIQ 08/11/2023 CALL \$38.00 / CUSIP: / Symbol: 08/11/23	10.000	0.00	Various	311.00	...	-311.00	Total of 3 transactions
CVNA 08/04/2023 CALL \$45.00 / CUSIP: / Symbol: 07/31/23	1.000	263.98	07/28/23	265.00	...	-1.02	Option sale to close-call <sup>25</sup>
CVS 08/11/2023 CALL \$76.00 / CUSIP: / Symbol: 08/02/23	2.000	335.98	08/01/23	212.00	...	123.98	Option sale to close-call <sup>25</sup>
CVS 08/25/2023 CALL \$66.00 / CUSIP: / Symbol: 08/18/23	5.000	899.98	08/17/23	540.00	...	359.98	Option sale to close-call <sup>25</sup>
CZR 08/04/2023 CALL \$59.00 / CUSIP: / Symbol: 08/02/23	1.000	24.98	07/28/23	170.00	...	-145.02	Option sale to close-call <sup>25</sup>
DAL 09/22/2023 CALL \$41.50 / CUSIP: / Symbol: 09/08/23	2.000	145.98	09/07/23	160.00	...	-14.02	Option sale to close-call <sup>25</sup>
DEN 08/18/2023 CALL \$90.00 / CUSIP: / Symbol: 08/02/23	2.000	59.98	07/28/23	140.00	...	-80.02	Option sale to close-call <sup>25</sup>
DFS 09/01/2023 CALL \$91.00 / CUSIP: / Symbol: 08/18/23	2.000	599.98	08/16/23	550.00	...	49.98	Option sale to close-call <sup>25</sup>
DHI 07/28/2023 CALL \$136.00 / CUSIP: / Symbol: 07/21/23	5.000	49.98	Various	515.00	...	-465.02	Total of 2 transactions
DIS 09/08/2023 CALL \$86.00 / CUSIP: / Symbol: 08/28/23	11.000	615.96	Various	495.00	...	120.96	Total of 2 transactions
DOCN 07/21/2023 CALL \$45.00 / CUSIP: / Symbol: 07/11/23	3.000	1,049.94	Various	675.00	...	374.94	Total of 3 transactions

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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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DOCN 08/18/2023 CALL \$60.00 / CUSIP: / Symbol:							
07/17/23	2.000	149.98	07/11/23	180.00	...	-30.02	Option sale to close-call <sup>25</sup>
DOW 07/28/2023 CALL \$54.00 / CUSIP: / Symbol:							
07/20/23	5.000	374.92	Various	257.00	...	117.92	Total of 4 transactions
07/25/23	5.000	489.98	07/19/23	300.00	...	189.98	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>864.90</b>		<b>557.00</b>	...	<b>307.90</b>	
DOW 07/28/2023 CALL \$56.00 / CUSIP: / Symbol:							
07/25/23	10.000	29.97	Various	135.02	...	-105.05	Total of 2 transactions
07/25/23	5.000	14.98	07/24/23	50.00	35.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>44.95</b>		<b>185.02</b>	<b>35.02 W</b>	<b>-105.05</b>	
ELAN 07/21/2023 CALL \$12.00 / CUSIP: / Symbol:							
07/19/23	20.000	206.89	Various	300.00	...	-93.11	Total of 5 transactions
ELS 07/21/2023 CALL \$70.00 / CUSIP: / Symbol:							
07/18/23	5.000	24.98	Various	285.00	...	-260.02	Total of 3 transactions
ELV 07/21/2023 PUT \$415.00 / CUSIP: / Symbol:							
07/18/23	10.000	746.88	Various	650.00	...	96.88	Total of 6 transactions
ELV 08/04/2023 CALL \$480.00 / CUSIP: / Symbol:							
07/27/23	1.000	299.98	07/26/23	270.00	...	29.98	Option sale to close-call <sup>25</sup>
ELV 08/11/2023 CALL \$470.00 / CUSIP: / Symbol:							
08/10/23	2.000	389.98	08/10/23	350.00	...	39.98	Option sale to close-call <sup>25</sup>
ELV 08/18/2023 CALL \$485.00 / CUSIP: / Symbol:							
08/10/23	20.000	2,399.93	Various	1,680.00	...	719.93	Total of 9 transactions
ENPH 08/25/2023 CALL \$145.00 / CUSIP: / Symbol:							
08/08/23	1.000	229.98	08/07/23	242.00	...	-12.02	Option sale to close-call <sup>25</sup>
EPC 08/18/2023 CALL \$45.00 / CUSIP: / Symbol:							
07/25/23	10.000	249.97	Various	450.00	...	-200.03	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)**

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ETSY 09/15/2023 CALL \$75.00 / CUSIP: / Symbol:							
08/29/23	1.000	161.98	08/22/23	546.04	...	-384.06	Option sale to close-call <sup>25</sup>
08/29/23	2.000	323.96	Various	828.02	504.06 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>485.94</b>		<b>1,374.06</b>	<b>504.06 W</b>	<b>-384.06</b>	
ETSY 09/15/2023 CALL \$82.00 / CUSIP: / Symbol:							
08/25/23	1.000	44.98	08/23/23	70.00	...	-25.02	Option sale to close-call <sup>25</sup>
FSR 08/04/2023 CALL \$7.50 / CUSIP: / Symbol:							
07/27/23	15.000	104.94	Various	869.07	...	-764.13	Total of 6 transactions
07/27/23	20.000	142.92	Various	919.02	708.09 W	-68.01	Total of 8 transactions
	<b>Security total:</b>	<b>247.86</b>		<b>1,788.09</b>	<b>708.09 W</b>	<b>-832.14</b>	
FSR 08/11/2023 CALL \$7.00 / CUSIP: / Symbol:							
08/04/23	11.000	76.95	Various	274.02	...	-197.07	Total of 3 transactions
08/04/23	4.000	27.98	07/27/23	80.00	39.02 W	-13.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>104.93</b>		<b>354.02</b>	<b>39.02 W</b>	<b>-210.07</b>	
GE 09/08/2023 CALL \$117.00 / CUSIP: / Symbol:							
09/05/23	13.000	142.96	Various	1,288.10	...	-1,145.14	Total of 10 transactions
09/05/23	17.000	186.90	Various	1,314.06	1,127.16 W	0.00	Total of 10 transactions
	<b>Security total:</b>	<b>329.86</b>		<b>2,602.16</b>	<b>1,127.16 W</b>	<b>-1,145.14</b>	
GNRC 08/11/2023 CALL \$170.00 / CUSIP: / Symbol:							
08/11/23	1.000	0.00	08/01/23	250.00	...	-250.00	Option expiration- long call
HOG 07/28/2023 CALL \$38.00 / CUSIP: / Symbol:							
07/19/23	2.000	219.98	Various	140.00	...	79.98	Total of 2 transactions
HOOD 07/21/2023 CALL \$12.50 / CUSIP: / Symbol:							
07/18/23	10.000	399.97	Various	310.00	...	89.97	Total of 3 transactions
HOOD 07/28/2023 CALL \$13.00 / CUSIP: / Symbol:							
07/26/23	12.000	95.96	Various	606.08	...	-510.12	Total of 6 transactions
07/26/23	8.000	63.92	Various	484.05	420.13 W	0.00	Total of 7 transactions
	<b>Security total:</b>	<b>159.88</b>		<b>1,090.13</b>	<b>420.13 W</b>	<b>-510.12</b>	

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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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HOOD 08/04/2023 CALL \$14.00 / CUSIP: / Symbol:							
08/01/23	20.000	599.94	Various	660.00	...	-60.06	Total of 9 transactions
HOOD 08/11/2023 CALL \$14.00 / CUSIP: / Symbol:							
08/03/23	7.000	20.96	Various	329.00	...	-308.04	Total of 2 transactions
08/03/23	8.000	23.97	08/01/23	344.00	40.00 W	-280.03	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>44.93</b>		<b>673.00</b>	<b>40.00 W</b>	<b>-588.07</b>	
HUM 08/04/2023 CALL \$480.00 / CUSIP: / Symbol:							
07/28/23	10.000	3,199.95	Various	1,295.00	...	1,904.95	Total of 3 transactions
HUM 08/04/2023 CALL \$490.00 / CUSIP: / Symbol:							
07/31/23	10.000	2,799.95	Various	2,080.00	...	719.95	Total of 6 transactions
HUM 08/11/2023 CALL \$500.00 / CUSIP: / Symbol:							
08/07/23	15.000	4,499.92	Various	2,950.00	...	1,549.92	Total of 2 transactions
HUM 08/11/2023 CALL \$515.00 / CUSIP: / Symbol:							
08/04/23	15.000	449.95	Various	905.00	...	-455.05	Total of 2 transactions
HUM 08/18/2023 CALL \$505.00 / CUSIP: / Symbol:							
08/09/23	5.000	1,249.98	08/07/23	1,850.00	600.02 W	0.00	Option sale to close-call <sup>25</sup>
08/10/23	10.000	2,399.96	Various	4,150.02	...	-1,750.06	Total of 2 transactions
	<b>Security total:</b>	<b>3,649.94</b>		<b>6,000.02</b>	<b>600.02 W</b>	<b>-1,750.06</b>	
HUM 08/18/2023 CALL \$515.00 / CUSIP: / Symbol:							
08/11/23	25.000	1,624.92	Various	2,175.00	...	-550.08	Total of 8 transactions
HUM 08/25/2023 CALL \$525.00 / CUSIP: / Symbol:							
08/15/23	25.000	1,124.93	Various	2,040.00	...	-915.07	Total of 2 transactions
HUM 09/01/2023 CALL \$525.00 / CUSIP: / Symbol:							
08/17/23	25.000	2,499.92	Various	2,375.00	...	124.92	Total of 4 transactions
IIPR 07/21/2023 CALL \$75.00 / CUSIP: / Symbol:							
07/12/23	1.000	309.98	07/11/23	163.00	...	146.98	Option sale to close-call <sup>25</sup>

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INTC 09/08/2023 CALL \$34.50 / CUSIP: / Symbol:							
08/31/23	12.000	683.96	Various	658.00	...	25.96	Total of 5 transactions
JETS 07/28/2023 CALL \$21.50 / CUSIP: / Symbol:							
07/19/23	10.000	719.95	Various	510.00	...	209.95	Total of 4 transactions
JETS 08/18/2023 CALL \$21.50 / CUSIP: / Symbol:							
08/02/23	3.000	35.98	Various	96.00	...	-60.02	Total of 2 transactions
JKS 08/04/2023 CALL \$43.00 / CUSIP: / Symbol:							
08/01/23	1.000	19.98	07/28/23	75.00	...	-55.02	Option sale to close-call <sup>25</sup>
JPM 08/04/2023 CALL \$155.00 / CUSIP: / Symbol:							
07/17/23	5.000	674.98	Various	545.00	...	129.98	Total of 2 transactions
LAZR 07/28/2023 CALL \$7.00 / CUSIP: / Symbol:							
07/26/23	10.000	199.89	Various	620.04	...	-420.15	Total of 7 transactions
07/26/23	10.000	199.96	Various	460.00	260.04 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>399.85</b>		<b>1,080.04</b>	<b>260.04 W</b>	<b>-420.15</b>	
LAZR 08/11/2023 CALL \$7.50 / CUSIP: / Symbol:							
08/01/23	15.000	959.89	Various	620.00	...	339.89	Total of 6 transactions
08/09/23	17.000	16.95	Various	230.00	...	-213.05	Total of 2 transactions
	<b>Security total:</b>	<b>976.84</b>		<b>850.00</b>	...	<b>126.84</b>	
LAZR 08/11/2023 CALL \$8.50 / CUSIP: / Symbol:							
08/09/23	31.000	30.90	Various	868.06	...	-837.16	Total of 11 transactions
08/09/23	16.000	15.88	Various	664.10	594.21 W	-54.01	Total of 11 transactions
08/11/23	3.000	0.00	Various	192.05	...	-192.05	Total of 2 transactions
	<b>Security total:</b>	<b>46.78</b>		<b>1,724.21</b>	<b>594.21 W</b>	<b>-1,083.22</b>	
LAZR 08/11/2023 PUT \$6.50 / CUSIP: / Symbol:							
08/09/23	6.000	185.98	08/08/23	216.00	...	-30.02	Option sale to close-put <sup>25</sup>

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

(continued)

02/12/2024

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LCID 08/04/2023 CALL \$7.00 / CUSIP: / Symbol:							
07/31/23	15.000	884.93	Various	639.01	...	245.92	Total of 7 transactions
07/31/23	5.000	294.99	Various	314.00	19.01 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,179.92</b>		<b>953.01</b>	<b>19.01 W</b>	<b>245.92</b>	
LCID 08/11/2023 CALL \$7.00 / CUSIP: / Symbol:							
08/09/23	14.000	279.96	Various	1,106.02	...	-826.06	Total of 9 transactions
08/09/23	6.000	113.98	Various	528.00	414.02 W	0.00	Total of 3 transactions
	<b>Security total:</b>	<b>393.94</b>		<b>1,634.02</b>	<b>414.02 W</b>	<b>-826.06</b>	
LMND 09/22/2023 CALL \$15.00 / CUSIP: / Symbol:							
09/06/23	2.000	49.98	Various	74.00	...	-24.02	Total of 2 transactions
LMT 07/21/2023 CALL \$460.00 / CUSIP: / Symbol:							
06/29/23	1.000	659.98	06/28/23	440.00	...	219.98	Option sale to close-call <sup>25</sup>
LMT 07/28/2023 CALL \$465.00 / CUSIP: / Symbol:							
07/25/23	6.000	221.98	Various	1,987.02	...	-1,765.04	Total of 4 transactions
07/25/23	5.000	184.98	Various	1,347.00	1,162.02 W	0.00	Total of 3 transactions
	<b>Security total:</b>	<b>406.96</b>		<b>3,334.02</b>	<b>1,162.02 W</b>	<b>-1,765.04</b>	
LMT 08/04/2023 CALL \$460.00 / CUSIP: / Symbol:							
08/01/23	8.000	199.92	Various	665.03	...	-465.11	Total of 5 transactions
08/01/23	14.000	349.95	Various	1,265.02	755.05 W	-160.02	Total of 4 transactions
	<b>Security total:</b>	<b>549.87</b>		<b>1,930.05</b>	<b>755.05 W</b>	<b>-625.13</b>	
LMT 08/04/2023 CALL \$470.00 / CUSIP: / Symbol:							
07/31/23	15.000	164.95	Various	1,110.05	...	-945.10	Total of 6 transactions
07/31/23	15.000	164.95	Various	850.00	685.05 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>329.90</b>		<b>1,960.05</b>	<b>685.05 W</b>	<b>-945.10</b>	
LMT 08/11/2023 CALL \$460.00 / CUSIP: / Symbol:							
07/26/23	1.000	388.98	07/25/23	211.00	...	177.98	Option sale to close-call <sup>25</sup>
LMT 08/11/2023 CALL \$465.00 / CUSIP: / Symbol:							
08/07/23	10.000	99.97	08/01/23	550.00	...	-450.03	Option sale to close-call <sup>25</sup>

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 536103989

### 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
LVS 07/21/2023 CALL \$60.00 / CUSIP: / Symbol:							
07/12/23	2.000	219.98	07/11/23	162.00	...	57.98	Option sale to close-call <sup>25</sup>
LYFT 07/28/2023 CALL \$12.00 / CUSIP: / Symbol:							
07/26/23	20.000	299.94	Various	440.00	...	-140.06	Total of 3 transactions
LYFT 08/04/2023 CALL \$12.50 / CUSIP: / Symbol:							
07/27/23	2.000	125.98	07/26/23	54.00	...	71.98	Option sale to close-call <sup>25</sup>
07/31/23	10.000	559.96	Various	270.00	...	289.96	Total of 5 transactions
	<b>Security total:</b>	<b>685.94</b>		<b>324.00</b>	...	<b>361.94</b>	
LYFT 08/11/2023 CALL \$13.50 / CUSIP: / Symbol:							
08/09/23	12.000	11.96	Various	1,012.06	...	-1,000.10	Total of 5 transactions
08/09/23	8.000	7.94	Various	864.02	856.08 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>19.90</b>		<b>1,876.08</b>	<b>856.08 W</b>	<b>-1,000.10</b>	
MARA 09/08/2023 CALL \$14.00 / CUSIP: / Symbol:							
09/05/23	50.000	249.85	Various	1,587.10	...	-1,337.25	Total of 12 transactions
09/05/23	50.000	249.85	Various	1,738.04	1,182.14 W	-306.05	Total of 11 transactions
	<b>Security total:</b>	<b>499.70</b>		<b>3,325.14</b>	<b>1,182.14 W</b>	<b>-1,643.30</b>	
MARA 09/15/2023 CALL \$14.50 / CUSIP: / Symbol:							
09/07/23	60.000	359.84	Various	820.00	...	-460.16	Total of 5 transactions
MARA 09/29/2023 CALL \$15.00 / CUSIP: / Symbol:							
09/20/23	65.000	129.83	Various	1,577.13	...	-1,447.30	Total of 12 transactions
09/20/23	30.000	59.87	Various	1,020.08	960.21 W	0.00	Total of 9 transactions
	<b>Security total:</b>	<b>189.70</b>		<b>2,597.21</b>	<b>960.21 W</b>	<b>-1,447.30</b>	
MCD 09/01/2023 CALL \$290.00 / CUSIP: / Symbol:							
08/23/23	20.000	499.88	Various	907.35	...	-407.47	Total of 10 transactions
08/23/23	30.000	761.65	Various	2,794.65	2,033.00 W	0.00	Total of 25 transactions
	<b>Security total:</b>	<b>1,261.53</b>		<b>3,702.00</b>	<b>2,033.00 W</b>	<b>-407.47</b>	
MMM 09/15/2023 CALL \$108.00 / CUSIP: / Symbol:							
09/08/23	5.000	199.94	Various	240.00	...	-40.06	Total of 3 transactions

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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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MP 08/18/2023 CALL \$30.00 / CUSIP: / Symbol:							
07/24/23	6.000	59.98	Various	263.02	...	-203.04	Total of 3 transactions
07/24/23	9.000	89.97	Various	281.00	179.02 W	-12.01	Total of 2 transactions
	<b>Security total:</b>	<b>149.95</b>		<b>544.02</b>	<b>179.02 W</b>	<b>-215.05</b>	
MRK 08/04/2023 CALL \$113.00 / CUSIP: / Symbol:							
08/01/23	16.000	191.95	Various	1,099.08	...	-907.13	Total of 8 transactions
08/01/23	4.000	47.92	Various	734.06	686.14 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>239.87</b>		<b>1,833.14</b>	<b>686.14 W</b>	<b>-907.13</b>	
MRNA 09/08/2023 CALL \$120.00 / CUSIP: / Symbol:							
08/29/23	10.000	1,569.94	Various	950.00	...	619.94	Total of 4 transactions
MRNA 09/29/2023 CALL \$135.00 / CUSIP: / Symbol:							
09/18/23	54.000	269.86	Various	2,845.00	...	-2,575.14	Total of 8 transactions
MTCH 08/04/2023 CALL \$50.00 / CUSIP: / Symbol:							
07/13/23	3.000	464.98	07/11/23	252.00	...	212.98	Option sale to close-call <sup>25</sup>
MU 09/08/2023 CALL \$68.00 / CUSIP: / Symbol:							
08/31/23	6.000	1,469.97	Various	603.00	...	866.97	Total of 2 transactions
NFLX 08/04/2023 CALL \$480.00 / CUSIP: / Symbol:							
07/25/23	5.000	354.96	Various	625.00	...	-270.04	Total of 2 transactions
NIO 09/15/2023 CALL \$13.00 / CUSIP: / Symbol:							
07/24/23	10.000	899.92	Various	580.00	...	319.92	Total of 4 transactions
NKLA 07/14/2023 PUT \$1.50 / CUSIP: / Symbol:							
07/14/23	30.000	0.00	Various	60.00	...	-60.00	Total of 4 transactions
NOW 08/04/2023 CALL \$590.00 / CUSIP: / Symbol:							
07/31/23	1.000	469.98	07/28/23	185.00	...	284.98	Option sale to close-call <sup>25</sup>
NVAX 08/25/2023 PUT \$8.50 / CUSIP: / Symbol:							
08/23/23	3.000	68.98	Various	54.00	...	14.98	Total of 2 transactions

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**Proceeds from Broker and Barter Exchange Transactions**

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(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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NVDA 08/04/2023 CALL \$490.00 / CUSIP: / Symbol:							
08/01/23	4.000	623.98	Various	798.00	...	-174.02	Total of 3 transactions
NVDA 09/08/2023 CALL \$525.00 / CUSIP: / Symbol:							
09/05/23	4.000	159.98	Various	612.00	...	-452.02	Total of 3 transactions
O 08/18/2023 CALL \$62.50 / CUSIP: / Symbol:							
08/02/23	4.000	99.98	Various	160.00	...	-60.02	Total of 4 transactions
PANW 07/14/2023 CALL \$240.00 / CUSIP: / Symbol:							
07/13/23	3.000	329.98	07/12/23	369.00	...	-39.02	Option sale to close-call <sup>25</sup>
PCG 09/22/2023 CALL \$16.50 / CUSIP: / Symbol:							
09/07/23	5.000	256.92	Various	125.00	...	131.92	Total of 4 transactions
PFE 09/15/2023 CALL \$36.00 / CUSIP: / Symbol:							
09/01/23	15.000	584.94	Various	540.00	...	44.94	Total of 3 transactions
PFE 09/29/2023 CALL \$41.00 / CUSIP: / Symbol:							
08/29/23	40.000	159.89	08/24/23	280.00	120.11 W	0.00	Option sale to close-call <sup>25</sup>
09/05/23	115.000	229.70	Various	809.22	...	-579.52	Total of 9 transactions
09/05/23	45.000	89.89	08/24/23	315.00	220.11 W	-5.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>479.48</b>		<b>1,404.22</b>	<b>340.22 W</b>	<b>-584.52</b>	
PG 09/15/2023 CALL \$155.00 / CUSIP: / Symbol:							
09/07/23	5.000	354.96	Various	149.00	...	205.96	Total of 4 transactions
PGR 07/21/2023 CALL \$140.00 / CUSIP: / Symbol:							
07/21/23	20.000	0.00	Various	675.00	...	-675.00	Total of 4 transactions
PGR 08/18/2023 CALL \$125.00 / CUSIP: / Symbol:							
07/14/23	14.000	419.96	07/13/23	910.00	...	-490.04	Option sale to close-call <sup>25</sup>
PHM 07/28/2023 CALL \$85.00 / CUSIP: / Symbol:							
07/26/23	20.000	659.94	Various	935.00	...	-275.06	Total of 7 transactions
PHM 08/04/2023 CALL \$86.00 / CUSIP: / Symbol:							
07/27/23	20.000	2,599.92	Various	1,250.00	...	1,349.92	Total of 5 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)**

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PHM 08/04/2023 CALL \$88.00 / CUSIP: / Symbol: 07/28/23	20.000	499.94	Various	1,040.00	...	-540.06	Total of 8 transactions
PINS 09/01/2023 CALL \$28.00 / CUSIP: / Symbol: 08/23/23	15.000	539.92	Various	517.00	...	22.92	Total of 6 transactions
PINS 09/15/2023 CALL \$29.00 / CUSIP: / Symbol: 08/29/23	14.000	307.86	Various	548.00	...	-240.14	Total of 8 transactions
08/29/23	1.000	22.00	08/23/23	38.00	16.00 W	0.00	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>329.86</b>		<b>586.00</b>	<b>16.00 W</b>	<b>-240.14</b>	
PLD 07/21/2023 CALL \$125.00 / CUSIP: / Symbol: 07/13/23	5.000	999.98	Various	440.00	...	559.98	Total of 2 transactions
PLTR 08/04/2023 CALL \$19.50 / CUSIP: / Symbol: 08/02/23	36.000	971.82	Various	864.00	...	107.82	Total of 11 transactions
PLTR 08/11/2023 CALL \$20.00 / CUSIP: / Symbol: 08/01/23	20.000	3,519.92	Various	1,065.00	...	2,454.92	Total of 3 transactions
PLTR 08/11/2023 CALL \$21.50 / CUSIP: / Symbol: 08/07/23	22.000	769.91	Various	1,948.08	...	-1,178.17	Total of 10 transactions
08/07/23	42.000	1,469.89	Various	2,970.04	1,340.12 W	-160.03	Total of 12 transactions
<b>Security total:</b>		<b>2,239.80</b>		<b>4,918.12</b>	<b>1,340.12 W</b>	<b>-1,338.20</b>	
PLTR 08/11/2023 CALL \$23.00 / CUSIP: / Symbol: 08/04/23	35.000	1,154.90	Various	3,885.10	...	-2,730.20	Total of 12 transactions
08/04/23	35.000	1,154.90	Various	2,745.00	1,590.10 W	0.00	Total of 8 transactions
<b>Security total:</b>		<b>2,309.80</b>		<b>6,630.10</b>	<b>1,590.10 W</b>	<b>-2,730.20</b>	
PLTR 08/18/2023 CALL \$20.00 / CUSIP: / Symbol: 08/09/23	39.000	350.89	Various	2,960.03	...	-2,609.14	Total of 4 transactions
08/09/23	7.000	62.97	08/07/23	504.00	441.03 W	0.00	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>413.86</b>		<b>3,464.03</b>	<b>441.03 W</b>	<b>-2,609.14</b>	
PSMT 07/21/2023 CALL \$80.00 / CUSIP: / Symbol: 07/11/23	10.000	1,999.96	Various	750.00	...	1,249.96	Total of 3 transactions

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### Proceeds from Broker and Barter Exchange Transactions

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

(continued)

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PSNY 08/04/2023 CALL \$5.00 / CUSIP: / Symbol:							
07/13/23	10.000	269.94	Various	280.00	...	-10.06	Total of 3 transactions
PYPL 08/11/2023 CALL \$90.00 / CUSIP: / Symbol:							
07/26/23	5.000	149.92	Various	265.01	...	-115.09	Total of 4 transactions
07/26/23	10.000	299.97	07/13/23	450.00	75.01 W	-75.02	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>449.89</b>		<b>715.01</b>	<b>75.01 W</b>	<b>-190.11</b>	
QQQ 07/21/2023 PUT \$372.00 / CUSIP: / Symbol:							
07/17/23	5.000	309.98	Various	360.00	...	-50.02	Total of 2 transactions
QQQ 07/24/2023 PUT \$375.00 / CUSIP: / Symbol:							
07/19/23	10.000	299.95	Various	600.00	...	-300.05	Total of 2 transactions
QQQ 08/31/2023 PUT \$372.00 / CUSIP: / Symbol:							
08/30/23	5.000	229.98	Various	590.00	...	-360.02	Total of 2 transactions
RBLX 09/22/2023 CALL \$30.00 / CUSIP: / Symbol:							
09/08/23	10.000	459.97	Various	480.00	...	-20.03	Total of 6 transactions
RIG 08/04/2023 CALL \$9.00 / CUSIP: / Symbol:							
07/12/23	5.000	89.98	Various	122.00	...	-32.02	Total of 4 transactions
RIOT 09/15/2023 CALL \$13.00 / CUSIP: / Symbol:							
09/07/23	24.000	359.93	Various	886.15	...	-526.22	Total of 12 transactions
09/07/23	36.000	539.85	Various	1,280.12	740.27 W	0.00	Total of 12 transactions
	<b>Security total:</b>	<b>899.78</b>		<b>2,166.27</b>	<b>740.27 W</b>	<b>-526.22</b>	
RIOT 09/29/2023 CALL \$13.50 / CUSIP: / Symbol:							
09/29/23	67.000	0.00	Various	1,422.00	...	-1,422.00	Total of 10 transactions
RIVN 07/28/2023 CALL \$25.00 / CUSIP: / Symbol:							
07/19/23	1.000	138.98	07/17/23	100.00	...	38.98	Option sale to close-call <sup>25</sup>
RIVN 08/04/2023 CALL \$28.50 / CUSIP: / Symbol:							
07/20/23	4.000	283.96	Various	212.00	...	71.96	Total of 4 transactions
07/20/23	1.000	71.00	07/19/23	74.00	3.00 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>354.96</b>		<b>286.00</b>	<b>3.00 W</b>	<b>71.96</b>	

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ROKU 09/08/2023 CALL \$81.00 / CUSIP: / Symbol: 08/31/23	3.000	749.98	08/30/23	570.00	...	179.98	Option sale to close-call <sup>25</sup>
ROKU 09/22/2023 CALL \$85.00 / CUSIP: / Symbol: 09/01/23	3.000	743.98	08/31/23	795.00	...	-51.02	Option sale to close-call <sup>25</sup>
RTX 08/04/2023 CALL \$87.00 / CUSIP: / Symbol: 08/01/23	1.000	101.98	07/28/23	85.00	...	16.98	Option sale to close-call <sup>25</sup>
RTX 08/11/2023 CALL \$83.00 / CUSIP: / Symbol: 07/25/23	1.000	344.98	07/25/23	151.00	...	193.98	Option sale to close-call <sup>25</sup>
RTX 08/11/2023 CALL \$90.00 / CUSIP: / Symbol: 08/07/23	10.000	29.97	Various	209.00	...	-179.03	Total of 6 transactions
RUN 08/04/2023 CALL \$22.00 / CUSIP: / Symbol: 07/13/23	5.000	409.92	Various	240.00	...	169.92	Total of 4 transactions
SBUX 08/11/2023 CALL \$104.00 / CUSIP: / Symbol: 08/02/23	3.000	302.94	Various	477.00	...	-174.06	Total of 3 transactions
SHAK 08/04/2023 CALL \$76.00 / CUSIP: / Symbol: 07/31/23	1.000	356.98	07/28/23	290.00	...	66.98	Option sale to close-call <sup>25</sup>
SHAK 08/11/2023 CALL \$81.00 / CUSIP: / Symbol: 08/02/23	2.000	239.98	07/31/23	350.00	...	-110.02	Option sale to close-call <sup>25</sup>
SHOP 07/28/2023 CALL \$70.00 / CUSIP: / Symbol: 07/19/23	5.000	744.98	Various	456.00	...	288.98	Total of 4 transactions
SHOP 08/04/2023 CALL \$75.00 / CUSIP: / Symbol: 07/27/23	5.000	604.98	07/19/23	950.00	...	-345.02	Option sale to close-call <sup>25</sup>
SLB 07/21/2023 CALL \$56.00 / CUSIP: / Symbol: 07/12/23	2.000	349.96	Various	160.00	...	189.96	Total of 2 transactions

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Robinhood Markets Inc. as agent for  
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Account 536103989

### 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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SNAP 09/08/2023 CALL \$9.00 / CUSIP: / Symbol:							
08/18/23	5.000	236.92	Various	280.00	43.08 W	0.00	Total of 4 transactions
08/22/23	10.000	639.96	Various	590.08	...	49.88	Total of 6 transactions
	<b>Security total:</b>	<b>876.88</b>		<b>870.08</b>	<b>43.08 W</b>	<b>49.88</b>	
SNOW 08/04/2023 CALL \$220.00 / CUSIP: / Symbol:							
07/27/23	5.000	9.98	Various	569.00	...	-559.02	Total of 2 transactions
SONO 08/18/2023 CALL \$17.50 / CUSIP: / Symbol:							
08/02/23	1.000	84.98	07/28/23	105.00	...	-20.02	Option sale to close-call <sup>25</sup>
SPCE 08/18/2023 CALL \$5.00 / CUSIP: / Symbol:							
08/02/23	15.000	149.93	Various	315.00	...	-165.07	Total of 3 transactions
SPLK 07/21/2023 CALL \$108.00 / CUSIP: / Symbol:							
07/13/23	1.000	194.98	07/11/23	121.00	...	73.98	Option sale to close-call <sup>25</sup>
SPLK 07/28/2023 CALL \$114.00 / CUSIP: / Symbol:							
07/21/23	15.000	449.95	Various	1,569.00	...	-1,119.05	Total of 4 transactions
SPLK 08/11/2023 CALL \$115.00 / CUSIP: / Symbol:							
07/25/23	5.000	299.98	07/21/23	500.00	...	-200.02	Option sale to close-call <sup>25</sup>
SPY 07/14/2023 CALL \$445.00 / CUSIP: / Symbol:							
07/06/23	16.000	1,759.91	Various	1,472.00	...	287.91	Total of 6 transactions
SPY 07/14/2023 CALL \$450.00 / CUSIP: / Symbol:							
07/06/23	34.000	917.91	Various	883.05	...	34.86	Total of 5 transactions
07/06/23	16.000	351.95	Various	460.00	108.05 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,269.86</b>		<b>1,343.05</b>	<b>108.05 W</b>	<b>34.86</b>	
SPY 07/21/2023 CALL \$449.00 / CUSIP: / Symbol:							
07/11/23	5.000	319.98	Various	330.02	...	-10.04	Total of 5 transactions
07/11/23	5.000	319.98	Various	410.00	90.02 W	0.00	Total of 5 transactions
	<b>Security total:</b>	<b>639.96</b>		<b>740.02</b>	<b>90.02 W</b>	<b>-10.04</b>	
SPY 09/01/2023 PUT \$446.00 / CUSIP: / Symbol:							
08/30/23	5.000	279.98	08/29/23	575.00	...	-295.02	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

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02/12/2024

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SPY 09/11/2023 PUT \$446.00 / CUSIP: / Symbol:							
08/31/23	5.000	619.98	08/31/23	500.00	...	119.98	Option sale to close-put <sup>25</sup>
T 09/08/2023 CALL \$14.50 / CUSIP: / Symbol:							
09/05/23	25.000	549.93	Various	600.00	...	-50.07	Total of 2 transactions
T 09/08/2023 CALL \$15.00 / CUSIP: / Symbol:							
09/01/23	153.000	611.62	Various	1,460.00	...	-848.38	Total of 24 transactions
TDOC 07/28/2023 CALL \$29.00 / CUSIP: / Symbol:							
07/21/23	10.000	339.97	Various	920.00	...	-580.03	Total of 4 transactions
TDOC 08/04/2023 CALL \$26.00 / CUSIP: / Symbol:							
07/26/23	5.000	924.94	Various	485.00	...	439.94	Total of 4 transactions
TDOC 09/08/2023 CALL \$24.00 / CUSIP: / Symbol:							
08/29/23	15.000	224.95	Various	888.00	...	-663.05	Total of 4 transactions
TGTX 07/14/2023 CALL \$26.00 / CUSIP: / Symbol:							
07/12/23	5.000	174.98	Various	258.00	...	-83.02	Total of 2 transactions
TMUS 07/28/2023 CALL \$146.00 / CUSIP: / Symbol:							
07/12/23	2.000	317.98	Various	186.00	...	131.98	Total of 2 transactions
TSLA 07/28/2023 CALL \$300.00 / CUSIP: / Symbol:							
07/24/23	25.000	674.93	Various	1,765.00	...	-1,090.07	Total of 3 transactions
TSLA 08/04/2023 CALL \$282.50 / CUSIP: / Symbol:							
08/01/23	5.000	199.98	07/27/23	385.00	...	-185.02	Option sale to close-call <sup>25</sup>
TSLA 08/04/2023 CALL \$305.00 / CUSIP: / Symbol:							
07/27/23	10.000	169.92	Various	1,402.03	...	-1,232.11	Total of 8 transactions
07/27/23	15.000	254.95	Various	1,796.02	1,121.05 W	-420.02	Total of 6 transactions
<b>Security total:</b>		<b>424.87</b>		<b>3,198.05</b>	<b>1,121.05 W</b>	<b>-1,652.13</b>	

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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 08/11/2023 CALL \$292.50 / CUSIP: / Symbol:							
08/04/23	5.000	84.96	Various	419.02	...	-334.06	Total of 3 transactions
08/04/23	5.000	84.98	Various	314.00	229.02 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>169.94</b>		<b>733.02</b>	<b>229.02 W</b>	<b>-334.06</b>	
TSLA 08/18/2023 CALL \$275.00 / CUSIP: / Symbol:							
08/07/23	2.000	179.98	08/04/23	470.00	...	-290.02	Option sale to close-call <sup>25</sup>
TSLA 09/01/2023 CALL \$225.00 / CUSIP: / Symbol:							
08/21/23	1.000	799.98	08/18/23	370.00	...	429.98	Option sale to close-call <sup>25</sup>
TSLA 09/08/2023 CALL \$270.00 / CUSIP: / Symbol:							
09/05/23	2.000	135.98	Various	307.00	...	-171.02	Total of 2 transactions
TSLA 09/15/2023 PUT \$240.00 / CUSIP: / Symbol:							
08/30/23	1.000	359.98	08/29/23	350.00	...	9.98	Option sale to close-put <sup>25</sup>
TTD 08/25/2023 CALL \$80.00 / CUSIP: / Symbol:							
08/16/23	2.000	63.96	Various	420.02	...	-356.06	Total of 2 transactions
08/16/23	2.000	63.98	Various	362.00	298.02 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>127.94</b>		<b>782.02</b>	<b>298.02 W</b>	<b>-356.06</b>	
TTWO 08/11/2023 CALL \$150.00 / CUSIP: / Symbol:							
07/13/23	1.000	589.98	07/11/23	365.00	...	224.98	Option sale to close-call <sup>25</sup>
TWLO 08/11/2023 CALL \$78.00 / CUSIP: / Symbol:							
07/28/23	5.000	609.98	Various	888.00	...	-278.02	Total of 2 transactions
U 09/01/2023 CALL \$36.00 / CUSIP: / Symbol:							
08/23/23	10.000	609.97	Various	790.00	...	-180.03	Total of 3 transactions
U 09/15/2023 CALL \$36.50 / CUSIP: / Symbol:							
08/25/23	5.000	474.98	08/23/23	560.00	...	-85.02	Option sale to close-call <sup>25</sup>
U 09/22/2023 CALL \$40.00 / CUSIP: / Symbol:							
09/01/23	10.000	869.97	08/25/23	470.00	...	399.97	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

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

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UNH 07/21/2023 CALL \$480.00 / CUSIP: / Symbol: 07/17/23	2.000	1,159.98	Various	427.00	...	732.98	Total of 2 transactions
UNH 07/21/2023 CALL \$482.50 / CUSIP: / Symbol: 07/17/23	2.000	899.98	Various	419.00	...	480.98	Total of 2 transactions
UNH 07/21/2023 CALL \$500.00 / CUSIP: / Symbol: 07/14/23	10.000	749.97	Various	580.00	...	169.97	Total of 2 transactions
UNH 07/21/2023 PUT \$410.00 / CUSIP: / Symbol: 07/14/23	3.000	2.98	Various	350.05	...	-347.07	Total of 3 transactions
07/14/23	7.000	13.94	Various	444.02	344.07 W	-86.01	Total of 3 transactions
<b>Security total:</b>		<b>16.92</b>		<b>794.07</b>	<b>344.07 W</b>	<b>-433.08</b>	
UNH 07/28/2023 CALL \$505.00 / CUSIP: / Symbol: 07/18/23	20.000	5,999.88	Various	1,620.00	...	4,379.88	Total of 5 transactions
UNH 08/04/2023 CALL \$515.00 / CUSIP: / Symbol: 07/31/23	10.000	1,499.96	Various	1,715.00	...	-215.04	Total of 5 transactions
UNH 08/11/2023 CALL \$522.50 / CUSIP: / Symbol: 08/07/23	20.000	1,359.93	Various	2,090.00	...	-730.07	Total of 5 transactions
UNH 08/18/2023 CALL \$517.50 / CUSIP: / Symbol: 08/10/23	5.000	604.92	Various	600.00	...	4.92	Total of 4 transactions
UNH 08/18/2023 CALL \$525.00 / CUSIP: / Symbol: 08/07/23	10.000	1,949.96	08/07/23	1,480.00	...	469.96	Option sale to close-call <sup>25</sup>
08/11/23	25.000	1,624.92	Various	1,520.00	...	104.92	Total of 9 transactions
<b>Security total:</b>		<b>3,574.88</b>		<b>3,000.00</b>	...	<b>574.88</b>	
UNH 08/25/2023 CALL \$527.50 / CUSIP: / Symbol: 08/14/23	11.000	1,649.94	Various	1,595.00	...	54.94	Total of 2 transactions
UNH 08/25/2023 CALL \$535.00 / CUSIP: / Symbol: 08/15/23	30.000	1,649.91	Various	2,165.00	...	-515.09	Total of 6 transactions

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(continued)

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UNH 08/25/2023 PUT \$490.00 / CUSIP: / Symbol:							
08/17/23	2.000	999.98	Various	538.00	...	461.98	Total of 2 transactions
UNH 09/01/2023 CALL \$530.00 / CUSIP: / Symbol:							
08/17/23	20.000	2,399.93	Various	3,179.00	...	-779.07	Total of 6 transactions
UNH 09/01/2023 PUT \$475.00 / CUSIP: / Symbol:							
08/21/23	14.000	1,455.95	Various	2,864.00	...	-1,408.05	Total of 6 transactions
UNH 09/15/2023 CALL \$497.50 / CUSIP: / Symbol:							
09/07/23	2.000	211.98	09/01/23	136.00	...	75.98	Option sale to close-call <sup>25</sup>
09/08/23	9.000	377.93	Various	616.02	...	-238.09	Total of 4 transactions
09/08/23	1.000	41.98	09/01/23	68.00	26.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>631.89</b>		<b>820.02</b>	<b>26.02 W</b>	<b>-162.11</b>	
UPST 08/25/2023 CALL \$38.00 / CUSIP: / Symbol:							
08/14/23	5.000	484.98	Various	805.00	...	-320.02	Total of 3 transactions
WB 08/18/2023 CALL \$16.00 / CUSIP: / Symbol:							
08/02/23	1.000	9.98	07/28/23	97.04	...	-87.06	Option sale to close-call <sup>25</sup>
08/02/23	2.000	19.96	Various	107.02	87.06 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>29.94</b>		<b>204.06</b>	<b>87.06 W</b>	<b>-87.06</b>	
WDC 07/21/2023 CALL \$39.00 / CUSIP: / Symbol:							
07/13/23	2.000	169.98	Various	138.00	...	31.98	Total of 2 transactions
WMT 09/01/2023 CALL \$157.50 / CUSIP: / Symbol:							
08/18/23	5.000	1,724.97	Various	974.00	...	750.97	Total of 4 transactions
XPEV 09/15/2023 CALL \$19.00 / CUSIP: / Symbol:							
09/01/23	4.000	419.98	Various	396.01	...	23.97	Total of 2 transactions
09/01/23	2.000	209.98	08/30/23	210.00	0.01 W	-0.01	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>629.96</b>		<b>606.01</b>	<b>0.01 W</b>	<b>23.96</b>	
Z 08/04/2023 CALL \$54.00 / CUSIP: / Symbol:							
07/31/23	1.000	253.98	07/28/23	205.00	...	48.98	Option sale to close-call <sup>25</sup>

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**Proceeds from Broker and Barter Exchange Transactions**

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(continued)

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Z 08/11/2023 CALL \$60.00 / CUSIP: / Symbol:							
08/01/23	5.000	419.98	07/31/23	400.00	...	19.98	Option sale to close-call <sup>25</sup>
ZWS 08/18/2023 CALL \$27.50 / CUSIP: / Symbol:							
07/17/23	5.000	699.98	07/06/23	500.00	...	199.98	Option sale to close-call <sup>25</sup>
AMC ENTERTAINMENT HOLDINGS, IN C. / CUSIP: 00165C104 / Symbol:							
08/02/23	100.000	481.49	08/01/23	494.99	...	-13.50	Sale <sup>25</sup>
AGEAGLE AERIAL SYSTEMS, INC. / CUSIP: 00848K101 / Symbol:							
07/10/23	2,300.000	519.00	Various	509.48	...	9.52	Total of 3 transactions
07/10/23	200.000	45.11	06/28/23	46.72	1.61 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>564.11</b>		<b>556.20</b>	<b>1.61 W</b>	<b>9.52</b>	
AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol:							
01/17/23	5.000	482.52	11/01/22	485.38	...	-2.86	Sale <sup>25</sup>
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
06/22/23	44.293	24.73	Various	76.59	...	-51.86	Total of 2 transactions
BIONANO GENOMICS, INC. COMMON STOCK / CUSIP: 09075F107 / Symbol:							
07/12/23	1,000.000	651.64	Various	692.05	...	-40.41	Total of 4 transactions
BITFARMS LTD. COMMON STOCK / CUSIP: 09173B107 / Symbol:							
06/20/23	50.000	68.00	Various	44.62	...	23.38	Total of 3 transactions
CANAAN INC. AMERICAN DEPOSITAR Y SHARES / CUSIP: 134748102 / Symbol:							
06/22/23	1.000	2.13	08/02/22	3.62	...	-1.49	Sale <sup>25</sup>
CANOPY GROWTH CORPORATION COMM ON SHARES / CUSIP: 138035100 / Symbol:							
06/20/23	16.274	9.76	Various	55.58	...	-45.82	Total of 3 transactions
CANOO INC. CLASS A COMMON STOC K / CUSIP: 13803R102 / Symbol:							
07/12/23	1,000.000	555.94	Various	595.32	...	-39.38	Total of 4 transactions
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
07/10/23	995.000	661.52	Various	688.25	...	-26.73	Total of 8 transactions

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FARADAY FUTURE INTELLIGENT ELE CTRIC INC. COMMON STOCK / CUSIP: 307359109 / Symbol:							
07/18/23	1,000.000	323.95	07/17/23	278.50	...	45.45	Sale <sup>25</sup>
FISKER INC. / CUSIP: 33813J106 / Symbol:							
07/05/23	49.000	293.23	Various	266.60	...	26.63	Total of 2 transactions
FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol:							
07/11/23	99.000	218.78	Various	223.56	...	-4.78	Total of 2 transactions
HYLIION HOLDINGS CORP. / CUSIP: 449109107 / Symbol:							
07/11/23	99.000	193.04	Various	179.07	...	13.97	Total of 2 transactions
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
06/22/23	11,240.000	1,131.35	Various	1,544.56	...	-413.21	Total of 8 transactions
07/10/23	10,000.000	920.54	Various	302.43	...	618.11	Total of 3 transactions
	<b>Security total:</b>	<b>2,051.89</b>		<b>1,846.99</b>	...	<b>204.90</b>	
IGC PHARMA, INC. / CUSIP: 45408X308 / Symbol:							
07/07/23	1,000.000	410.85	Various	332.85	...	78.00	Total of 7 transactions
LI AUTO INC. AMERICAN DEPOSITA RY SHARES / CUSIP: 50202M102 / Symbol:							
04/27/23	10.000	230.10	Various	213.30	...	16.80	Total of 2 transactions
LUCID GROUP, INC. COMMON STOCK / CUSIP: 549498103 / Symbol:							
08/02/23	131.760	903.06	Various	814.81	...	88.25	Total of 2 transactions
08/02/23	118.240	810.38	Various	1,064.04	253.66 W	0.00	Total of 4 transactions
08/03/23	250.000	1,742.77	Various	1,447.50	...	295.27	Total of 3 transactions
08/04/23	499.007	3,324.99	Various	3,766.42	...	-441.43	Total of 7 transactions
	<b>Security total:</b>	<b>6,781.20</b>		<b>7,092.77</b>	<b>253.66 W</b>	<b>-57.91</b>	
MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
07/11/23	90.000	367.19	Various	330.12	...	37.07	Total of 9 transactions
MULLEN AUTOMOTIVE, INC. COMMON STOCK / CUSIP: 62526P208 / Symbol:							
06/20/23	208.000	33.77	Various	718.06	...	-684.29	Total of 4 transactions
NIO INC. AMERICAN DEPOSITARY S HARES, EACH REPRESENTING ONE C LASS A ORDINARY SHARE / CUSIP: 62914V106 / Symbol:							
07/05/23	50.000	518.16	Various	483.11	...	35.05	Total of 3 transactions

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

Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 536103989

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
PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol:							
06/21/23	20.000	299.63	12/30/22	125.05	...	174.58	Sale <sup>25</sup>
PELTON INTERACTIVE, INC. CLAS S A COMMON STOCK / CUSIP: 70614W100 / Symbol:							
06/28/23	5.000	36.47	Various	38.59	...	-2.12	Total of 2 transactions
RAKUTEN GROUP, INC AMERICAN DE POSITARY RECEIPTS - SPONSORED / CUSIP: 75102W108 / Symbol:							
06/28/23	50.000	166.25	Various	179.70	...	-13.45	Total of 4 transactions
REDFIN CORPORATION COMMON STOC K / CUSIP: 75737F108 / Symbol:							
06/28/23	2.000	27.63	Various	17.21	...	10.42	Total of 2 transactions
ROBINHOOD MARKETS, INC. CLASS A COMMON STOCK / CUSIP: 770700102 / Symbol:							
06/28/23	1.000	10.12	06/29/22	8.55	...	1.57	Sale <sup>25</sup>
SHOPIFY INC. CLASS A SUBORDINA TE VOTING SHARES / CUSIP: 82509L107 / Symbol:							
05/04/23	1.000	57.16	06/29/22	32.88	...	24.28	Sale <sup>25</sup>
SKILLZ INC. / CUSIP: 83067L208 / Symbol:							
06/28/23	15.000	135.15	Various	181.23	...	-46.08	Total of 2 transactions
SNAP INC. / CUSIP: 83304A106 / Symbol:							
06/23/23	25.000	273.00	Various	256.00	...	17.00	Total of 2 transactions
TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol:							
01/05/23	4.668	507.30	Various	520.00	...	-12.70	Total of 2 transactions
T2 BIOSYSTEMS, INC. COMMON STO CK / CUSIP: 89853L203 / Symbol:							
07/21/23	10,000.000	1,025.54	Various	1,016.50	...	9.04	Total of 2 transactions
UPSTART HOLDINGS, INC. COMMON STOCK / CUSIP: 91680M107 / Symbol:							
06/28/23	2.000	68.90	Various	58.95	...	9.95	Total of 2 transactions

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 536103989

### 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
VIRGIN GALACTIC HOLDINGS, INC. / CUSIP: 92766K106 / Symbol:							
07/20/23	105.757	411.38	Various	367.21	...	44.17	Total of 5 transactions
07/20/23	393.250	1,527.16	Various	2,074.65	547.49 W	0.00	Total of 7 transactions
08/04/23	552.000	2,058.92	Various	2,806.94	...	-748.02	Total of 15 transactions
08/04/23	8.532	31.83	Various	53.09	21.26 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>4,029.29</b>		<b>5,301.89</b>	<b>568.75 W</b>	<b>-703.85</b>	
XPENG INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TWO CLASS A ORDINARY SHARES / CUSIP: 98422D105 / Symbol:							
01/03/23	50.000	525.65	Various	502.32	...	23.33	Total of 2 transactions
GENIUS SPORTS LIMITED / CUSIP: G3934V109 / Symbol:							
07/10/23	100.000	750.39	Various	736.50	...	13.89	Total of 2 transactions
EBANG INTERNATIONAL HOLDINGS I NC. CLASS A ORDINARY SHARES / CUSIP: G3R33A205 / Symbol:							
04/27/23	1.667	9.38	08/03/22	23.91	...	-14.53	Sale <sup>25</sup>
GORILLA TECHNOLOGY GROUP INC. ORDINARY SHARES / CUSIP: G4000K100 / Symbol:							
07/10/23	100.000	492.99	07/07/23	391.50	...	101.49	Sale <sup>25</sup>
<b>Totals :</b>		<b>176,134.08</b>		<b>228,399.86</b>	<b>26,439.57 W</b>	<b>-25,826.21</b>	

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	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
ASANA, INC. CLASS A COMMON STO CK / CUSIP: 04342Y104 / Symbol:							
06/28/23	1.000	22.55	06/14/22	18.26	...	4.29	Sale <sup>25</sup>
AURORA CANNABIS INC. COMMON SH ARES / CUSIP: 05156X884 / Symbol:							
06/22/23	10.000	5.58	05/11/22	24.08	...	-18.50	Sale <sup>25</sup>
ELECTRAMECCANICA VEHICLES CORP . LTD. COMMON STOCK / CUSIP: 284849205 / Symbol:							
07/10/23	5.000	3.32	05/11/22	7.19	...	-3.87	Sale <sup>25</sup>

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 536103989

**Proceeds from Broker and Barter Exchange Transactions**

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

(continued)

02/12/2024

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	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
FISKER INC. / CUSIP: 33813J106 / Symbol:							
07/05/23	1.000	5.98	06/29/22	8.44	...	-2.46	Sale <sup>25</sup>
FUELCELL ENERGY, INC. COMMON S TOCK / CUSIP: 35952H601 / Symbol:							
07/11/23	1.000	2.21	06/29/22	3.51	...	-1.30	Sale <sup>25</sup>
HYLIION HOLDINGS CORP. / CUSIP: 449109107 / Symbol:							
07/11/23	1.000	1.95	06/28/22	3.55	...	-1.60	Sale <sup>25</sup>
IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V106 / Symbol:							
06/22/23	10.000	1.01	05/11/22	5.50	...	-4.49	Sale <sup>25</sup>
LUCID GROUP, INC. COMMON STOCK / CUSIP: 549498103 / Symbol:							
08/04/23	1.000	6.66	07/07/23	19.19	...	-12.53	Sale <sup>25</sup>
MICROVISION, INC. COMMON STOCK / CUSIP: 594960304 / Symbol:							
07/11/23	10.000	40.80	Various	27.58	...	13.22	Total of 2 transactions
VIRGIN GALACTIC HOLDINGS, INC. / CUSIP: 92766K106 / Symbol:							
07/20/23	1.000	3.89	06/29/22	5.92	2.03 W	0.00	Sale <sup>25</sup>
08/04/23	1.000	3.73	08/02/23	7.41	...	-3.68	Sale <sup>25</sup>
08/04/23	1.000	3.73	06/22/23	7.27	3.54 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>11.35</b>		<b>20.60</b>	<b>5.57 W</b>	<b>-3.68</b>	
<b>Totals :</b>		<b>101.41</b>		<b>137.90</b>	<b>5.57 W</b>	<b>-30.92</b>	

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 536103989

## Detail for Dividends and Distributions

2023

02/12/2024

*This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, Section 199A dividends, Section 897 dividends and capital gains, exempt-interest dividends, nondividend distributions and liquidation distributions. Also shown are the fair market values of any taxable stock dividends or noncash liquidation distributions.*

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

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

*Amounts presented in Box 2e as Section 897 Ordinary Dividends or Box 2f as Section 897 Capital Gains apply only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. The IRS has indicated that boxes 2e and 2f are not applicable to recipients that are U.S. individuals. You should consult your tax advisor for further information.*

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
RAKUTEN GROUP, INC AMERICAN DE	75102W108		03/20/23	0.17	Nonqualified dividend	
POSITARY RECEIPTS - SPONSORED			03/20/23	-0.03	Foreign tax withheld-JA	
				<b>0.17</b>	<b>Total Dividends &amp; distributions</b>	
				<b>-0.03</b>	<b>Total Foreign tax withheld</b>	
				<b>0.17</b>	<b>Total Dividends &amp; distributions</b>	
				<b>-0.03</b>	<b>Total Foreign tax withheld</b>	



Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 536103989

### Detail for Interest Income

2023

02/12/2024

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

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

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
INTEREST PAYMENT		06/30/23	1.17	Interest	
		07/03/23	1.12	Interest	
		07/03/23	-1.17	Adj- Interest	
		07/31/23	0.30	Interest	
		08/31/23	0.81	Interest	
			2.23	Total Interest	
			<b>2.23</b>	<b>Total Interest</b>	

Robinhood Markets Inc. as agent for  
 Robinhood Securities LLC  
 2023

Account 536103989  
 02/12/2024

**Fees and Expenses**

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

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

Description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
Margin charge		08/04/23	-23.77	Margin interest paid	
		09/05/23	-3.51	Margin interest paid	
			-27.28	Total Margin interest paid	
Gold Subscription fee	GLDSUBFEE	01/03/23	-5.00	Subscription expense	
		01/30/23	-5.00	Subscription expense	
		03/01/23	-5.00	Subscription expense	
		03/31/23	-5.00	Subscription expense	
		05/01/23	-5.00	Subscription expense	
		06/16/23	-5.00	Subscription expense	
		07/17/23	-5.00	Subscription expense	
		08/07/23	-5.00	Subscription expense	
		09/06/23	-5.00	Subscription expense	
			-45.00	Total Subscription expense	
			<b>-27.28</b>	<b>Total Margin interest paid</b>	
			<b>-45.00</b>	<b>Total Subscription expense</b>	

Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 536103989

## Foreign Income and Taxes Summary

2023

02/12/2024

*This schedule lists all income and foreign tax by country. Mutual Funds and Unit Investment Trusts (UITs) structured as Regulated Investment Companies (RICs) are listed separately with a country designation of "RIC."*

Country	Security Description	CUSIP	Nonqualified	Dividends		Interest	Total Income	Tax
				Qualified				
JA	RAKUTEN GROUP, INC AMERICAN DE POSITARY RECEIPTS - SPONSORED	75102W108	0.17	0.00		0.00	0.17	-0.03
<b>Total JAPAN</b>			<b>0.17</b>	<b>0.00</b>		<b>0.00</b>	<b>0.17</b>	<b>-0.03</b>
<b>Grand Total</b>	<b>Total Foreign Source Income*</b>			<b>0.17</b>				
	<b>Qualified Foreign Source Income**</b>			<b>0.00</b>				
	<b>Foreign Tax</b>							<b>-0.03</b>

\* Total Foreign Source Income utilizes the "Total" column for RICs which may not always be supplied.

\*\* Qualified Foreign Source Income utilizes the "Qualified" column for RICs which may not always be supplied.

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-DIV Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Instructions for Recipient**

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

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

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

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

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

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

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

**1099-INT Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

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

constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Forms 1040. Market discount on a tax-exempt security is includable in taxable income as interest income.

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

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

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

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

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

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

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

**1099-B Instructions for Recipient**

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

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

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040), 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

## Instructions for Recipient

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.

**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.