



Manasa Janga
5147 Winster Dr Apt 102
Winston Salem, NC 27106-0051

Master Account Number for Import:
108438870
Document ID for Import:
FH5604VC2Q3

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

108438870 - 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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| | | | |
|--|---|----------------------------|------|
| Robinhood Markets Inc. as agent for Robinhood Securities LLC 85 Willow Road Menlo Park, CA 94025 Customer Service: 650-940-2700 PAYER'S TIN: 46-4364776 | Tax Information Account 108438870 | Statement Date: 02/12/2024 | 2023 |
| | Manasa Janga 5147 Winster Dr Apt 102 Winston Salem, NC 27106-0051 RECIPIENT'S TIN: XXX-XX-6418 | | |

Summary Information

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

| | |
|--|--|
| <p>DIVIDENDS AND DISTRIBUTIONS 2023 1099-DIV* OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e) 0.06</p> <p>1b- Qualified dividends 0.06</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f) 0.00</p> <p>2b- Unrecaptured Section 1250 gain 0.00</p> <p>2c- Section 1202 gain 0.00</p> <p>2d- Collectibles (28%) gain 0.00</p> <p>2e- Section 897 ordinary dividends 0.00</p> <p>2f- Section 897 capital gain 0.00</p> <p>3- Nondividend distributions 0.00</p> <p>4- Federal income tax withheld 0.00</p> <p>5- Section 199A dividends 0.00</p> <p>6- Investment expenses 0.00</p> <p>8- Foreign country or US possession: 7- Foreign tax paid: 0.00</p> <p>9- Cash liquidation distributions 0.00</p> <p>10- Noncash liquidation distributions 0.00</p> <p>12- Exempt-interest dividends (includes line 13) 0.00</p> <p>13- Specified private activity bond interest dividends (AMT) 0.00</p> | <p>MISCELLANEOUS INFORMATION 2023 1099-MISC* OMB No. 1545-0115</p> <p>2- Royalties 0.00</p> <p>3- Other income 250.00</p> <p>4- Federal income tax withheld 0.00</p> <p>8- Substitute payments in lieu of dividends or interest 0.00</p> <p>SECTION 1256 CONTRACTS 2023 1099-B* OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2023 on closed contracts 0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2022 0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2023 0.00</p> <p>11- Aggregate profit or (loss) on contracts 0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p> <p>* 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.</p> |
|--|--|

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) | 931,109.31 | 994,208.84 | 0.00 | 37,487.40 | -25,612.13 |
| 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 |
| | Total Short-term | 931,109.31 | 994,208.84 | 0.00 | 37,487.40 | -25,612.13 |
| Long | D (basis reported to the IRS) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Long | E (basis not reported to the IRS) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Long | F (Form 1099-B not received) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Total Long-term | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Undetermined | B or E (basis not reported to the IRS) | 0.30 | 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 |
| | Total Undetermined-term | 0.30 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Grand total | 931,109.61 | 994,208.84 | 0.00 | 37,487.40 | -25,612.13 |
| Withholding | | Amount | | | | |
| | 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 108438870

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) | 58.17 |
| 2- Early withdrawal penalty | 0.00 |
| 3- Interest on US Savings Bonds & Treasury obligations | 0.00 |
| 4- Federal income tax withheld | 0.00 |
| 5- Investment expenses | 0.00 |
| 7- Foreign country or US possession: 6- Foreign tax paid: | 0.00 |
| 8- Tax-exempt interest (includes line 9) | 0.00 |
| 9- Specified private activity bond interest (AMT) | 0.00 |
| 10- Market discount (covered lots) | 0.00 |
| 11- Bond premium (covered lots) | 0.00 |
| 12- Bond premium on Treasury obligations (covered lots) | 0.00 |
| 13- Bond premium on tax-exempt bonds (categorized below) | 0.00 |
| <i>Tax-exempt obligations (covered lots)</i> | 0.00 |
| <i>Tax-exempt private activity obligations (AMT, covered lots)</i> | 0.00 |
| 14- Tax-exempt and tax credit bond CUSIP number | 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 | 71.42 |
| 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 | 30.30 |
| 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 108438870

Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

02/12/2024

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

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

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

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

FATCA filing requirement []

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

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

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

1a- Description of property/CUSIP/Symbol

| 1c- Date sold or disposed | Quantity | 1d- Proceeds & 6- Reported (G)ross or (N)et | 1b- Date acquired | 1e- Cost or other basis | 1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W) | 7- Loss not allowed (X) also not reported (Z) | Gain or loss(-) & Additional information |
|--|----------|---|-------------------|-------------------------|--|---|--|
| AAPL 03/17/2023 CALL \$155.00 / CUSIP: / Symbol: | | | | | | | |
| 03/14/23 | 6.000 | 299.98 | 03/14/23 | 540.00 | ... | -240.02 | Option sale to close-call ²⁵ |
| AAPL 03/17/2023 PUT \$150.00 / CUSIP: / Symbol: | | | | | | | |
| 03/15/23 | 7.000 | 461.97 | Various | 966.00 | ... | -504.03 | Total of 3 transactions |
| AAPL 04/21/2023 PUT \$140.00 / CUSIP: / Symbol: | | | | | | | |
| 01/27/23 | 2.000 | 989.96 | 01/27/23 | 1,090.00 | ... | -100.04 | Option sale to close-put ²⁵ |
| AAPL 07/28/2023 CALL \$195.00 / CUSIP: / Symbol: | | | | | | | |
| 07/25/23 | 6.000 | 803.98 | 07/25/23 | 774.00 | ... | 29.98 | Option sale to close-call ²⁵ |
| AAPL 08/18/2023 CALL \$200.00 / CUSIP: / Symbol: | | | | | | | |
| 06/30/23 | 2.000 | 560.96 | Various | 372.00 | ... | 188.96 | Total of 2 transactions |
| AAPL 08/25/2023 CALL \$200.00 / CUSIP: / Symbol: | | | | | | | |
| 07/19/23 | 6.000 | 2,614.92 | Various | 1,854.00 | ... | 760.92 | Total of 4 transactions |

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Robinhood Markets Inc. as agent for
Robinhood Securities LLC

Account 108438870

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 |
|--|------------------------|---|-------------------|-------------------------|--|---|---|
| AGRI 02/17/2023 CALL \$2.00 / CUSIP: / Symbol: | | | | | | | |
| 01/25/23 | 8.000 | 39.96 | Various | 80.00 | ... | -40.04 | Total of 2 transactions |
| 01/26/23 | 1.000 | 4.98 | 01/23/23 | 10.00 | ... | -5.02 | Option sale to close-call ²⁵ |
| 01/27/23 | 1.000 | 4.98 | 01/23/23 | 10.00 | ... | -5.02 | Option sale to close-call ²⁵ |
| | Security total: | 49.92 | | 100.00 | ... | -50.08 | |
| AI 02/10/2023 CALL \$30.00 / CUSIP: / Symbol: | | | | | | | |
| 02/06/23 | 2.000 | 369.96 | Various | 300.00 | ... | 69.96 | Total of 2 transactions |
| AI 06/16/2023 PUT \$40.00 / CUSIP: / Symbol: | | | | | | | |
| 05/31/23 | 1.000 | 775.98 | 05/30/23 | 807.00 | ... | -31.02 | Option sale to close-put ²⁵ |
| AMD 06/02/2023 CALL \$125.00 / CUSIP: / Symbol: | | | | | | | |
| 05/25/23 | 3.000 | 419.94 | Various | 555.04 | ... | -135.10 | Total of 3 transactions |
| 05/25/23 | 2.000 | 279.96 | Various | 334.00 | 54.04 W | 0.00 | Total of 2 transactions |
| | Security total: | 699.90 | | 889.04 | 54.04 W | -135.10 | |
| AMD 06/16/2023 CALL \$130.00 / CUSIP: / Symbol: | | | | | | | |
| 06/14/23 | 8.000 | 981.90 | Various | 750.00 | ... | 231.90 | Total of 5 transactions |
| AMD 07/28/2023 CALL \$120.00 / CUSIP: / Symbol: | | | | | | | |
| 07/17/23 | 2.000 | 488.96 | Various | 600.00 | ... | -111.04 | Total of 2 transactions |
| AMZN 02/10/2023 CALL \$115.00 / CUSIP: / Symbol: | | | | | | | |
| 02/02/23 | 8.000 | 3,162.86 | Various | 2,262.00 | ... | 900.86 | Total of 6 transactions |
| AMZN 02/17/2023 CALL \$100.00 / CUSIP: / Symbol: | | | | | | | |
| 02/15/23 | 10.000 | 1,319.93 | Various | 1,050.00 | ... | 269.93 | Total of 2 transactions |
| AMZN 02/17/2023 CALL \$105.00 / CUSIP: / Symbol: | | | | | | | |
| 02/07/23 | 19.000 | 2,740.88 | Various | 2,927.02 | ... | -186.14 | Total of 6 transactions |
| 02/07/23 | 1.000 | 152.98 | 02/07/23 | 155.00 | 2.02 W | 0.00 | Option sale to close-call ²⁵ |
| | Security total: | 2,893.86 | | 3,082.02 | 2.02 W | -186.14 | |

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Robinhood Markets Inc. as agent for
Robinhood Securities LLC

Account 108438870

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 |
|--|------------------------|---|-------------------|-------------------------|--|---|---|
| AMZN 02/17/2023 CALL \$115.00 / CUSIP: / Symbol: | | | | | | | |
| 02/02/23 | 1.000 | 504.97 | 02/02/23 | 490.00 | ... | 14.97 | Option sale to close-call ²⁵ |
| 02/03/23 | 1.000 | 91.98 | 02/02/23 | 520.00 | ... | -428.02 | Option sale to close-call ²⁵ |
| | Security total: | 596.95 | | 1,010.00 | ... | -413.05 | |
| AMZN 02/17/2023 PUT \$100.00 / CUSIP: / Symbol: | | | | | | | |
| 02/02/23 | 2.000 | 317.98 | Various | 322.00 | 4.02 W | 0.00 | Total of 2 transactions |
| 02/03/23 | 2.000 | 174.96 | Various | 316.02 | ... | -141.06 | Total of 2 transactions |
| | Security total: | 492.94 | | 638.02 | 4.02 W | -141.06 | |
| AMZN 03/03/2023 CALL \$99.00 / CUSIP: / Symbol: | | | | | | | |
| 02/22/23 | 5.000 | 569.97 | 02/22/23 | 585.00 | 15.03 W | 0.00 | Option sale to close-call ²⁵ |
| 02/23/23 | 5.000 | 509.96 | Various | 580.03 | ... | -70.07 | Total of 2 transactions |
| | Security total: | 1,079.93 | | 1,165.03 | 15.03 W | -70.07 | |
| AMZN 05/05/2023 CALL \$115.00 / CUSIP: / Symbol: | | | | | | | |
| 04/27/23 | 4.000 | 883.96 | Various | 788.00 | ... | 95.96 | Total of 2 transactions |
| AMZN 06/23/2023 CALL \$135.00 / CUSIP: / Symbol: | | | | | | | |
| 06/23/23 | 10.000 | 49.97 | 06/22/23 | 110.00 | ... | -60.03 | Option sale to close-call ²⁵ |
| AMZN 06/30/2023 CALL \$130.00 / CUSIP: / Symbol: | | | | | | | |
| 06/28/23 | 1.000 | 171.98 | 06/27/23 | 93.00 | ... | 78.98 | Option sale to close-call ²⁵ |
| AMZN 08/18/2023 CALL \$135.00 / CUSIP: / Symbol: | | | | | | | |
| 07/27/23 | 6.000 | 2,419.90 | Various | 2,116.00 | ... | 303.90 | Total of 6 transactions |
| AMZN 09/08/2023 CALL \$140.00 / CUSIP: / Symbol: | | | | | | | |
| 08/04/23 | 4.000 | 2,424.94 | Various | 1,108.00 | ... | 1,316.94 | Total of 3 transactions |
| BAC 09/01/2023 CALL \$29.00 / CUSIP: / Symbol: | | | | | | | |
| 08/25/23 | 5.000 | 69.98 | 08/24/23 | 85.00 | ... | -15.02 | Option sale to close-call ²⁵ |
| BBBY 03/03/2023 PUT \$6.50 / CUSIP: / Symbol: | | | | | | | |
| 02/07/23 | 1.000 | 394.98 | 02/06/23 | 360.00 | ... | 34.98 | Option sale to close-put ²⁵ |
| COIN 08/04/2023 CALL \$110.00 / CUSIP: / Symbol: | | | | | | | |
| 08/02/23 | 5.000 | 349.98 | Various | 400.00 | ... | -50.02 | Total of 3 transactions |

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Robinhood Markets Inc. as agent for
Robinhood Securities LLC

Account 108438870

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 |
|--|------------------------|---|-------------------|-------------------------|--|---|---|
| DIS 02/17/2023 CALL \$120.00 / CUSIP: / Symbol: | | | | | | | |
| 02/08/23 | 10.000 | 1,239.95 | Various | 1,340.00 | ... | -100.05 | Total of 3 transactions |
| DIS 07/21/2023 CALL \$90.00 / CUSIP: / Symbol: | | | | | | | |
| 07/11/23 | 7.000 | 707.94 | Various | 963.04 | 255.10 W | 0.00 | Total of 6 transactions |
| 07/12/23 | 8.000 | 1,311.90 | Various | 1,057.06 | ... | 254.84 | Total of 8 transactions |
| | Security total: | 2,019.84 | | 2,020.10 | 255.10 W | 254.84 | |
| GOOG 07/07/2023 CALL \$120.00 / CUSIP: / Symbol: | | | | | | | |
| 06/27/23 | 1.000 | 116.98 | 06/26/23 | 200.00 | ... | -83.02 | Option sale to close-call ²⁵ |
| GOOGL 03/03/2023 CALL \$95.00 / CUSIP: / Symbol: | | | | | | | |
| 02/10/23 | 2.000 | 794.96 | Various | 708.00 | ... | 86.96 | Total of 2 transactions |
| IBM 07/28/2023 CALL \$140.00 / CUSIP: / Symbol: | | | | | | | |
| 07/20/23 | 1.000 | 120.98 | 07/19/23 | 165.02 | ... | -44.04 | Option sale to close-call ²⁵ |
| 07/20/23 | 1.000 | 120.98 | 07/19/23 | 143.00 | 22.02 W | 0.00 | Option sale to close-call ²⁵ |
| | Security total: | 241.96 | | 308.02 | 22.02 W | -44.04 | |
| INTC 07/28/2023 CALL \$40.00 / CUSIP: / Symbol: | | | | | | | |
| 06/21/23 | 2.000 | 37.96 | Various | 228.00 | 190.04 W | 0.00 | Total of 2 transactions |
| 07/05/23 | 9.000 | 98.97 | Various | 339.06 | ... | -240.09 | Total of 3 transactions |
| 07/05/23 | 1.000 | 10.98 | 06/30/23 | 111.02 | 100.04 W | 0.00 | Option sale to close-call ²⁵ |
| | Security total: | 147.91 | | 678.08 | 290.08 W | -240.09 | |
| META 07/21/2023 CALL \$310.00 / CUSIP: / Symbol: | | | | | | | |
| 06/23/23 | 5.000 | 1,630.92 | Various | 1,096.00 | ... | 534.92 | Total of 5 transactions |
| 06/26/23 | 1.000 | 269.98 | 06/23/23 | 184.00 | ... | 85.98 | Option sale to close-call ²⁵ |
| | Security total: | 1,900.90 | | 1,280.00 | ... | 620.90 | |
| META 08/04/2023 CALL \$317.50 / CUSIP: / Symbol: | | | | | | | |
| 08/04/23 | 20.000 | 679.94 | Various | 770.03 | ... | -90.09 | Total of 5 transactions |
| 08/04/23 | 10.000 | 279.97 | 08/04/23 | 440.00 | 160.03 W | 0.00 | Option sale to close-call ²⁵ |
| | Security total: | 959.91 | | 1,210.03 | 160.03 W | -90.09 | |
| MS 07/28/2023 CALL \$95.00 / CUSIP: / Symbol: | | | | | | | |
| 07/18/23 | 20.000 | 822.78 | Various | 700.00 | ... | 122.78 | Total of 13 transactions |

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Robinhood Markets Inc. as agent for
Robinhood Securities LLC

Account 108438870

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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|--|----------|---|-------------------|-------------------------|--|---|---|
| MSFT 02/03/2023 CALL \$250.00 / CUSIP: / Symbol: | | | | | | | |
| 01/25/23 | 2.000 | 127.98 | Various | 798.00 | ... | -670.02 | Total of 2 transactions |
| MSFT 08/18/2023 CALL \$370.00 / CUSIP: / Symbol: | | | | | | | |
| 07/27/23 | 10.000 | 949.97 | Various | 1,950.00 | ... | -1,000.03 | Total of 4 transactions |
| MSFT 09/15/2023 CALL \$370.00 / CUSIP: / Symbol: | | | | | | | |
| 07/25/23 | 2.000 | 1,639.96 | Various | 1,585.03 | ... | 54.93 | Total of 2 transactions |
| 07/25/23 | 4.000 | 3,229.95 | Various | 3,400.00 | 100.03 W | -70.02 | Total of 2 transactions |
| Security total: | | 4,869.91 | | 4,985.03 | 100.03 W | -15.09 | |
| NFLX 02/17/2023 PUT \$340.00 / CUSIP: / Symbol: | | | | | | | |
| 01/23/23 | 1.000 | 1,184.96 | 01/20/23 | 1,590.00 | ... | -405.04 | Option sale to close-put ²⁵ |
| NFLX 08/04/2023 CALL \$560.00 / CUSIP: / Symbol: | | | | | | | |
| 07/24/23 | 1.000 | 2.98 | 07/19/23 | 465.00 | ... | -462.02 | Option sale to close-call ²⁵ |
| NVDA 07/14/2023 CALL \$460.00 / CUSIP: / Symbol: | | | | | | | |
| 07/14/23 | 2.000 | 1,718.96 | Various | 440.00 | ... | 1,278.96 | Total of 2 transactions |
| NVDA 08/04/2023 CALL \$500.00 / CUSIP: / Symbol: | | | | | | | |
| 08/01/23 | 1.000 | 73.98 | 07/31/23 | 149.00 | ... | -75.02 | Option sale to close-call ²⁵ |
| NVDA 08/18/2023 CALL \$470.00 / CUSIP: / Symbol: | | | | | | | |
| 08/17/23 | 18.000 | 590.88 | Various | 2,873.01 | ... | -2,282.13 | Total of 13 transactions |
| 08/17/23 | 7.000 | 230.99 | Various | 1,417.00 | 1,186.01 W | 0.00 | Total of 5 transactions |
| Security total: | | 821.87 | | 4,290.01 | 1,186.01 W | -2,282.13 | |
| NVDA 08/25/2023 CALL \$440.00 / CUSIP: / Symbol: | | | | | | | |
| 08/18/23 | 1.000 | 2,004.97 | 08/18/23 | 2,095.00 | ... | -90.03 | Option sale to close-call ²⁵ |
| NVDA 08/25/2023 PUT \$452.50 / CUSIP: / Symbol: | | | | | | | |
| 08/21/23 | 1.000 | 2,489.97 | 08/21/23 | 2,605.00 | ... | -115.03 | Option sale to close-put ²⁵ |
| QQQ 08/17/2023 CALL \$370.00 / CUSIP: / Symbol: | | | | | | | |
| 08/16/23 | 14.000 | 209.96 | Various | 820.00 | ... | -610.04 | Total of 4 transactions |

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Robinhood Markets Inc. as agent for
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Account 108438870

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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|--|----------|---|-------------------|-------------------------|--|---|---|
| QQQ 08/28/2023 CALL \$365.00 / CUSIP: / Symbol: | | | | | | | |
| 08/25/23 | 2.000 | 349.96 | Various | 400.00 | ... | -50.04 | Total of 2 transactions |
| QQQ 08/30/2023 CALL \$367.00 / CUSIP: / Symbol: | | | | | | | |
| 08/23/23 | 2.000 | 1,155.96 | Various | 962.00 | ... | 193.96 | Total of 2 transactions |
| QQQ 09/29/2023 PUT \$335.00 / CUSIP: / Symbol: | | | | | | | |
| 08/25/23 | 2.000 | 409.98 | Various | 373.00 | ... | 36.98 | Total of 2 transactions |
| 08/25/23 | 7.000 | 1,445.98 | Various | 2,142.01 | 696.03 W | 0.00 | Total of 6 transactions |
| 08/29/23 | 39.000 | 3,509.87 | Various | 6,527.04 | ... | -3,017.17 | Total of 12 transactions |
| 08/29/23 | 1.000 | 89.98 | 08/24/23 | 254.01 | 164.03 W | 0.00 | Option sale to close-put ²⁵ |
| Security total: | | 5,455.81 | | 9,296.06 | 860.06 W | -2,980.19 | |
| RIVN 09/15/2023 CALL \$30.00 / CUSIP: / Symbol: | | | | | | | |
| 08/09/23 | 5.000 | 344.98 | 08/08/23 | 500.00 | ... | -155.02 | Option sale to close-call ²⁵ |
| RIVN 12/15/2023 CALL \$30.00 / CUSIP: / Symbol: | | | | | | | |
| 07/25/23 | 2.000 | 699.98 | Various | 688.00 | ... | 11.98 | Total of 2 transactions |
| ROKU 03/17/2023 PUT \$60.00 / CUSIP: / Symbol: | | | | | | | |
| 02/15/23 | 2.000 | 1,009.96 | 02/15/23 | 1,042.00 | ... | -32.04 | Option sale to close-put ²⁵ |
| ROKU 06/16/2023 CALL \$65.00 / CUSIP: / Symbol: | | | | | | | |
| 06/06/23 | 2.000 | 403.98 | 06/05/23 | 244.00 | ... | 159.98 | Option sale to close-call ²⁵ |
| SHOP 07/28/2023 CALL \$71.00 / CUSIP: / Symbol: | | | | | | | |
| 07/20/23 | 4.000 | 331.98 | Various | 492.00 | ... | -160.02 | Total of 3 transactions |
| SNOW 07/21/2023 CALL \$190.00 / CUSIP: / Symbol: | | | | | | | |
| 06/30/23 | 1.000 | 426.98 | 06/29/23 | 482.00 | ... | -55.02 | Option sale to close-call ²⁵ |
| SOFI 02/10/2023 CALL \$7.50 / CUSIP: / Symbol: | | | | | | | |
| 02/02/23 | 4.000 | 231.98 | 02/02/23 | 192.00 | ... | 39.98 | Option sale to close-call ²⁵ |
| SOUN 02/17/2023 CALL \$4.00 / CUSIP: / Symbol: | | | | | | | |
| 02/06/23 | 2.000 | 159.98 | 02/06/23 | 200.00 | ... | -40.02 | Option sale to close-call ²⁵ |

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Robinhood Markets Inc. as agent for
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Account 108438870

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 01/13/2023 CALL \$400.00 / CUSIP: / Symbol: | | | | | | | |
| 01/12/23 | 2.000 | 181.98 | 01/12/23 | 206.00 | ... | -24.02 | Option sale to close-call ²⁵ |
| SPY 01/20/2023 PUT \$385.00 / CUSIP: / Symbol: | | | | | | | |
| 01/12/23 | 3.000 | 170.98 | Various | 468.02 | ... | -297.04 | Total of 3 transactions |
| 01/12/23 | 1.000 | 56.98 | 01/11/23 | 200.00 | 143.02 W | 0.00 | Option sale to close-put ²⁵ |
| | Security total: | 227.96 | | 668.02 | 143.02 W | -297.04 | |
| SPY 01/27/2023 PUT \$380.00 / CUSIP: / Symbol: | | | | | | | |
| 01/04/23 | 1.000 | 618.97 | 01/04/23 | 654.00 | ... | -35.03 | Option sale to close-put ²⁵ |
| SPY 01/27/2023 PUT \$385.00 / CUSIP: / Symbol: | | | | | | | |
| 01/10/23 | 1.000 | 479.97 | 01/10/23 | 955.12 | ... | -475.15 | Option sale to close-put ²⁵ |
| SPY 01/31/2023 CALL \$393.00 / CUSIP: / Symbol: | | | | | | | |
| 01/19/23 | 4.000 | 1,195.96 | Various | 1,191.00 | ... | 4.96 | Total of 3 transactions |
| SPY 02/07/2023 PUT \$400.00 / CUSIP: / Symbol: | | | | | | | |
| 02/02/23 | 5.000 | 149.98 | Various | 165.00 | ... | -15.02 | Total of 2 transactions |
| SPY 02/10/2023 PUT \$385.00 / CUSIP: / Symbol: | | | | | | | |
| 01/10/23 | 1.000 | 721.97 | 01/09/23 | 711.00 | ... | 10.97 | Option sale to close-put ²⁵ |
| 01/11/23 | 1.000 | 524.97 | 01/10/23 | 721.00 | ... | -196.03 | Option sale to close-put ²⁵ |
| | Security total: | 1,246.94 | | 1,432.00 | ... | -185.06 | |
| SPY 02/16/2023 CALL \$416.00 / CUSIP: / Symbol: | | | | | | | |
| 02/14/23 | 5.000 | 604.97 | 02/14/23 | 525.00 | ... | 79.97 | Option sale to close-call ²⁵ |
| SPY 02/24/2023 CALL \$410.00 / CUSIP: / Symbol: | | | | | | | |
| 01/25/23 | 3.000 | 803.97 | Various | 1,279.00 | 475.03 W | 0.00 | Total of 3 transactions |
| 01/26/23 | 9.000 | 4,499.87 | Various | 2,864.04 | ... | 1,635.83 | Total of 7 transactions |
| 01/26/23 | 1.000 | 499.99 | 01/24/23 | 581.01 | 81.02 W | 0.00 | Option sale to close-call ²⁵ |
| | Security total: | 5,803.83 | | 4,724.05 | 556.05 W | 1,635.83 | |
| SPY 02/24/2023 PUT \$390.00 / CUSIP: / Symbol: | | | | | | | |
| 01/25/23 | 1.000 | 592.97 | 01/24/23 | 446.00 | ... | 146.97 | Option sale to close-put ²⁵ |

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Robinhood Markets Inc. as agent for
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Account 108438870

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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|---|------------------------|---|-------------------|-------------------------|--|---|---|
| SPY 02/24/2023 PUT \$395.00 / CUSIP: / Symbol: | | | | | | | |
| 01/26/23 | 1.000 | 463.97 | 01/26/23 | 460.00 | ... | 3.97 | Option sale to close-put ²⁵ |
| SPY 02/24/2023 PUT \$400.00 / CUSIP: / Symbol: | | | | | | | |
| 01/27/23 | 3.000 | 1,513.91 | Various | 1,580.00 | ... | -66.09 | Total of 3 transactions |
| SPY 02/24/2023 PUT \$405.00 / CUSIP: / Symbol: | | | | | | | |
| 01/27/23 | 2.000 | 1,419.95 | Various | 1,308.00 | ... | 111.95 | Total of 2 transactions |
| SPY 02/24/2023 PUT \$410.00 / CUSIP: / Symbol: | | | | | | | |
| 01/27/23 | 2.000 | 1,801.94 | Various | 1,825.04 | ... | -23.10 | Total of 2 transactions |
| 01/27/23 | 1.000 | 881.96 | 01/27/23 | 937.00 | 55.04 W | 0.00 | Option sale to close-put ²⁵ |
| | Security total: | 2,683.90 | | 2,762.04 | 55.04 W | -23.10 | |
| SPY 03/03/2023 CALL \$410.00 / CUSIP: / Symbol: | | | | | | | |
| 01/30/23 | 2.000 | 1,231.94 | Various | 1,373.03 | 141.09 W | 0.00 | Total of 2 transactions |
| 01/31/23 | 2.000 | 1,227.95 | Various | 1,140.00 | ... | 87.95 | Total of 2 transactions |
| 01/31/23 | 2.000 | 1,227.96 | Various | 1,296.14 | 68.18 W | 0.00 | Total of 2 transactions |
| 02/01/23 | 3.000 | 2,297.90 | Various | 1,846.13 | ... | 451.77 | Total of 3 transactions |
| 02/01/23 | 1.000 | 605.97 | 02/01/23 | 608.10 | 2.13 W | 0.00 | Option sale to close-call ²⁵ |
| | Security total: | 6,591.72 | | 6,263.40 | 211.40 W | 539.72 | |
| SPY 03/03/2023 PUT \$400.00 / CUSIP: / Symbol: | | | | | | | |
| 02/03/23 | 1.000 | 333.98 | 02/02/23 | 306.00 | ... | 27.98 | Option sale to close-put ²⁵ |
| 02/03/23 | 2.000 | 509.96 | Various | 652.00 | 142.04 W | 0.00 | Total of 2 transactions |
| 02/06/23 | 2.000 | 701.97 | Various | 804.04 | ... | -102.07 | Total of 2 transactions |
| | Security total: | 1,545.91 | | 1,762.04 | 142.04 W | -74.09 | |
| SPY 03/03/2023 PUT \$410.00 / CUSIP: / Symbol: | | | | | | | |
| 02/01/23 | 2.000 | 1,343.95 | 02/01/23 | 1,402.00 | 58.05 W | 0.00 | Option sale to close-put ²⁵ |
| 02/07/23 | 4.000 | 2,636.88 | Various | 2,914.05 | ... | -277.17 | Total of 4 transactions |
| | Security total: | 3,980.83 | | 4,316.05 | 58.05 W | -277.17 | |
| SPY 03/17/2023 CALL \$420.00 / CUSIP: / Symbol: | | | | | | | |
| 02/13/23 | 2.000 | 1,101.96 | Various | 916.00 | ... | 185.96 | Total of 2 transactions |

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|---|------------------------|---|-------------------|-------------------------|--|---|---|
| SPY 03/17/2023 PUT \$400.00 / CUSIP: / Symbol: | | | | | | | |
| 02/08/23 | 4.000 | 1,953.92 | Various | 1,700.00 | ... | 253.92 | Total of 2 transactions |
| 02/08/23 | 2.000 | 1,121.96 | 02/08/23 | 1,136.00 | 14.04 W | 0.00 | Option sale to close-put ²⁵ |
| 02/13/23 | 2.000 | 1,049.94 | Various | 1,094.04 | ... | -44.10 | Total of 2 transactions |
| | Security total: | 4,125.82 | | 3,930.04 | 14.04 W | 209.82 | |
| SPY 03/24/2023 CALL \$400.00 / CUSIP: / Symbol: | | | | | | | |
| 02/22/23 | 1.000 | 914.96 | 02/22/23 | 915.00 | 0.04 W | 0.00 | Option sale to close-call ²⁵ |
| 02/23/23 | 1.000 | 964.96 | 02/22/23 | 909.04 | ... | 55.92 | Option sale to close-call ²⁵ |
| | Security total: | 1,879.92 | | 1,824.04 | 0.04 W | 55.92 | |
| SPY 03/24/2023 CALL \$411.00 / CUSIP: / Symbol: | | | | | | | |
| 02/16/23 | 2.000 | 1,899.94 | 02/16/23 | 1,968.00 | ... | -68.06 | Option sale to close-call ²⁵ |
| SPY 03/31/2023 CALL \$402.00 / CUSIP: / Symbol: | | | | | | | |
| 03/29/23 | 1.000 | 199.98 | 03/29/23 | 141.00 | ... | 58.98 | Option sale to close-call ²⁵ |
| SPY 04/03/2023 PUT \$387.00 / CUSIP: / Symbol: | | | | | | | |
| 03/22/23 | 1.000 | 166.98 | 03/21/23 | 293.00 | ... | -126.02 | Option sale to close-put ²⁵ |
| SPY 04/04/2023 PUT \$400.00 / CUSIP: / Symbol: | | | | | | | |
| 03/31/23 | 1.000 | 71.98 | 03/30/23 | 155.00 | ... | -83.02 | Option sale to close-put ²⁵ |
| SPY 04/12/2023 CALL \$410.00 / CUSIP: / Symbol: | | | | | | | |
| 04/11/23 | 2.000 | 406.96 | Various | 266.00 | ... | 140.96 | Total of 2 transactions |
| SPY 04/13/2023 PUT \$397.00 / CUSIP: / Symbol: | | | | | | | |
| 04/04/23 | 1.000 | 77.98 | 04/03/23 | 125.00 | ... | -47.02 | Option sale to close-put ²⁵ |
| SPY 04/17/2023 CALL \$413.00 / CUSIP: / Symbol: | | | | | | | |
| 04/12/23 | 1.000 | 188.98 | 04/11/23 | 214.00 | ... | -25.02 | Option sale to close-call ²⁵ |
| SPY 04/21/2023 CALL \$419.00 / CUSIP: / Symbol: | | | | | | | |
| 04/04/23 | 1.000 | 188.98 | 04/04/23 | 247.00 | ... | -58.02 | Option sale to close-call ²⁵ |
| SPY 04/21/2023 PUT \$400.00 / CUSIP: / Symbol: | | | | | | | |
| 04/06/23 | 1.000 | 278.98 | 04/05/23 | 276.00 | ... | 2.98 | Option sale to close-put ²⁵ |

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|---|------------------------|---|-------------------|-------------------------|--|---|---|
| SPY 05/12/2023 PUT \$398.00 / CUSIP: / Symbol: | | | | | | | |
| 04/26/23 | 1.000 | 349.98 | 04/26/23 | 293.00 | ... | 56.98 | Option sale to close-put ²⁵ |
| SPY 05/22/2023 PUT \$406.00 / CUSIP: / Symbol: | | | | | | | |
| 05/12/23 | 1.000 | 205.98 | 05/11/23 | 227.00 | ... | -21.02 | Option sale to close-put ²⁵ |
| SPY 05/26/2023 PUT \$406.00 / CUSIP: / Symbol: | | | | | | | |
| 05/18/23 | 1.000 | 59.98 | 05/15/23 | 213.00 | ... | -153.02 | Option sale to close-put ²⁵ |
| SPY 06/30/2023 PUT \$430.00 / CUSIP: / Symbol: | | | | | | | |
| 06/09/23 | 2.000 | 1,010.96 | Various | 1,000.00 | ... | 10.96 | Total of 2 transactions |
| SPY 07/07/2023 CALL \$445.00 / CUSIP: / Symbol: | | | | | | | |
| 07/07/23 | 20.000 | 19.93 | Various | 220.00 | ... | -200.07 | Total of 2 transactions |
| SPY 07/21/2023 CALL \$460.00 / CUSIP: / Symbol: | | | | | | | |
| 07/12/23 | 20.000 | 199.88 | Various | 300.01 | ... | -100.13 | Total of 11 transactions |
| 07/12/23 | 20.000 | 199.96 | Various | 330.00 | 130.04 W | 0.00 | Total of 9 transactions |
| 07/14/23 | 10.000 | 254.94 | Various | 220.03 | ... | 34.91 | Total of 3 transactions |
| | Security total: | 654.78 | | 850.04 | 130.04 W | -65.22 | |
| SPY 07/21/2023 PUT \$400.00 / CUSIP: / Symbol: | | | | | | | |
| 06/02/23 | 4.000 | 927.98 | 06/01/23 | 1,260.00 | ... | -332.02 | Option sale to close-put ²⁵ |
| SPY 07/21/2023 PUT \$430.00 / CUSIP: / Symbol: | | | | | | | |
| 07/12/23 | 4.000 | 107.98 | Various | 280.00 | ... | -172.02 | Total of 2 transactions |
| SPY 07/28/2023 CALL \$460.00 / CUSIP: / Symbol: | | | | | | | |
| 06/30/23 | 74.000 | 4,655.77 | Various | 1,894.09 | ... | 2,761.68 | Total of 21 transactions |
| 06/30/23 | 16.000 | 1,023.91 | Various | 1,684.03 | 660.12 W | 0.00 | Total of 8 transactions |
| 07/03/23 | 8.000 | 511.97 | Various | 104.00 | ... | 407.97 | Total of 2 transactions |
| 07/06/23 | 2.000 | 49.98 | 06/26/23 | 26.00 | ... | 23.98 | Option sale to close-call ²⁵ |
| | Security total: | 6,241.63 | | 3,708.12 | 660.12 W | 3,193.63 | |

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(continued)

02/12/2024

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|---|------------------------|---|-------------------|-------------------------|--|---|---|
| SPY 08/04/2023 CALL \$460.00 / CUSIP: / Symbol: | | | | | | | |
| 07/19/23 | 2.000 | 619.96 | Various | 412.00 | ... | 207.96 | Total of 2 transactions |
| 07/27/23 | 5.000 | 1,183.94 | Various | 679.00 | ... | 504.94 | Total of 4 transactions |
| | Security total: | 1,803.90 | | 1,091.00 | ... | 712.90 | |
| SPY 08/04/2023 CALL \$470.00 / CUSIP: / Symbol: | | | | | | | |
| 07/26/23 | 100.000 | 899.75 | Various | 3,300.00 | 2,400.25 W | 0.00 | Total of 15 transactions |
| 07/27/23 | 100.000 | 499.74 | Various | 3,950.25 | ... | -3,450.51 | Total of 20 transactions |
| | Security total: | 1,399.49 | | 7,250.25 | 2,400.25 W | -3,450.51 | |
| SPY 08/04/2023 PUT \$450.00 / CUSIP: / Symbol: | | | | | | | |
| 07/27/23 | 1.000 | 52.98 | 07/26/23 | 167.00 | ... | -114.02 | Option sale to close-put ²⁵ |
| SPY 08/25/2023 CALL \$460.00 / CUSIP: / Symbol: | | | | | | | |
| 08/10/23 | 10.000 | 1,381.88 | Various | 810.00 | ... | 571.88 | Total of 6 transactions |
| SPY 08/25/2023 CALL \$465.00 / CUSIP: / Symbol: | | | | | | | |
| 08/08/23 | 4.000 | 139.98 | Various | 345.00 | ... | -205.02 | Total of 2 transactions |
| SPY 09/29/2023 PUT \$440.00 / CUSIP: / Symbol: | | | | | | | |
| 08/21/23 | 1.000 | 880.98 | 08/17/23 | 837.00 | ... | 43.98 | Option sale to close-put ²⁵ |
| 08/23/23 | 1.000 | 716.98 | 08/21/23 | 986.00 | ... | -269.02 | Option sale to close-put ²⁵ |
| | Security total: | 1,597.96 | | 1,823.00 | ... | -225.04 | |
| SPY 10/06/2023 PUT \$450.00 / CUSIP: / Symbol: | | | | | | | |
| 09/05/23 | 2.000 | 1,205.98 | Various | 1,139.02 | ... | 66.96 | Total of 2 transactions |
| 09/05/23 | 1.000 | 569.98 | 08/31/23 | 571.00 | 1.02 W | 0.00 | Option sale to close-put ²⁵ |
| | Security total: | 1,775.96 | | 1,710.02 | 1.02 W | 66.96 | |
| SPY 12/15/2023 CALL \$470.00 / CUSIP: / Symbol: | | | | | | | |
| 08/16/23 | 1.000 | 522.98 | 08/10/23 | 645.00 | ... | -122.02 | Option sale to close-call ²⁵ |
| SPY 12/15/2023 PUT \$450.00 / CUSIP: / Symbol: | | | | | | | |
| 08/02/23 | 3.000 | 3,770.93 | Various | 3,282.00 | ... | 488.93 | Total of 3 transactions |
| SQ 03/24/2023 CALL \$65.00 / CUSIP: / Symbol: | | | | | | | |
| 03/23/23 | 1.000 | 227.98 | 03/23/23 | 177.00 | ... | 50.98 | Option sale to close-call ²⁵ |

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|--|------------------------|---|-------------------|-------------------------|--|---|---|
| TSLA 01/27/2023 PUT \$110.00 / CUSIP: / Symbol: | | | | | | | |
| 01/03/23 | 1.000 | 1,149.96 | 12/30/22 | 673.00 | ... | 476.96 | Option sale to close-put ²⁵ |
| TSLA 02/03/2023 CALL \$165.00 / CUSIP: / Symbol: | | | | | | | |
| 01/26/23 | 2.000 | 849.95 | Various | 442.00 | ... | 407.95 | Total of 2 transactions |
| TSLA 03/24/2023 CALL \$192.50 / CUSIP: / Symbol: | | | | | | | |
| 03/14/23 | 1.000 | 264.98 | 03/13/23 | 179.00 | ... | 85.98 | Option sale to close-call ²⁵ |
| TSLA 06/23/2023 CALL \$270.00 / CUSIP: / Symbol: | | | | | | | |
| 06/22/23 | 2.000 | 161.98 | 06/21/23 | 488.00 | 163.01 W | -163.01 | Option sale to close-call ²⁵ |
| 06/23/23 | 1.000 | 25.98 | 06/22/23 | 326.01 | ... | -300.03 | Option sale to close-call ²⁵ |
| | Security total: | 187.96 | | 814.01 | 163.01 W | -463.04 | |
| TSLA 06/23/2023 CALL \$285.00 / CUSIP: / Symbol: | | | | | | | |
| 06/13/23 | 4.000 | 874.92 | Various | 936.06 | ... | -61.14 | Total of 4 transactions |
| 06/13/23 | 4.000 | 891.94 | Various | 1,148.00 | 256.06 W | 0.00 | Total of 3 transactions |
| | Security total: | 1,766.86 | | 2,084.06 | 256.06 W | -61.14 | |
| TSLA 06/30/2023 CALL \$260.00 / CUSIP: / Symbol: | | | | | | | |
| 06/28/23 | 2.000 | 799.98 | Various | 928.00 | ... | -128.02 | Total of 2 transactions |
| TSLA 07/07/2023 CALL \$300.00 / CUSIP: / Symbol: | | | | | | | |
| 07/05/23 | 4.000 | 239.98 | Various | 400.02 | ... | -160.04 | Total of 2 transactions |
| 07/05/23 | 1.000 | 59.98 | 07/03/23 | 92.00 | 32.02 W | 0.00 | Option sale to close-call ²⁵ |
| | Security total: | 299.96 | | 492.02 | 32.02 W | -160.04 | |
| TSLA 07/21/2023 CALL \$330.00 / CUSIP: / Symbol: | | | | | | | |
| 07/19/23 | 4.000 | 775.93 | Various | 644.01 | ... | 131.92 | Total of 4 transactions |
| 07/19/23 | 1.000 | 196.99 | 07/17/23 | 200.00 | 3.01 W | 0.00 | Option sale to close-call ²⁵ |
| 07/20/23 | 3.000 | 17.98 | Various | 552.00 | ... | -534.02 | Total of 3 transactions |
| | Security total: | 990.90 | | 1,396.01 | 3.01 W | -402.10 | |
| TSLA 03/24/2023 CALL \$13.00 / CUSIP: / Symbol: | | | | | | | |
| 02/27/23 | 5.000 | 699.98 | Various | 700.00 | ... | -0.02 | Total of 2 transactions |

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|--|------------------------|---|-------------------|-------------------------|--|---|---|
| TVTX 03/17/2023 PUT \$20.00 / CUSIP: / Symbol: | | | | | | | |
| 02/17/23 | 1.000 | 299.98 | 02/17/23 | 510.00 | ... | -210.02 | Option sale to close-put ²⁵ |
| UBER 07/21/2023 PUT \$42.50 / CUSIP: / Symbol: | | | | | | | |
| 07/11/23 | 4.000 | 407.96 | Various | 308.00 | ... | 99.96 | Total of 4 transactions |
| UNH 07/21/2023 CALL \$480.00 / CUSIP: / Symbol: | | | | | | | |
| 06/15/23 | 1.000 | 949.98 | 06/14/23 | 540.00 | ... | 409.98 | Option sale to close-call ²⁵ |
| UNH 07/21/2023 CALL \$487.50 / CUSIP: / Symbol: | | | | | | | |
| 07/14/23 | 4.000 | 291.98 | Various | 486.00 | ... | -194.02 | Total of 3 transactions |
| UVXY 05/26/2023 CALL \$4.00 / CUSIP: / Symbol: | | | | | | | |
| 05/10/23 | 5.000 | 99.98 | 05/10/23 | 100.00 | ... | -0.02 | Option sale to close-call ²⁵ |
| VORB 04/21/2023 CALL \$1.00 / CUSIP: / Symbol: | | | | | | | |
| 03/27/23 | 3.000 | 14.98 | 03/24/23 | 45.00 | ... | -30.02 | Option sale to close-call ²⁵ |
| ADAMAS ONE CORP. COMMON STOCK / CUSIP: 00548H101 / Symbol: | | | | | | | |
| 02/22/23 | 479.000 | 814.21 | Various | 924.14 | ... | -109.93 | Total of 4 transactions |
| 02/22/23 | 21.000 | 35.70 | Various | 40.16 | 4.46 W | 0.00 | Total of 2 transactions |
| | Security total: | 849.91 | | 964.30 | 4.46 W | -109.93 | |
| ADVANCED HEALTH INTELLIGENCE L TD. AMERICAN DEPOSITARY SHARES / CUSIP: 00777C104 / Symbol: | | | | | | | |
| 06/12/23 | 100.000 | 256.01 | 06/09/23 | 250.00 | ... | 6.01 | Sale ²⁵ |
| AERWINS TECHNOLOGIES INC. COMM ON STOCK / CUSIP: 00810J108 / Symbol: | | | | | | | |
| 02/27/23 | 500.000 | 1,300.04 | Various | 1,084.80 | ... | 215.24 | Total of 3 transactions |
| AFFIRM HOLDINGS, INC. CLASS A COMMON STOCK / CUSIP: 00827B106 / Symbol: | | | | | | | |
| 02/09/23 | 100.000 | 1,345.65 | Various | 1,317.00 | ... | 28.65 | Total of 3 transactions |
| AKANDA CORP. COMMON SHARES / CUSIP: 00971M106 / Symbol: | | | | | | | |
| 02/15/23 | 5,000.000 | 1,126.74 | Various | 1,189.48 | ... | -62.74 | Total of 2 transactions |
| ALIMERA SCIENCES, INC. COMMON STOCK / CUSIP: 016259202 / Symbol: | | | | | | | |
| 05/19/23 | 390.000 | 862.30 | Various | 1,089.00 | ... | -226.70 | Total of 2 transactions |

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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| ALPHABET INC. CLASS A COMMON S TOCK / CUSIP: 02079K305 / Symbol: | | | | | | | |
| 02/08/23 | 100.000 | 9,917.77 | 02/08/23 | 9,960.99 | ... | -43.22 | Sale ²⁵ |
| AMBRX BIOPHARMA INC. AMERICAN DEPOSITARY SHARES / CUSIP: 02290A102 / Symbol: | | | | | | | |
| 02/16/23 | 1,600.000 | 4,184.90 | Various | 4,134.64 | ... | 50.26 | Total of 9 transactions |
| 02/16/23 | 199.000 | 523.50 | 02/16/23 | 548.62 | 25.12 W | 0.00 | Sale ²⁵ |
| | Security total: | 4,708.40 | | 4,683.26 | 25.12 W | 50.26 | |
| AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol: | | | | | | | |
| 01/26/23 | 39.000 | 3,847.53 | 01/25/23 | 3,620.37 | ... | 227.16 | Sale ²⁵ |
| 01/31/23 | 200.000 | 20,460.80 | Various | 20,292.40 | ... | 168.40 | Total of 4 transactions |
| 02/02/23 | 100.000 | 10,982.33 | Various | 10,674.63 | ... | 307.70 | Total of 4 transactions |
| 02/14/23 | 1.000 | 99.27 | 02/01/23 | 106.79 | ... | -7.52 | Sale ²⁵ |
| | Security total: | 35,389.93 | | 34,694.19 | ... | 695.74 | |
| AMESITE INC. COMMON STOCK / CUSIP: 031094105 / Symbol: | | | | | | | |
| 02/14/23 | 1,000.000 | 636.53 | 02/14/23 | 550.00 | ... | 86.53 | Sale ²⁵ |
| 02/14/23 | 1,500.000 | 854.76 | Various | 960.15 | 105.39 W | 0.00 | Total of 2 transactions |
| 02/16/23 | 8,000.000 | 3,453.16 | Various | 4,126.24 | ... | -673.08 | Total of 12 transactions |
| | Security total: | 4,944.45 | | 5,636.39 | 105.39 W | -586.55 | |
| APPLIED OPTOELECTRONICS, INC. COMMON STOCK / CUSIP: 03823U102 / Symbol: | | | | | | | |
| 08/09/23 | 100.000 | 1,150.85 | Various | 1,229.00 | ... | -78.15 | Total of 2 transactions |
| ATLIS MOTOR VEHICLES, INC. CLA SS A COMMON STOCK / CUSIP: 049506108 / Symbol: | | | | | | | |
| 02/15/23 | 1,000.000 | 1,829.83 | Various | 1,779.82 | ... | 50.01 | Total of 6 transactions |
| AXCELLA HEALTH INC. COMMON STO CK / CUSIP: 05454B105 / Symbol: | | | | | | | |
| 02/16/23 | 1,000.000 | 699.87 | Various | 815.30 | ... | -115.43 | Total of 6 transactions |
| AVROBIO, INC. COMMON STOCK / CUSIP: 05455M100 / Symbol: | | | | | | | |
| 02/21/23 | 1,000.000 | 1,671.11 | 02/17/23 | 1,670.00 | ... | 1.11 | Sale ²⁵ |
| BED BATH & BEYOND INC COMMON S TOCK / CUSIP: 075896100 / Symbol: | | | | | | | |
| 02/17/23 | 1,000.000 | 1,804.80 | Various | 1,929.40 | ... | -124.60 | Total of 2 transactions |
| 02/17/23 | 1,000.000 | 1,899.80 | Various | 1,939.80 | 40.00 W | 0.00 | Total of 2 transactions |
| | Security total: | 3,704.60 | | 3,869.20 | 40.00 W | -124.60 | |

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|--|------------------------|---|-------------------|-------------------------|--|---|--------------------------|
| BEYOND MEAT, INC. COMMON STOCK / CUSIP: 08862E109 / Symbol: | | | | | | | |
| 07/25/23 | 1.000 | 15.44 | 07/20/23 | 16.80 | ... | -1.36 | Sale ²⁵ |
| BIGBEAR.AI HOLDINGS, INC. / CUSIP: 08975B109 / Symbol: | | | | | | | |
| 02/08/23 | 400.000 | 2,131.93 | Various | 2,281.25 | ... | -149.32 | Total of 3 transactions |
| 02/08/23 | 100.000 | 541.97 | 02/08/23 | 563.50 | 21.53 W | 0.00 | Sale ²⁵ |
| 04/17/23 | 300.000 | 1,106.45 | Various | 959.94 | ... | 146.51 | Total of 2 transactions |
| | Security total: | 3,780.35 | | 3,804.69 | 21.53 W | -2.81 | |
| BIONOMICS LIMITED AMERICAN DEP OSITORY SHARES / CUSIP: 09063M205 / Symbol: | | | | | | | |
| 03/13/23 | 1.000 | 3.28 | 03/07/23 | 3.98 | ... | -0.70 | Sale ²⁵ |
| BIOVENTUS INC. CLASS A COMMON STOCK / CUSIP: 09075A108 / Symbol: | | | | | | | |
| 03/06/23 | 350.000 | 848.46 | Various | 819.00 | ... | 29.46 | Total of 4 transactions |
| BIRD GLOBAL, INC. / CUSIP: 09077J107 / Symbol: | | | | | | | |
| 03/29/23 | 5,000.000 | 1,170.01 | Various | 1,019.88 | ... | 150.13 | Total of 8 transactions |
| BLUE STAR FOODS CORP. COMMON S TOCK / CUSIP: 09606H101 / Symbol: | | | | | | | |
| 03/13/23 | 10.000 | 1.64 | 03/07/23 | 1.93 | ... | -0.29 | Sale ²⁵ |
| ONCONETIX, INC. COMMON STOCK / CUSIP: 09610B108 / Symbol: | | | | | | | |
| 02/14/23 | 1,000.000 | 1,539.81 | 02/14/23 | 1,609.90 | ... | -70.09 | Sale ²⁵ |
| BUZZFEED, INC. CLASS A COMMON STOCK / CUSIP: 12430A102 / Symbol: | | | | | | | |
| 01/26/23 | 500.000 | 1,319.89 | Various | 1,418.58 | ... | -98.69 | Total of 2 transactions |
| C3.AI, INC. / CUSIP: 12468P104 / Symbol: | | | | | | | |
| 04/11/23 | 1.000 | 23.05 | 03/03/23 | 27.53 | ... | -4.48 | Sale ²⁵ |
| 06/05/23 | 5.000 | 177.50 | 05/31/23 | 196.95 | ... | -19.45 | Sale ²⁵ |
| | Security total: | 200.55 | | 224.48 | ... | -23.93 | |
| CADRENAL THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 127636108 / Symbol: | | | | | | | |
| 01/31/23 | 900.000 | 2,477.96 | Various | 2,351.12 | ... | 126.84 | Total of 3 transactions |
| 02/01/23 | 999.000 | 2,867.44 | Various | 2,761.23 | ... | 106.21 | Total of 10 transactions |
| 02/02/23 | 1.000 | 2.62 | 01/31/23 | 2.79 | ... | -0.17 | Sale ²⁵ |
| | Security total: | 5,348.02 | | 5,115.14 | ... | 232.88 | |

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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| CAMBER ENERGY, INC / CUSIP: 13200M607 / Symbol: | | | | | | | |
| 01/10/23 | 1.000 | 1.72 | 12/13/22 | 0.09 | ... | 1.63 | Sale ²⁵ |
| CARDIO DIAGNOSTICS HOLDINGS IN C. COMMON STOCK / CUSIP: 14159C103 / Symbol: | | | | | | | |
| 02/28/23 | 40.000 | 125.22 | Various | 138.80 | ... | -13.58 | Total of 2 transactions |
| CARIBOU BIOSCIENCES, INC. COMM ON STOCK / CUSIP: 142038108 / Symbol: | | | | | | | |
| 07/07/23 | 500.000 | 3,115.00 | 07/06/23 | 3,067.50 | ... | 47.50 | Sale ²⁵ |
| CARVANA CO. / CUSIP: 146869102 / Symbol: | | | | | | | |
| 07/20/23 | 50.000 | 2,568.20 | 07/19/23 | 2,869.00 | 300.80 W | 0.00 | Sale ²⁵ |
| 07/24/23 | 100.000 | 4,370.95 | Various | 5,017.80 | ... | -646.85 | Total of 2 transactions |
| | Security total: | 6,939.15 | | 7,886.80 | 300.80 W | -646.85 | |
| CATALYST BIOSCIENCES, INC. COM MON STOCK / CUSIP: 14888D208 / Symbol: | | | | | | | |
| 02/28/23 | 2,000.000 | 641.70 | Various | 759.97 | ... | -118.27 | Total of 3 transactions |
| CISO GLOBAL, INC. COMMON STOCK / CUSIP: 15672X102 / Symbol: | | | | | | | |
| 03/22/23 | 2,700.000 | 836.87 | Various | 1,371.43 | ... | -534.56 | Total of 9 transactions |
| CLEARMIND MEDICINE INC. COMMON SHARES / CUSIP: 185053204 / Symbol: | | | | | | | |
| 04/21/23 | 1,753.000 | 1,151.13 | Various | 1,278.85 | ... | -127.72 | Total of 3 transactions |
| 04/21/23 | 247.000 | 161.15 | 04/19/23 | 177.84 | 16.69 W | 0.00 | Sale ²⁵ |
| | Security total: | 1,312.28 | | 1,456.69 | 16.69 W | -127.72 | |
| CLENE INC. COMMON STOCK / CUSIP: 185634102 / Symbol: | | | | | | | |
| 02/13/23 | 100.000 | 172.19 | 02/13/23 | 210.00 | ... | -37.81 | Sale ²⁵ |
| CNS PHARMACEUTICALS, INC. COMM ON STOCK / CUSIP: 18978H201 / Symbol: | | | | | | | |
| 04/06/23 | 1,000.000 | 1,099.84 | 04/06/23 | 1,240.00 | 30.83 W | -109.33 | Sale ²⁵ |
| 05/04/23 | 220.000 | 378.48 | Various | 452.98 | ... | -74.50 | Total of 3 transactions |
| | Security total: | 1,478.32 | | 1,692.98 | 30.83 W | -183.83 | |
| GD CULTURE GROUP LIMITED COMMO N STOCK / CUSIP: 19200A204 / Symbol: | | | | | | | |
| 08/28/23 | 2,422.000 | 7,992.17 | Various | 10,540.15 | ... | -2,547.98 | Total of 34 transactions |
| 08/28/23 | 7,576.000 | 30,630.30 | Various | 34,789.61 | 4,097.24 W | -62.07 | Total of 72 transactions |
| | Security total: | 38,622.47 | | 45,329.76 | 4,097.24 W | -2,610.05 | |

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Account 108438870

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(continued)

02/12/2024

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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| COMSOVEREIGN HOLDING CORP. COM MON STOCK / CUSIP: 205650203 / Symbol: | | | | | | | |
| 01/26/23 | 2,999.000 | 313.46 | Various | 200.38 | ... | 113.08 | Total of 5 transactions |
| 02/08/23 | 1.000 | 0.06 | 01/12/23 | 0.07 | ... | -0.01 | Sale ²⁵ |
| | Security total: | 313.52 | | 200.45 | ... | 113.07 | |
| CONTEXTLOGIC INC. CLASS A COMM ON STOCK / CUSIP: 21077C107 / Symbol: | | | | | | | |
| 02/16/23 | 1,000.000 | 888.82 | 02/16/23 | 892.85 | ... | -4.03 | Sale ²⁵ |
| CREATIVE MEDICAL TECHNOLOGY HO LDINGS, INC. COMMON STOCK / CUSIP: 22529Y309 / Symbol: | | | | | | | |
| 04/17/23 | 600.000 | 401.91 | Various | 611.67 | ... | -209.76 | Total of 4 transactions |
| CURIS, INC. COMMON STOCK / CUSIP: 231269200 / Symbol: | | | | | | | |
| 07/14/23 | 1,000.000 | 818.94 | Various | 893.78 | ... | -74.84 | Total of 3 transactions |
| DELTA AIR LINES, INC. / CUSIP: 247361702 / Symbol: | | | | | | | |
| 07/13/23 | 100.000 | 5,006.53 | Various | 4,813.84 | ... | 192.69 | Total of 8 transactions |
| DERMATA THERAPEUTICS, INC. COM MON STOCK / CUSIP: 249845306 / Symbol: | | | | | | | |
| 03/24/23 | 500.000 | 1,152.40 | Various | 1,020.00 | ... | 132.40 | Total of 6 transactions |
| DIREXION DAILY S&P 500 BEAR 3X SHARES / CUSIP: 25460E265 / Symbol: | | | | | | | |
| 02/14/23 | 99.000 | 1,759.17 | Various | 1,757.77 | ... | 1.40 | Total of 3 transactions |
| 02/14/23 | 100.000 | 1,773.26 | Various | 1,795.66 | 22.40 W | 0.00 | Total of 3 transactions |
| 02/15/23 | 1.000 | 17.74 | 02/14/23 | 17.69 | ... | 0.05 | Sale ²⁵ |
| | Security total: | 3,550.17 | | 3,571.12 | 22.40 W | 1.45 | |
| DIREXION SHARES ETF TRUST DIRE XION DAILY TSLA BULL 1.5X SHAR ES / CUSIP: 25460G286 / Symbol: | | | | | | | |
| 07/05/23 | 200.000 | 3,795.02 | Various | 3,749.90 | ... | 45.12 | Total of 2 transactions |
| THE WALT DISNEY COMPANY / CUSIP: 254687106 / Symbol: | | | | | | | |
| 02/08/23 | 99.000 | 11,936.60 | Various | 11,046.16 | ... | 890.44 | Total of 3 transactions |
| 02/14/23 | 1.000 | 107.50 | 02/08/23 | 111.59 | ... | -4.09 | Sale ²⁵ |
| | Security total: | 12,044.10 | | 11,157.75 | ... | 886.35 | |
| DOORDASH, INC. CLASS A COMMON STOCK / CUSIP: 25809K105 / Symbol: | | | | | | | |
| 02/16/23 | 100.000 | 7,357.32 | Various | 6,740.00 | ... | 617.32 | Total of 2 transactions |

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Account 108438870

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|--|------------------------|---|-------------------|-------------------------|--|---|--------------------------|
| ELECTRONIC ARTS INC. COMMON STOCK / CUSIP: 285512109 / Symbol: | | | | | | | |
| 02/01/23 | 50.000 | 5,671.38 | Various | 6,042.60 | 371.22 W | 0.00 | Total of 2 transactions |
| 02/02/23 | 250.000 | 28,569.30 | Various | 29,867.12 | ... | -1,297.82 | Total of 11 transactions |
| | Security total: | 34,240.68 | | 35,909.72 | 371.22 W | -1,297.82 | |
| ELEVATION ONCOLOGY, INC. COMMON STOCK / CUSIP: 28623U101 / Symbol: | | | | | | | |
| 06/22/23 | 200.000 | 301.97 | 06/09/23 | 418.00 | 116.03 W | 0.00 | Sale ²⁵ |
| 06/23/23 | 800.000 | 1,127.87 | Various | 1,578.03 | ... | -450.16 | Total of 3 transactions |
| | Security total: | 1,429.84 | | 1,996.03 | 116.03 W | -450.16 | |
| ENPHASE ENERGY, INC. COMMON STOCK / CUSIP: 29355A107 / Symbol: | | | | | | | |
| 02/07/23 | 49.000 | 12,002.21 | Various | 11,042.65 | ... | 959.56 | Total of 4 transactions |
| 02/07/23 | 49.000 | 11,070.80 | 02/07/23 | 11,159.75 | 88.95 W | 0.00 | Sale ²⁵ |
| 02/14/23 | 1.000 | 208.80 | 02/07/23 | 225.31 | ... | -16.51 | Sale ²⁵ |
| | Security total: | 23,281.81 | | 22,427.71 | 88.95 W | 943.05 | |
| EQUITY LIFESTYLE PROPERTIES, INC. / CUSIP: 29472R108 / Symbol: | | | | | | | |
| 07/18/23 | 50.000 | 3,274.10 | Various | 3,361.06 | ... | -86.96 | Total of 5 transactions |
| ESPORTS ENTERTAINMENT GROUP INC. COMMON STOCK / CUSIP: 29667K504 / Symbol: | | | | | | | |
| 02/22/23 | 1,090.000 | 4,507.32 | Various | 9,406.16 | ... | -4,898.84 | Total of 22 transactions |
| 02/22/23 | 10.000 | 41.30 | 02/17/23 | 101.60 | 60.30 W | 0.00 | Sale ²⁵ |
| | Security total: | 4,548.62 | | 9,507.76 | 60.30 W | -4,898.84 | |
| EVELO BIOSCIENCES, INC. COMMON STOCK / CUSIP: 299734103 / Symbol: | | | | | | | |
| 04/27/23 | 2,000.000 | 483.71 | 04/27/23 | 492.20 | ... | -8.49 | Sale ²⁵ |
| EXPION360 INC. COMMON STOCK / CUSIP: 30218B100 / Symbol: | | | | | | | |
| 02/13/23 | 1,000.000 | 3,850.85 | Various | 3,943.69 | ... | -92.84 | Total of 20 transactions |
| 02/13/23 | 1,500.000 | 5,759.69 | Various | 6,030.14 | 270.45 W | 0.00 | Total of 18 transactions |
| | Security total: | 9,610.54 | | 9,973.83 | 270.45 W | -92.84 | |
| FARADAY FUTURE INTELLIGENT ELECTRIC INC. COMMON STOCK / CUSIP: 307359109 / Symbol: | | | | | | | |
| 05/12/23 | 5,900.000 | 1,441.67 | Various | 1,273.57 | ... | 168.10 | Total of 2 transactions |
| 07/06/23 | 5,000.000 | 979.76 | 07/03/23 | 1,019.00 | ... | -39.24 | Sale ²⁵ |
| | Security total: | 2,421.43 | | 2,292.57 | ... | 128.86 | |

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Account 108438870

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02/12/2024

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|--|------------------------|---|-------------------|-------------------------|--|---|--|
| FOXO TECHNOLOGIES INC. / CUSIP: 351471107 / Symbol: | | | | | | | |
| 01/27/23 | 5,000.000 | 4,905.26 | Various | 4,772.49 | ... | 132.77 | Total of 6 transactions |
| 01/27/23 | 1,000.000 | 976.33 | Various | 1,069.90 | 93.57 W | 0.00 | Total of 2 transactions |
| | Security total: | 5,881.59 | | 5,842.39 | 93.57 W | 132.77 | |
| FRESH VINE WINE, INC. / CUSIP: 35804X101 / Symbol: | | | | | | | |
| 07/03/23 | 10,000.000 | 6,523.49 | 07/03/23 | 6,651.00 | ... | -127.51 | Sale ²⁵ |
| GENETIC TECHNOLOGIES LTD ADS / CUSIP: 37185R307 / Symbol: | | | | | | | |
| 02/09/23 | 300.000 | 524.95 | Various | 581.02 | ... | -56.07 | Total of 5 transactions |
| 02/09/23 | 700.000 | 1,224.87 | 02/09/23 | 1,323.00 | 14.02 W | -84.11 | Sale ²⁵ |
| | Security total: | 1,749.82 | | 1,904.02 | 14.02 W | -140.18 | |
| HEART TEST LABORATORIES, INC. COMMON STOCK / CUSIP: 42254E104 / Symbol: | | | | | | | |
| 01/30/23 | 1,000.000 | 2,054.52 | Various | 1,639.50 | ... | 415.02 | Total of 4 transactions |
| 01/31/23 | 639.000 | 1,489.14 | Various | 1,412.19 | ... | 76.95 | Total of 6 transactions |
| 01/31/23 | 351.000 | 773.96 | Various | 775.71 | 1.75 W | 0.00 | Total of 4 transactions |
| 02/02/23 | 2,000.000 | 3,448.96 | Various | 4,193.45 | 744.49 W | 0.00 | Total of 19 transactions |
| 02/03/23 | 2,998.000 | 11,005.17 | Various | 11,766.16 | 760.99 W | 0.00 | Total of 38 transactions |
| 02/06/23 | 2,499.000 | 6,722.71 | Various | 8,974.27 | 2,225.31 W | -26.25 | Total of 53 transactions |
| 02/07/23 | 390.000 | 1,230.22 | Various | 1,472.88 | ... | -242.66 | Total of 14 transactions |
| 02/16/23 | 1,000.000 | 1,854.30 | Various | 3,394.74 | ... | -1,540.44 | Total of 31 transactions |
| | Security total: | 28,578.98 | | 33,628.90 | 3,732.54 W | -1,317.38 | |
| MICROMOBILITY.COM INC. CLASS A COMMON STOCK / CUSIP: 42309B402 / Symbol: | | | | | | | |
| 07/06/23 | 10,000.000 | 1,390.58 | Various | 1,240.00 | ... | 150.58 | Total of 5 transactions |
| HOTH THERAPEUTICS, INC. COMMON STOCK / CUSIP: 44148G204 / Symbol: | | | | | | | |
| 02/16/23 | 301.000 | 955.68 | Various | 935.74 | ... | 19.94 | Total of 4 transactions |
| 02/16/23 | 100.000 | 317.48 | 02/16/23 | 322.99 | 0.06 W | -5.45 | Sale ²⁵ |
| | Security total: | 1,273.16 | | 1,258.73 | 0.06 W | 14.49 | |
| HOUR LOOP, INC. COMMON STOCK / CUSIP: 44170P106 / Symbol: | | | | | | | |
| 05/03/23 | 300.000 | 621.22 | Various | 1,327.90 | ... | -706.68 | Total of 2 transactions |

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Proceeds from Broker and Barter Exchange Transactions

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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| HUMANIGEN INC COM NEW / CUSIP: 444863203 / Symbol: | | | | | | | |
| 02/15/23 | 3,100.000 | 595.94 | Various | 657.72 | ... | -61.78 | Total of 9 transactions |
| 02/15/23 | 1,900.000 | 372.13 | Various | 391.97 | 18.19 W | -1.65 | Total of 4 transactions |
| | Security total: | 968.07 | | 1,049.69 | 18.19 W | -63.43 | |
| HUT 8 MINING CORP. COMMON SHAR ES / CUSIP: 44812T102 / Symbol: | | | | | | | |
| 06/21/23 | 600.000 | 1,653.92 | Various | 1,668.00 | ... | -14.08 | Total of 3 transactions |
| HYPERFINE, INC. CLASS A COMMON STOCK / CUSIP: 44916K106 / Symbol: | | | | | | | |
| 02/23/23 | 1,650.000 | 2,098.43 | Various | 2,627.19 | ... | -528.76 | Total of 22 transactions |
| 02/23/23 | 1,350.000 | 1,727.76 | Various | 2,193.65 | 464.99 W | -0.90 | Total of 18 transactions |
| | Security total: | 3,826.19 | | 4,820.84 | 464.99 W | -529.66 | |
| IBIO, INC. / CUSIP: 451033609 / Symbol: | | | | | | | |
| 02/16/23 | 800.000 | 1,343.87 | Various | 1,352.00 | 5.07 W | -3.06 | Total of 4 transactions |
| 02/17/23 | 200.000 | 292.27 | 02/16/23 | 338.00 | ... | -45.73 | Sale ²⁵ |
| 02/22/23 | 500.000 | 775.19 | Various | 934.62 | ... | -159.43 | Total of 4 transactions |
| | Security total: | 2,411.33 | | 2,624.62 | 5.07 W | -208.22 | |
| IDEANOMICS, INC. COMMON STOCK / CUSIP: 45166V205 / Symbol: | | | | | | | |
| 08/28/23 | 80.000 | 279.59 | 08/24/23 | 347.00 | ... | -67.41 | Sale ²⁵ |
| INMUNE BIO INC. COMMON STOCK / CUSIP: 45782T105 / Symbol: | | | | | | | |
| 07/18/23 | 100.000 | 921.48 | 07/17/23 | 1,113.00 | ... | -191.52 | Sale ²⁵ |
| INPIXON COMMON STOCK / CUSIP: 45790J867 / Symbol: | | | | | | | |
| 02/14/23 | 1,000.000 | 1,000.82 | 02/14/23 | 1,190.00 | ... | -189.18 | Sale ²⁵ |
| 03/31/23 | 2,600.000 | 1,370.32 | Various | 1,164.69 | ... | 205.63 | Total of 8 transactions |
| | Security total: | 2,371.14 | | 2,354.69 | ... | 16.45 | |
| INOZYME PHARMA, INC. COMMON ST OCK / CUSIP: 45790W108 / Symbol: | | | | | | | |
| 02/16/23 | 1,650.000 | 4,800.87 | Various | 4,743.60 | ... | 57.27 | Total of 16 transactions |
| 02/16/23 | 500.000 | 1,350.24 | Various | 1,515.60 | 165.36 W | 0.00 | Total of 2 transactions |
| 02/17/23 | 500.000 | 1,434.89 | Various | 1,714.36 | ... | -279.47 | Total of 4 transactions |
| | Security total: | 7,586.00 | | 7,973.56 | 165.36 W | -222.20 | |

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| INNOVATIVE EYEWEAR, INC. COMMO N STOCK / CUSIP: 45791D109 / Symbol: | | | | | | | |
| 05/04/23 | 1.000 | 2.43 | 04/11/23 | 3.35 | ... | -0.92 | Sale ²⁵ |
| INTERACTIVE STRENGTH INC. COMM ON STOCK / CUSIP: 45840Y104 / Symbol: | | | | | | | |
| 06/12/23 | 200.000 | 903.58 | Various | 1,057.98 | ... | -154.40 | Total of 3 transactions |
| INTERACTIVE BROKERS GROUP, INC . CLASS A COMMON STOCK / CUSIP: 45841N107 / Symbol: | | | | | | | |
| 07/19/23 | 100.000 | 8,199.92 | 07/18/23 | 8,457.00 | ... | -257.08 | Sale ²⁵ |
| INTUITIVE MACHINES, INC. CLASS A COMMON STOCK / CUSIP: 46125A100 / Symbol: | | | | | | | |
| 02/22/23 | 30.000 | 2,788.53 | 02/22/23 | 3,153.35 | ... | -364.82 | Sale ²⁵ |
| IRONNET INC COMMON STOCK / CUSIP: 46323Q105 / Symbol: | | | | | | | |
| 06/21/23 | 900.000 | 173.56 | Various | 350.95 | ... | -177.39 | Total of 4 transactions |
| 06/21/23 | 9,100.000 | 1,760.88 | Various | 3,046.17 | 1,265.58 W | -19.71 | Total of 47 transactions |
| 06/28/23 | 4,000.000 | 907.81 | Various | 1,622.44 | ... | -714.63 | Total of 26 transactions |
| | Security total: | 2,842.25 | | 5,019.56 | 1,265.58 W | -911.73 | |
| KIDPIK CORP. COMMON STOCK / CUSIP: 49382L108 / Symbol: | | | | | | | |
| 06/23/23 | 500.000 | 749.92 | 06/23/23 | 849.55 | ... | -99.63 | Sale ²⁵ |
| LIGHTWAVE LOGIC, INC. COMMON S TOCK / CUSIP: 532275104 / Symbol: | | | | | | | |
| 07/07/23 | 15.000 | 103.20 | 07/06/23 | 108.86 | ... | -5.66 | Sale ²⁵ |
| 07/07/23 | 385.000 | 2,643.89 | Various | 3,150.74 | 474.34 W | -32.51 | Total of 5 transactions |
| 07/10/23 | 100.000 | 691.00 | Various | 860.76 | ... | -169.76 | Total of 2 transactions |
| 08/16/23 | 1.000 | 6.34 | 07/10/23 | 7.32 | ... | -0.98 | Sale ²⁵ |
| | Security total: | 3,444.43 | | 4,127.68 | 474.34 W | -208.91 | |
| LIZHI INC. AMERICAN DEPOSITARY SHARES / CUSIP: 53933L104 / Symbol: | | | | | | | |
| 02/07/23 | 1,000.000 | 1,133.52 | 02/07/23 | 1,295.00 | 161.48 W | 0.00 | Sale ²⁵ |
| 02/08/23 | 1,000.000 | 1,120.32 | 02/07/23 | 1,361.48 | ... | -241.16 | Sale ²⁵ |
| | Security total: | 2,253.84 | | 2,656.48 | 161.48 W | -241.16 | |
| LOYALTY VENTURES INC COM (DELA WARE) / CUSIP: 54911Q107 / Symbol: | | | | | | | |
| 03/15/23 | 4,900.000 | 1,256.63 | Various | 1,141.70 | ... | 114.93 | Total of 4 transactions |
| 03/21/23 | 100.000 | 6.30 | 03/15/23 | 23.30 | ... | -17.00 | Sale ²⁵ |
| | Security total: | 1,262.93 | | 1,165.00 | ... | 97.93 | |

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|--|------------------------|---|-------------------|-------------------------|--|---|--------------------------|
| LUCID GROUP, INC. COMMON STOCK / CUSIP: 549498103 / Symbol: | | | | | | | |
| 01/30/23 | 100.000 | 1,162.96 | 01/30/23 | 1,330.50 | 167.54 W | 0.00 | Sale ²⁵ |
| 02/16/23 | 100.000 | 1,074.46 | 02/14/23 | 1,194.25 | ... | -119.79 | Sale ²⁵ |
| 06/30/23 | 90.000 | 614.69 | 06/28/23 | 570.46 | ... | 44.23 | Sale ²⁵ |
| 07/06/23 | 10.000 | 71.50 | 06/28/23 | 63.38 | ... | 8.12 | Sale ²⁵ |
| 07/06/23 | 40.000 | 286.00 | 07/03/23 | 296.73 | 10.73 W | 0.00 | Sale ²⁵ |
| 07/07/23 | 95.000 | 725.15 | Various | 693.95 | ... | 31.20 | Total of 3 transactions |
| 07/14/23 | 85.000 | 593.28 | Various | 604.00 | ... | -10.72 | Total of 2 transactions |
| 07/14/23 | 195.000 | 1,361.06 | Various | 1,512.60 | 147.79 W | -3.75 | Total of 6 transactions |
| 07/31/23 | 90.000 | 678.64 | Various | 731.84 | ... | -53.20 | Total of 3 transactions |
| 08/09/23 | 99.000 | 685.06 | Various | 711.49 | ... | -26.43 | Total of 6 transactions |
| 08/16/23 | 1.000 | 6.29 | 08/07/23 | 7.08 | ... | -0.79 | Sale ²⁵ |
| | Security total: | 7,259.09 | | 7,716.28 | 326.06 W | -131.13 | |
| LUCY SCIENTIFIC DISCOVERY INC. COMMON STOCK / CUSIP: 54960E104 / Symbol: | | | | | | | |
| 02/09/23 | 400.000 | 1,195.21 | Various | 1,378.20 | ... | -182.99 | Total of 6 transactions |
| 02/09/23 | 600.000 | 1,805.88 | Various | 2,067.30 | 87.13 W | -174.29 | Total of 2 transactions |
| 02/13/23 | 200.000 | 522.21 | Various | 629.30 | 107.09 W | 0.00 | Total of 4 transactions |
| 03/13/23 | 200.000 | 265.98 | Various | 584.61 | ... | -318.63 | Total of 8 transactions |
| 03/13/23 | 500.000 | 664.94 | Various | 1,248.40 | 566.12 W | -17.34 | Total of 13 transactions |
| | Security total: | 4,454.22 | | 5,907.81 | 760.34 W | -693.25 | |
| MGO GLOBAL INC. COMMON STOCK / CUSIP: 55317F108 / Symbol: | | | | | | | |
| 06/08/23 | 800.000 | 1,832.08 | Various | 1,759.92 | ... | 72.16 | Total of 4 transactions |
| SOLUNA HOLDINGS, INC. COMMON S TOCK / CUSIP: 583543103 / Symbol: | | | | | | | |
| 01/23/23 | 1,000.000 | 552.38 | Various | 545.96 | ... | 6.42 | Total of 5 transactions |
| 01/31/23 | 4,000.000 | 1,683.38 | Various | 1,787.02 | ... | -103.64 | Total of 8 transactions |
| | Security total: | 2,235.76 | | 2,332.98 | ... | -97.22 | |
| MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol: | | | | | | | |
| 01/26/23 | 39.000 | 9,469.01 | Various | 9,135.81 | ... | 333.20 | Total of 3 transactions |
| 02/01/23 | 1.000 | 246.62 | 01/25/23 | 232.39 | ... | 14.23 | Sale ²⁵ |
| | Security total: | 9,715.63 | | 9,368.20 | ... | 347.43 | |

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Account 108438870

Proceeds from Broker and Barter Exchange Transactions

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02/12/2024

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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| MOBIQUITY TECHNOLOGIES, INC. C OMMON STOCK / CUSIP: 60743F508 / Symbol: | | | | | | | |
| 05/09/23 | 500.000 | 128.78 | 05/09/23 | 129.05 | ... | -0.27 | Sale ²⁵ |
| MONGODB, INC. CLASS A COMMON S TOCK / CUSIP: 60937P106 / Symbol: | | | | | | | |
| 08/11/23 | 5.000 | 1,780.50 | Various | 1,859.00 | 78.50 W | 0.00 | Total of 3 transactions |
| 08/15/23 | 4.000 | 1,446.46 | Various | 1,438.38 | ... | 8.08 | Total of 3 transactions |
| 08/15/23 | 5.000 | 1,808.05 | Various | 1,897.79 | 89.74 W | 0.00 | Total of 5 transactions |
| 08/16/23 | 9.900 | 3,599.43 | Various | 3,762.53 | 163.10 W | 0.00 | Total of 7 transactions |
| 08/29/23 | 30.000 | 10,629.03 | Various | 10,809.98 | ... | -180.95 | Total of 8 transactions |
| 08/29/23 | 0.100 | 35.43 | 08/15/23 | 38.53 | 3.10 W | 0.00 | Sale ²⁵ |
| | Security total: | 19,298.90 | | 19,806.21 | 334.44 W | -172.87 | |
| MULLEN AUTOMOTIVE, INC. COMMON STOCK / CUSIP: 62526P208 / Symbol: | | | | | | | |
| 06/26/23 | 2,000.000 | 332.51 | 06/23/23 | 355.60 | ... | -23.09 | Sale ²⁵ |
| SADOT GROUP INC. COMMON STOCK / CUSIP: 627333107 / Symbol: | | | | | | | |
| 08/08/23 | 500.000 | 599.92 | Various | 614.95 | ... | -15.03 | Total of 3 transactions |
| GAXOS.AI INC. COMMON STOCK / CUSIP: 62911P201 / Symbol: | | | | | | | |
| 02/16/23 | 99.000 | 417.23 | 02/16/23 | 469.26 | 52.03 W | 0.00 | Sale ²⁵ |
| 02/17/23 | 500.000 | 1,794.98 | Various | 2,259.70 | ... | -464.72 | Total of 4 transactions |
| | Security total: | 2,212.21 | | 2,728.96 | 52.03 W | -464.72 | |
| NANOVIRICIDES INC. / CUSIP: 630087302 / Symbol: | | | | | | | |
| 07/11/23 | 500.000 | 809.92 | Various | 689.99 | ... | 119.93 | Total of 2 transactions |
| NEMAURA MEDICAL, INC. COMMON S TOCK / CUSIP: 640442208 / Symbol: | | | | | | | |
| 01/25/23 | 500.000 | 1,386.85 | Various | 1,200.00 | ... | 186.85 | Total of 10 transactions |
| 01/26/23 | 500.000 | 1,493.35 | Various | 1,200.00 | ... | 293.35 | Total of 5 transactions |
| | Security total: | 2,880.20 | | 2,400.00 | ... | 480.20 | |
| NEXIMMUNE, INC. COMMON STOCK / CUSIP: 65344D109 / Symbol: | | | | | | | |
| 02/16/23 | 3,000.000 | 2,069.21 | Various | 2,046.48 | ... | 22.73 | Total of 4 transactions |
| 02/17/23 | 3,000.000 | 1,652.88 | Various | 1,942.05 | ... | -289.17 | Total of 2 transactions |
| 02/17/23 | 2,000.000 | 1,101.90 | 02/16/23 | 1,328.00 | 113.05 W | -113.05 | Sale ²⁵ |
| | Security total: | 4,823.99 | | 5,316.53 | 113.05 W | -379.49 | |

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(continued)

02/12/2024

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|--|------------------------|---|-------------------|-------------------------|--|---|--------------------------|
| NIKOLA CORPORATION COMMON STOC K / CUSIP: 654110105 / Symbol: | | | | | | | |
| 07/06/23 | 900.000 | 1,314.03 | 07/05/23 | 1,223.55 | ... | 90.48 | Sale ²⁵ |
| 07/06/23 | 90.000 | 121.94 | 07/05/23 | 122.35 | 0.41 W | 0.00 | Sale ²⁵ |
| 07/07/23 | 380.000 | 547.17 | Various | 502.97 | ... | 44.20 | Total of 3 transactions |
| 07/14/23 | 510.000 | 1,316.33 | Various | 839.51 | ... | 476.82 | Total of 5 transactions |
| 08/02/23 | 190.000 | 558.70 | Various | 502.59 | ... | 56.11 | Total of 3 transactions |
| 08/14/23 | 800.000 | 1,319.87 | Various | 1,687.54 | ... | -367.67 | Total of 5 transactions |
| 08/14/23 | 100.000 | 164.98 | Various | 239.40 | 74.42 W | 0.00 | Total of 2 transactions |
| 08/16/23 | 100.000 | 194.49 | Various | 269.22 | ... | -74.73 | Total of 2 transactions |
| | Security total: | 5,537.51 | | 5,387.13 | 74.83 W | 225.21 | |
| NOVO INTEGRATED SCIENCES, INC. COMMON STOCK / CUSIP: 67011T201 / Symbol: | | | | | | | |
| 09/01/23 | 1,000.000 | 209.95 | 08/31/23 | 219.40 | ... | -9.45 | Sale ²⁵ |
| NVIDIA CORPORATION COMMON STOC K / CUSIP: 67066G104 / Symbol: | | | | | | | |
| 08/24/23 | 59.900 | 30,372.70 | Various | 30,091.48 | ... | 281.22 | Total of 8 transactions |
| 08/29/23 | 0.100 | 47.87 | 08/23/23 | 49.80 | ... | -1.93 | Sale ²⁵ |
| | Security total: | 30,420.57 | | 30,141.28 | ... | 279.29 | |
| OCEAN BIOMEDICAL, INC. COMMON STOCK / CUSIP: 67644C104 / Symbol: | | | | | | | |
| 03/09/23 | 200.000 | 1,776.97 | Various | 1,626.00 | ... | 150.97 | Total of 3 transactions |
| OMNICOM GROUP INC. / CUSIP: 681919106 / Symbol: | | | | | | | |
| 02/08/23 | 1.000 | 91.30 | 02/07/23 | 92.79 | ... | -1.49 | Sale ²⁵ |
| ONCOSEC MEDICAL INCORPORATED C OMMON STOCK / CUSIP: 68234L405 / Symbol: | | | | | | | |
| 03/02/23 | 500.000 | 1,240.37 | Various | 1,150.00 | ... | 90.37 | Total of 2 transactions |
| 03/13/23 | 1.000 | 2.29 | 03/02/23 | 2.68 | ... | -0.39 | Sale ²⁵ |
| | Security total: | 1,242.66 | | 1,152.68 | ... | 89.98 | |
| ONCORUS INC COMMON STOCK / CUSIP: 68236R103 / Symbol: | | | | | | | |
| 06/08/23 | 10,000.000 | 1,052.54 | Various | 1,191.07 | ... | -138.53 | Total of 19 transactions |
| ONFOLIO HOLDINGS INC. COMMON S TOCK / CUSIP: 68277K207 / Symbol: | | | | | | | |
| 05/30/23 | 370.000 | 491.36 | Various | 834.35 | ... | -342.99 | Total of 4 transactions |

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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| PMV PHARMACEUTICALS, INC. COMM ON STOCK / CUSIP: 69353Y103 / Symbol: | | | | | | | |
| 08/14/23 | 100.000 | 861.99 | 08/11/23 | 890.22 | ... | -28.23 | Sale ²⁵ |
| PACWEST BANCORP COMMON STOCK / CUSIP: 695263103 / Symbol: | | | | | | | |
| 05/04/23 | 10.000 | 29.90 | 05/04/23 | 40.10 | ... | -10.20 | Sale ²⁵ |
| 07/28/23 | 100.000 | 931.01 | 07/25/23 | 1,086.00 | ... | -154.99 | Sale ²⁵ |
| | Security total: | 960.91 | | 1,126.10 | ... | -165.19 | |
| PALANTIR TECHNOLOGIES INC. CLA SS A COMMON STOCK / CUSIP: 69608A108 / Symbol: | | | | | | | |
| 08/07/23 | 100.000 | 1,808.29 | 08/07/23 | 1,698.00 | ... | 110.29 | Sale ²⁵ |
| PAXMEDICA, INC. COMMON STOCK / CUSIP: 70424C104 / Symbol: | | | | | | | |
| 02/03/23 | 1,000.000 | 3,131.27 | 02/03/23 | 3,869.80 | 738.53 W | 0.00 | Sale ²⁵ |
| 02/06/23 | 1,000.000 | 3,370.18 | Various | 3,848.63 | ... | -478.45 | Total of 2 transactions |
| 02/06/23 | 1,000.000 | 3,400.57 | 02/03/23 | 4,357.83 | 478.63 W | -478.63 | Sale ²⁵ |
| | Security total: | 9,902.02 | | 12,076.26 | 1,217.16 W | -957.08 | |
| PAYPAL HOLDINGS, INC. COMMON S TOCK / CUSIP: 70450Y103 / Symbol: | | | | | | | |
| 02/13/23 | 100.000 | 7,985.13 | Various | 7,952.98 | ... | 32.15 | Total of 2 transactions |
| 02/13/23 | 100.000 | 8,100.70 | 02/09/23 | 8,287.20 | 186.50 W | 0.00 | Sale ²⁵ |
| 08/07/23 | 100.000 | 6,430.20 | Various | 7,041.55 | 611.35 W | 0.00 | Total of 12 transactions |
| 08/10/23 | 49.500 | 3,081.47 | Various | 3,744.91 | ... | -663.44 | Total of 7 transactions |
| 08/10/23 | 100.000 | 6,247.03 | Various | 7,151.89 | 899.74 W | -5.12 | Total of 13 transactions |
| 08/15/23 | 49.000 | 2,941.69 | Various | 3,286.44 | ... | -344.75 | Total of 9 transactions |
| 08/16/23 | 0.500 | 29.78 | 08/14/23 | 33.43 | ... | -3.65 | Sale ²⁵ |
| | Security total: | 34,816.00 | | 37,498.40 | 1,697.59 W | -984.81 | |
| PLUG POWER, INC. COMMON STOCK / CUSIP: 72919P202 / Symbol: | | | | | | | |
| 08/07/23 | 100.000 | 1,120.99 | Various | 1,159.20 | ... | -38.21 | Total of 3 transactions |
| POLESTAR AUTOMOTIVE HOLDING UK PLC CLASS A ADS / CUSIP: 731105201 / Symbol: | | | | | | | |
| 07/07/23 | 500.000 | 2,311.26 | Various | 2,280.50 | ... | 30.76 | Total of 2 transactions |
| PROSHARES ULTRA BLOOMBERG NATU RAL GAS / CUSIP: 74347Y870 / Symbol: | | | | | | | |
| 02/22/23 | 500.000 | 2,452.37 | Various | 2,470.00 | ... | -17.63 | Total of 2 transactions |

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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| QUHUO LIMITED AMERICAN DEPOSIT ORY SHARES / CUSIP: 74841Q209 / Symbol: | | | | | | | |
| 05/01/23 | 50.000 | 117.60 | 05/01/23 | 215.00 | ... | -97.40 | Sale ²⁵ |
| REDHILL BIOPHARMA LTD. AMERICA N DEPOSITARY SHARES / CUSIP: 757468103 / Symbol: | | | | | | | |
| 01/27/23 | 10,000.000 | 2,595.80 | Various | 2,512.38 | ... | 83.42 | Total of 11 transactions |
| REMARK HOLDINGS, INC. COMMON S TOCK / CUSIP: 75955K300 / Symbol: | | | | | | | |
| 05/31/23 | 1,499.000 | 1,904.09 | Various | 2,038.02 | ... | -133.93 | Total of 5 transactions |
| 05/31/23 | 2,000.000 | 2,540.49 | 05/31/23 | 3,379.60 | 0.42 W | -838.69 | Sale ²⁵ |
| 06/07/23 | 1.000 | 1.21 | 05/31/23 | 1.69 | ... | -0.48 | Sale ²⁵ |
| | Security total: | 4,445.79 | | 5,419.31 | 0.42 W | -973.10 | |
| RIVIAN AUTOMOTIVE, INC. CLASS A COMMON STOCK / CUSIP: 76954A103 / Symbol: | | | | | | | |
| 07/06/23 | 50.000 | 993.49 | 07/05/23 | 1,036.00 | 42.51 W | 0.00 | Sale ²⁵ |
| 07/07/23 | 99.000 | 2,476.95 | Various | 2,087.76 | ... | 389.19 | Total of 3 transactions |
| 08/09/23 | 50.000 | 1,208.49 | Various | 1,239.60 | ... | -31.11 | Total of 2 transactions |
| | Security total: | 4,678.93 | | 4,363.36 | 42.51 W | 358.08 | |
| SPDR S&P 500 ETF TRUST / CUSIP: 78462F103 / Symbol: | | | | | | | |
| 02/16/23 | 1.000 | 408.84 | 01/26/23 | 402.89 | ... | 5.95 | Sale ²⁵ |
| SPDR GOLD TRUST, SPDR GOLD SHA RES / CUSIP: 78463V107 / Symbol: / Note: CL | | | | | | | |
| 01/23/23 | 19.500 | 3,493.68 | Various | 3,502.77 | 2.10 W | -6.99 | 3- Proceeds from collectibles [X] Total of 2 transactions |
| 02/15/23 | 5.000 | 853.46 | Various | 874.81 | ... | -21.35 | 3- Proceeds from collectibles [X] Total of 3 transactions |
| | Security total: | 4,347.14 | | 4,377.58 | 2.10 W | -28.34 | |
| SAVERONE 2014 LTD. AMERICAN DE POSITARY SHARES / CUSIP: 80516T105 / Symbol: | | | | | | | |
| 03/10/23 | 400.000 | 568.01 | Various | 857.00 | ... | -288.99 | Total of 7 transactions |
| SECOO HOLDING LIMITED ADS / CUSIP: 81367P200 / Symbol: | | | | | | | |
| 04/04/23 | 900.000 | 1,315.15 | Various | 1,119.62 | ... | 195.53 | Total of 3 transactions |

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| SEQLL INC. COMMON STOCK / CUSIP: 81734C106 / Symbol: | | | | | | | |
| 02/10/23 | 700.000 | 1,435.88 | Various | 1,057.65 | ... | 378.23 | Total of 9 transactions |
| 02/22/23 | 1,000.000 | 773.82 | Various | 1,813.43 | ... | -1,039.61 | Total of 10 transactions |
| 02/22/23 | 3,000.000 | 2,342.67 | Various | 5,345.75 | 3,003.08 W | 0.00 | Total of 30 transactions |
| | Security total: | 4,552.37 | | 8,216.83 | 3,003.08 W | -661.38 | |
| SERA PROGNOSTICS, INC. CLASS A COMMON STOCK / CUSIP: 81749D107 / Symbol: | | | | | | | |
| 02/16/23 | 100.000 | 253.49 | 02/15/23 | 227.00 | ... | 26.49 | Sale ²⁵ |
| SHARPS TECHNOLOGY INC. COMMON STOCK / CUSIP: 82003F101 / Symbol: | | | | | | | |
| 01/30/23 | 999.000 | 1,765.76 | Various | 1,736.36 | ... | 29.40 | Total of 3 transactions |
| 01/31/23 | 1,000.000 | 1,859.50 | Various | 1,844.90 | ... | 14.60 | Total of 9 transactions |
| 05/10/23 | 1,000.000 | 1,270.03 | Various | 1,219.56 | ... | 50.47 | Total of 5 transactions |
| | Security total: | 4,895.29 | | 4,800.82 | ... | 94.47 | |
| SHOPIFY INC. CLASS A SUBORDINATE VOTING SHARES / CUSIP: 82509L107 / Symbol: | | | | | | | |
| 02/09/23 | 99.000 | 4,959.57 | Various | 4,952.29 | ... | 7.28 | Total of 2 transactions |
| 02/13/23 | 100.000 | 4,860.17 | Various | 4,866.32 | 6.15 W | 0.00 | Total of 2 transactions |
| 02/15/23 | 100.000 | 5,063.37 | Various | 4,918.88 | ... | 144.49 | Total of 4 transactions |
| 02/15/23 | 79.000 | 3,890.14 | Various | 4,069.60 | 179.46 W | 0.00 | Total of 2 transactions |
| 02/16/23 | 50.000 | 2,274.49 | Various | 2,468.48 | 193.99 W | 0.00 | Total of 4 transactions |
| 02/22/23 | 200.000 | 8,436.93 | Various | 8,627.58 | ... | -190.65 | Total of 7 transactions |
| | Security total: | 29,484.67 | | 29,903.15 | 379.60 W | -38.88 | |
| SIDUS SPACE, INC. CLASS A COMMON STOCK / CUSIP: 826165102 / Symbol: | | | | | | | |
| 02/07/23 | 8,000.000 | 4,903.63 | Various | 4,280.30 | ... | 623.33 | Total of 3 transactions |
| 02/08/23 | 1,500.000 | 992.75 | 02/03/23 | 765.15 | ... | 227.60 | Sale ²⁵ |
| 02/15/23 | 5,900.000 | 4,291.86 | Various | 3,114.53 | ... | 1,177.33 | Total of 13 transactions |
| 02/16/23 | 100.000 | 68.20 | 02/10/23 | 49.42 | ... | 18.78 | Sale ²⁵ |
| 02/22/23 | 2,000.000 | 1,465.67 | 02/22/23 | 1,627.80 | 8.11 W | -154.02 | Sale ²⁵ |
| 03/01/23 | 100.000 | 84.16 | 03/01/23 | 91.53 | ... | -7.37 | Sale ²⁵ |
| 08/29/23 | 1,000.000 | 128.65 | Various | 142.40 | ... | -13.75 | Total of 2 transactions |
| | Security total: | 11,934.92 | | 10,071.13 | 8.11 W | 1,871.90 | |
| 60 DEGREES PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 83006G104 / Symbol: | | | | | | | |
| 07/25/23 | 1.000 | 2.18 | 07/17/23 | 3.64 | ... | -1.46 | Sale ²⁵ |

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(continued)

02/12/2024

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|---|------------------------|---|-------------------|-------------------------|--|---|--------------------------|
| SNAP INC. / CUSIP: 83304A106 / Symbol: | | | | | | | |
| 07/31/23 | 200.000 | 2,228.13 | Various | 2,064.20 | ... | 163.93 | Total of 7 transactions |
| 08/02/23 | 90.000 | 1,000.41 | Various | 908.10 | ... | 92.31 | Total of 2 transactions |
| 08/11/23 | 90.000 | 915.42 | Various | 919.77 | ... | -4.35 | Total of 2 transactions |
| 08/16/23 | 10.000 | 93.82 | Various | 102.36 | ... | -8.54 | Total of 2 transactions |
| | Security total: | 4,237.78 | | 3,994.43 | ... | 243.35 | |
| SNOWFLAKE INC. / CUSIP: 833445109 / Symbol: | | | | | | | |
| 05/08/23 | 0.010 | 1.58 | 03/02/23 | 1.33 | ... | 0.25 | Sale ²⁵ |
| 08/24/23 | 20.000 | 3,219.97 | Various | 3,117.59 | ... | 102.38 | Total of 2 transactions |
| | Security total: | 3,221.55 | | 3,118.92 | ... | 102.63 | |
| SOBR SAFE, INC. COMMON STOCK / CUSIP: 833592207 / Symbol: | | | | | | | |
| 01/31/23 | 499.000 | 785.84 | Various | 689.13 | ... | 96.71 | Total of 2 transactions |
| 01/31/23 | 900.000 | 1,235.00 | 01/31/23 | 1,240.92 | 2.63 W | -3.29 | Sale ²⁵ |
| 02/01/23 | 1.000 | 1.49 | 01/31/23 | 1.38 | ... | 0.11 | Sale ²⁵ |
| | Security total: | 2,022.33 | | 1,931.43 | 2.63 W | 93.53 | |
| SONOMA PHARMACEUTICALS, INC. C OMMON STOCK / CUSIP: 83558L204 / Symbol: | | | | | | | |
| 02/01/23 | 1.000 | 1.57 | 01/25/23 | 1.98 | ... | -0.41 | Sale ²⁵ |
| SORRENTO THERAPEUTICS INC COMM ON STOCK / CUSIP: 83587F202 / Symbol: | | | | | | | |
| 02/16/23 | 5,000.000 | 1,069.74 | 02/16/23 | 1,038.50 | ... | 31.24 | Sale ²⁵ |
| 02/17/23 | 29,900.000 | 8,666.49 | Various | 8,607.84 | ... | 58.65 | Total of 42 transactions |
| 02/17/23 | 10,100.000 | 2,791.62 | Various | 2,834.23 | 42.61 W | 0.00 | Total of 26 transactions |
| | Security total: | 12,527.85 | | 12,480.57 | 42.61 W | 89.89 | |
| SOUNDHOUND AI, INC CLASS A COM MON STOCK / CUSIP: 836100107 / Symbol: | | | | | | | |
| 02/08/23 | 200.000 | 963.94 | Various | 817.50 | ... | 146.44 | Total of 2 transactions |
| 02/09/23 | 190.000 | 818.23 | Various | 730.56 | ... | 87.67 | Total of 2 transactions |
| 02/14/23 | 10.000 | 31.30 | 02/08/23 | 37.75 | 6.45 W | 0.00 | Sale ²⁵ |
| 02/15/23 | 489.000 | 1,903.51 | Various | 1,850.87 | ... | 52.64 | Total of 2 transactions |
| 02/15/23 | 10.000 | 39.10 | 02/15/23 | 44.30 | 0.52 W | -4.68 | Sale ²⁵ |
| 02/16/23 | 1.000 | 3.65 | 02/15/23 | 3.78 | ... | -0.13 | Sale ²⁵ |
| 03/13/23 | 1.000 | 1.88 | 03/06/23 | 3.64 | ... | -1.76 | Sale ²⁵ |
| | Security total: | 3,761.61 | | 3,488.40 | 6.97 W | 280.18 | |

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|--|------------------------|---|-------------------|-------------------------|--|---|--|
| SUPER MICRO COMPUTER, INC. COM MON STOCK / CUSIP: 86800U104 / Symbol: | | | | | | | |
| 08/29/23 | 0.100 | 26.90 | 08/09/23 | 26.83 | ... | 0.07 | Sale ²⁵ |
| T STAMP INC. CLASS A COMMON ST OCK / CUSIP: 873048409 / Symbol: | | | | | | | |
| 06/01/23 | 1,500.000 | 3,015.80 | Various | 4,350.00 | ... | -1,334.20 | Total of 2 transactions |
| 08/11/23 | 500.000 | 1,415.91 | Various | 1,384.75 | ... | 31.16 | Total of 4 transactions |
| | Security total: | 4,431.71 | | 5,734.75 | ... | -1,303.04 | |
| TENAX THERAPEUTICS, INC. COMMO N STOCK / CUSIP: 88032L506 / Symbol: | | | | | | | |
| 03/13/23 | 1,000.000 | 605.85 | Various | 710.00 | ... | -104.15 | Total of 2 transactions |
| TENON MEDICAL, INC. COMMON STO CK / CUSIP: 88066N105 / Symbol: | | | | | | | |
| 02/15/23 | 1,000.000 | 2,381.35 | Various | 2,219.41 | ... | 161.94 | Total of 11 transactions |
| TERNS PHARMACEUTICALS, INC. CO MMON STOCK / CUSIP: 880881107 / Symbol: | | | | | | | |
| 08/28/23 | 1.000 | 5.62 | 08/24/23 | 5.54 | ... | 0.08 | Sale ²⁵ |
| TERRAN ORBITAL CORPORATION / CUSIP: 88105P103 / Symbol: | | | | | | | |
| 02/22/23 | 500.000 | 1,562.39 | 02/22/23 | 1,544.25 | ... | 18.14 | Sale ²⁵ |
| TESLA, INC. COMMON STOCK / CUSIP: 88160R101 / Symbol: | | | | | | | |
| 02/17/23 | 100.000 | 20,023.53 | 02/16/23 | 20,046.99 | ... | -23.46 | Sale ²⁵ |
| 06/08/23 | 49.000 | 11,370.64 | 06/07/23 | 11,112.96 | ... | 257.68 | Sale ²⁵ |
| 06/20/23 | 1.000 | 266.14 | 06/07/23 | 226.79 | ... | 39.35 | Sale ²⁵ |
| 07/20/23 | 14.000 | 3,735.86 | Various | 3,954.75 | ... | -218.89 | Total of 2 transactions |
| 07/20/23 | 35.000 | 9,401.33 | Various | 9,864.49 | 343.91 W | -119.25 | Total of 3 transactions |
| 07/25/23 | 14.500 | 3,871.62 | Various | 4,081.51 | ... | -209.89 | Total of 5 transactions |
| 07/26/23 | 0.500 | 133.59 | 07/21/23 | 139.11 | ... | -5.52 | Sale ²⁵ |
| 08/17/23 | 0.100 | 22.40 | 08/02/23 | 27.42 | ... | -5.02 | Sale ²⁵ |
| | Security total: | 48,825.11 | | 49,454.02 | 343.91 W | -285.00 | |
| TIMBER PHARMACEUTICALS INC COM MON STOCK / CUSIP: 887080208 / Symbol: | | | | | | | |
| 06/06/23 | 1,000.000 | 1,939.84 | Various | 3,498.15 | 1,558.31 W | 0.00 | Total of 25 transactions |
| 06/07/23 | 800.000 | 1,479.17 | Various | 2,506.54 | ... | -1,027.37 | Total of 20 transactions |
| 06/07/23 | 200.000 | 369.12 | Various | 997.18 | 628.06 W | 0.00 | Total of 11 transactions |
| | Security total: | 3,788.13 | | 7,001.87 | 2,186.37 W | -1,027.37 | |

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Account 108438870

Proceeds from Broker and Barter Exchange Transactions

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|---|------------------------|---|-------------------|-------------------------|--|---|--------------------------|
| TIVIC HEALTH SYSTEMS, INC. COM MON STOCK / CUSIP: 888705100 / Symbol: | | | | | | | |
| 08/17/23 | 10,000.000 | 917.54 | Various | 395.10 | ... | 522.44 | Total of 6 transactions |
| TRAVERE THERAPEUTICS, INC. COM MON STOCK / CUSIP: 89422G107 / Symbol: | | | | | | | |
| 02/17/23 | 100.000 | 1,856.44 | 02/17/23 | 2,301.00 | ... | -444.56 | Sale ²⁵ |
| TREVENA, INC. COMMON STOCK / CUSIP: 89532E208 / Symbol: | | | | | | | |
| 05/08/23 | 1,000.000 | 1,330.13 | Various | 905.34 | ... | 424.79 | Total of 5 transactions |
| TROIKA MEDIA GROUP, INC. COMM ON STOCK / CUSIP: 89689F305 / Symbol: | | | | | | | |
| 02/16/23 | 5,000.000 | 1,189.74 | Various | 1,277.73 | 87.99 W | 0.00 | Total of 4 transactions |
| 02/22/23 | 8,700.000 | 2,175.42 | Various | 2,385.07 | ... | -209.65 | Total of 10 transactions |
| 02/22/23 | 1,300.000 | 325.58 | Various | 367.05 | 15.66 W | -25.81 | Total of 5 transactions |
| | Security total: | 3,690.74 | | 4,029.85 | 103.65 W | -235.46 | |
| TROIKA MEDIA GROUP INC COMMON STOCK / CUSIP: 89689F404 / Symbol: | | | | | | | |
| 06/05/23 | 1.000 | 3.51 | 03/07/23 | 0.64 | ... | 2.87 | Sale ²⁵ |
| T2 BIOSYSTEMS, INC. COMMON STO CK / CUSIP: 89853L203 / Symbol: | | | | | | | |
| 02/13/23 | 500.000 | 919.90 | Various | 939.00 | ... | -19.10 | Total of 3 transactions |
| 07/07/23 | 10,000.000 | 1,098.54 | 07/07/23 | 1,213.00 | 114.46 W | 0.00 | Sale ²⁵ |
| 07/10/23 | 10,000.000 | 1,547.76 | Various | 1,233.87 | ... | 313.89 | Total of 21 transactions |
| | Security total: | 3,566.20 | | 3,385.87 | 114.46 W | 294.79 | |
| 22ND CENTURY GROUP, INC. COMM ON STOCK / CUSIP: 90137F103 / Symbol: | | | | | | | |
| 06/23/23 | 2,000.000 | 806.50 | Various | 912.95 | ... | -106.45 | Total of 7 transactions |
| UNICYCIVE THERAPEUTICS, INC. C OMMON STOCK / CUSIP: 90466Y103 / Symbol: | | | | | | | |
| 02/15/23 | 500.000 | 264.96 | 02/09/23 | 254.90 | ... | 10.06 | Sale ²⁵ |
| 02/15/23 | 500.000 | 264.97 | Various | 271.68 | 6.71 W | 0.00 | Total of 2 transactions |
| 03/07/23 | 949.000 | 1,891.83 | Various | 1,281.98 | ... | 609.85 | Total of 7 transactions |
| 03/13/23 | 1.000 | 2.34 | 03/06/23 | 1.23 | ... | 1.11 | Sale ²⁵ |
| | Security total: | 2,424.10 | | 1,809.79 | 6.71 W | 621.02 | |
| UNIQUE FABRICATING INC COM / CUSIP: 90915J103 / Symbol: | | | | | | | |
| 05/23/23 | 3,500.000 | 951.48 | 05/23/23 | 875.00 | ... | 76.48 | Sale ²⁵ |

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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| UNITED STATES NATURAL GAS FUND , LP UNIT / CUSIP: 912318300 / Symbol: | | | | | | | |
| 03/13/23 | 1.000 | 8.27 | 03/01/23 | 9.32 | ... | -1.05 | Sale ²⁵ |
| VALLON PHARMACEUTICALS INC. CO MMON STOCK / CUSIP: 92023M101 / Symbol: | | | | | | | |
| 02/10/23 | 1,000.000 | 727.67 | Various | 447.70 | ... | 279.97 | Total of 2 transactions |
| 02/13/23 | 1,000.000 | 950.36 | Various | 662.50 | ... | 287.86 | Total of 2 transactions |
| | Security total: | 1,678.03 | | 1,110.20 | ... | 567.83 | |
| VERASTEM, INC. COMMON STOCK / CUSIP: 92337C104 / Symbol: | | | | | | | |
| 05/31/23 | 1,300.000 | 1,300.96 | 05/31/23 | 1,300.00 | ... | 0.96 | Sale ²⁵ |
| VERB TECHNOLOGY COMPANY, INC. COMMON STOCK / CUSIP: 92337U104 / Symbol: | | | | | | | |
| 02/15/23 | 700.000 | 124.86 | Various | 272.86 | 148.00 W | 0.00 | Total of 4 transactions |
| 02/16/23 | 10,112.000 | 1,746.72 | Various | 2,542.63 | ... | -795.91 | Total of 48 transactions |
| 02/16/23 | 14,188.000 | 2,466.71 | Various | 4,616.72 | 2,146.33 W | -3.68 | Total of 92 transactions |
| | Security total: | 4,338.29 | | 7,432.21 | 2,294.33 W | -799.59 | |
| VERSUS SYSTEMS INC. COMMON SHA RES / CUSIP: 92535P881 / Symbol: | | | | | | | |
| 02/07/23 | 999.000 | 1,344.63 | Various | 1,228.87 | ... | 115.76 | Total of 2 transactions |
| 02/13/23 | 400.000 | 367.95 | Various | 580.78 | ... | -212.83 | Total of 12 transactions |
| 02/13/23 | 601.000 | 557.11 | Various | 747.44 | 190.33 W | 0.00 | Total of 21 transactions |
| | Security total: | 2,269.69 | | 2,557.09 | 190.33 W | -97.07 | |
| VIKING THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 92686J106 / Symbol: | | | | | | | |
| 02/08/23 | 100.000 | 918.97 | 02/08/23 | 957.00 | ... | -38.03 | Sale ²⁵ |
| VIRGIN ORBIT HLDGS INC COM / CUSIP: 92771A101 / Symbol: | | | | | | | |
| 05/08/23 | 1.000 | 0.06 | 03/29/23 | 0.42 | ... | -0.36 | Sale ²⁵ |
| VIRIOS THERAPEUTICS, INC. COMM ON STOCK / CUSIP: 92829J104 / Symbol: | | | | | | | |
| 04/25/23 | 1,000.000 | 1,060.74 | 04/25/23 | 1,340.00 | ... | -279.26 | Sale ²⁵ |
| VIVOS THERAPEUTICS, INC. COMM O N STOCK / CUSIP: 92859E108 / Symbol: | | | | | | | |
| 01/09/23 | 495.000 | 732.51 | Various | 1,142.20 | ... | -409.69 | Total of 2 transactions |

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|---|------------------------|---|-------------------|-------------------------|--|---|---------------------------|
| WALMART INC. / CUSIP: 931142103 / Symbol: | | | | | | | |
| 08/11/23 | 4.900 | 790.41 | Various | 785.75 | ... | 4.66 | Total of 2 transactions |
| 08/17/23 | 0.100 | 15.72 | 08/10/23 | 16.04 | ... | -0.32 | Sale ²⁵ |
| | Security total: | 806.13 | | 801.79 | ... | 4.34 | |
| WEWORK INC. / CUSIP: 96209A104 / Symbol: | | | | | | | |
| 06/06/23 | 10,000.000 | 2,299.53 | Various | 2,290.00 | ... | 9.53 | Total of 2 transactions |
| 08/29/23 | 1,000.000 | 122.35 | 08/25/23 | 137.50 | ... | -15.15 | Sale ²⁵ |
| | Security total: | 2,421.88 | | 2,427.50 | ... | -5.62 | |
| WIMI HOLOGRAM CLOUD INC. AMERI CAN DEPOSITARY SHARE / CUSIP: 97264L100 / Symbol: | | | | | | | |
| 01/10/23 | 1.000 | 0.91 | 12/13/22 | 1.09 | ... | -0.18 | Sale ²⁵ |
| WINDTREE THERAPEUTICS, INC. CO MMON STOCK / CUSIP: 97382D303 / Symbol: | | | | | | | |
| 02/22/23 | 40,000.000 | 13,717.87 | Various | 12,465.70 | ... | 1,252.17 | Total of 45 transactions |
| 02/22/23 | 22,000.000 | 6,967.66 | Various | 7,482.95 | 515.29 W | 0.00 | Total of 115 transactions |
| 02/23/23 | 47,000.000 | 8,255.59 | Various | 12,494.52 | ... | -4,238.93 | Total of 70 transactions |
| | Security total: | 28,941.12 | | 32,443.17 | 515.29 W | -2,986.76 | |
| XPENG INC. AMERICAN DEPOSITARY SHARES, EACH REPRESENTING TWO CLASS A ORDINARY SHARES / CUSIP: 98422D105 / Symbol: | | | | | | | |
| 07/06/23 | 90.000 | 1,304.08 | Various | 1,229.16 | ... | 74.92 | Total of 3 transactions |
| 07/07/23 | 90.000 | 1,286.10 | Various | 1,274.77 | ... | 11.33 | Total of 2 transactions |
| 08/01/23 | 9.000 | 179.11 | 07/06/23 | 128.04 | ... | 51.07 | Sale ²⁵ |
| 08/16/23 | 1.000 | 15.57 | 07/06/23 | 14.23 | ... | 1.34 | Sale ²⁵ |
| | Security total: | 2,784.86 | | 2,646.20 | ... | 138.66 | |
| AGRIFORCE GROWING SYSTEMS LTD. COMMON SHARES / CUSIP: C00948106 / Symbol: | | | | | | | |
| 01/27/23 | 2,000.000 | 2,599.65 | Various | 2,695.00 | ... | -95.35 | Total of 5 transactions |
| 06/07/23 | 10,000.000 | 3,300.81 | Various | 2,899.93 | ... | 400.88 | Total of 17 transactions |
| | Security total: | 5,900.46 | | 5,594.93 | ... | 305.53 | |
| BORQS TECHNOLOGIES, INC. ORDIN ARY SHARES / CUSIP: G1466B202 / Symbol: | | | | | | | |
| 07/18/23 | 4,125.000 | 723.97 | Various | 845.77 | ... | -121.80 | Total of 10 transactions |
| 07/18/23 | 875.000 | 154.23 | Various | 175.00 | 20.77 W | 0.00 | Total of 4 transactions |
| | Security total: | 878.20 | | 1,020.77 | 20.77 W | -121.80 | |

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|---|------------------------|---|-------------------|-------------------------|--|---|--|
| GUARDFORCE AI CO., LIMITED ORDINARY SHARES / CUSIP: G4236L112 / Symbol: | | | | | | | |
| 02/09/23 | 5,000.000 | 2,192.24 | Various | 2,572.72 | 380.48 W | 0.00 | Total of 14 transactions |
| GUARDFORCE AI CO., LIMITED ORDINARY SHARES / CUSIP: G4236L138 / Symbol: | | | | | | | |
| 02/10/23 | 332.000 | 4,848.38 | Various | 6,699.89 | ... | -1,851.51 | Total of 35 transactions |
| 02/10/23 | 168.000 | 2,469.52 | Various | 3,527.34 | 1,057.82 W | 0.00 | Total of 12 transactions |
| | Security total: | 7,317.90 | | 10,227.23 | 1,057.82 W | -1,851.51 | |
| CHIJET MOTOR COMPANY, INC. ORDINARY SHARES / CUSIP: G4465R103 / Symbol: | | | | | | | |
| 07/25/23 | 1.000 | 3.10 | 07/19/23 | 3.33 | ... | -0.23 | Sale ²⁵ |
| HITEK GLOBAL INC. ORDINARY SHARE / CUSIP: G45139105 / Symbol: | | | | | | | |
| 07/20/23 | 200.000 | 1,173.16 | Various | 1,149.40 | ... | 23.76 | Total of 4 transactions |
| 08/17/23 | 150.000 | 2,527.43 | Various | 1,810.30 | ... | 717.13 | Total of 4 transactions |
| | Security total: | 3,700.59 | | 2,959.70 | ... | 740.89 | |
| LICHEN CHINA LIMITED CLASS A ORDINARY SHARES / CUSIP: G5479G108 / Symbol: | | | | | | | |
| 02/13/23 | 1,600.000 | 7,306.36 | Various | 6,945.70 | ... | 360.66 | Total of 8 transactions |
| 02/14/23 | 100.000 | 501.99 | Various | 534.00 | ... | -32.01 | Total of 2 transactions |
| | Security total: | 7,808.35 | | 7,479.70 | ... | 328.65 | |
| MAGIC EMPIRE GLOBAL LIMITED ORDINARY SHARES / CUSIP: G5865E105 / Symbol: | | | | | | | |
| 04/28/23 | 300.000 | 1,436.05 | Various | 973.50 | ... | 462.55 | Total of 4 transactions |
| 05/01/23 | 100.000 | 239.76 | Various | 328.51 | ... | -88.75 | Total of 2 transactions |
| | Security total: | 1,675.81 | | 1,302.01 | ... | 373.80 | |
| MICROALGO, INC. ORDINARY SHARE S / CUSIP: G6077Y103 / Symbol: | | | | | | | |
| 01/26/23 | 3,498.000 | 9,683.34 | Various | 9,159.20 | ... | 524.14 | Total of 17 transactions |
| 02/02/23 | 1.000 | 2.10 | 01/26/23 | 2.52 | ... | -0.42 | Sale ²⁵ |
| | Security total: | 9,685.44 | | 9,161.72 | ... | 523.72 | |
| PERFECT CORP. / CUSIP: G7006A109 / Symbol: | | | | | | | |
| 02/08/23 | 10.000 | 74.21 | 02/08/23 | 77.00 | ... | -2.79 | Sale ²⁵ |
| POWERBRIDGE TECHNOLOGIES CO., LTD. ORDINARY SHARES / CUSIP: G72007100 / Symbol: | | | | | | | |
| 02/14/23 | 10,000.000 | 1,010.65 | Various | 1,000.00 | ... | 10.65 | Total of 7 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 108438870

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 |
|---|------------------------|---|-------------------|-------------------------|--|---|--------------------------|
| SIRIUSPOINT LTD. / CUSIP: G8192H106 / Symbol: | | | | | | | |
| 08/29/23 | 1,000.000 | 11,190.16 | Various | 11,199.19 | ... | -9.03 | Total of 3 transactions |
| VIVOPOWER INTERNATIONAL PLC OR DINARY SHARES / CUSIP: G9376R100 / Symbol: | | | | | | | |
| 05/16/23 | 2,100.000 | 1,103.30 | Various | 1,441.90 | ... | -338.60 | Total of 2 transactions |
| U POWER LIMITED ORDINARY SHARE S / CUSIP: G9520U108 / Symbol: | | | | | | | |
| 06/07/23 | 389.000 | 3,516.47 | Various | 3,675.44 | ... | -158.97 | Total of 10 transactions |
| 06/07/23 | 111.000 | 1,004.54 | Various | 1,061.24 | 56.70 W | 0.00 | Total of 10 transactions |
| | Security total: | 4,521.01 | | 4,736.68 | 56.70 W | -158.97 | |
| ZHONGCHAO INC. CLASS A ORDINARY SHARES / CUSIP: G9897X107 / Symbol: | | | | | | | |
| 02/09/23 | 1,000.000 | 1,274.82 | Various | 1,300.00 | ... | -25.18 | Total of 2 transactions |
| CYREN LTD ORDINARY SHARES / CUSIP: M26895132 / Symbol: | | | | | | | |
| 02/22/23 | 1,000.000 | 389.87 | Various | 660.00 | ... | -270.13 | Total of 6 transactions |
| HUB CYBER SECURITY LTD. ORDINARY SHARES / CUSIP: M6000J101 / Symbol: | | | | | | | |
| 03/17/23 | 476.000 | 1,366.03 | Various | 1,429.90 | ... | -63.87 | Total of 7 transactions |
| 03/17/23 | 101.000 | 289.95 | Various | 307.04 | 17.09 W | 0.00 | Total of 2 transactions |
| | Security total: | 1,655.98 | | 1,736.94 | 17.09 W | -63.87 | |
| PAINREFORM LTD. ORDINARY SHARE S / CUSIP: M77798102 / Symbol: | | | | | | | |
| 02/09/23 | 2,000.000 | 1,219.68 | Various | 1,470.00 | ... | -250.32 | Total of 4 transactions |
| RAIL VISION LTD. ORDINARY SHARE / CUSIP: M8186D106 / Symbol: | | | | | | | |
| 02/02/23 | 1,000.000 | 1,999.80 | Various | 1,881.46 | ... | 118.34 | Total of 7 transactions |
| 02/06/23 | 1,000.000 | 2,883.16 | Various | 1,941.64 | ... | 941.52 | Total of 12 transactions |
| | Security total: | 4,882.96 | | 3,823.10 | ... | 1,059.86 | |
| SCISPARC LTD. ORDINARY SHARES / CUSIP: M82618105 / Symbol: | | | | | | | |
| 02/17/23 | 545.000 | 523.35 | Various | 1,042.31 | ... | -518.96 | Total of 10 transactions |
| 02/17/23 | 955.000 | 917.05 | Various | 1,705.76 | 768.82 W | -19.89 | Total of 12 transactions |
| 06/02/23 | 2,000.000 | 1,425.69 | Various | 1,603.01 | ... | -177.32 | Total of 4 transactions |
| | Security total: | 2,866.09 | | 4,351.08 | 768.82 W | -716.17 | |

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Robinhood Markets Inc. as agent for
Robinhood Securities LLC

Account 108438870

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 |
|--|------------------------|---|-------------------|-------------------------|--|---|--------------------------|
| SHARPLINK GAMING LTD. ORDINARY SHARES / CUSIP: M8273L102 / Symbol: | | | | | | | |
| 02/01/23 | 5,500.000 | 4,153.28 | Various | 4,087.92 | ... | 65.36 | Total of 7 transactions |
| 02/01/23 | 11,500.000 | 8,284.03 | Various | 9,917.85 | 1,626.88 W | -6.94 | Total of 16 transactions |
| 02/02/23 | 1.000 | 0.63 | 02/01/23 | 0.78 | ... | -0.15 | Sale ²⁵ |
| | Security total: | 12,437.94 | | 14,006.55 | 1,626.88 W | 58.27 | |
| WEARABLE DEVICES LTD. ORDINARY SHARE / CUSIP: M97838102 / Symbol: | | | | | | | |
| 06/01/23 | 1,300.000 | 2,612.82 | Various | 2,703.74 | ... | -90.92 | Total of 12 transactions |
| MAINZ BIOMED N.V. ORDINARY SHA RES / CUSIP: N5436L101 / Symbol: | | | | | | | |
| 02/15/23 | 100.000 | 680.49 | Various | 732.50 | ... | -52.01 | Total of 3 transactions |
| SONO GROUP N.V. COMMON SHARES / CUSIP: N81409109 / Symbol: | | | | | | | |
| 06/14/23 | 1,000.000 | 340.06 | Various | 337.90 | ... | 2.16 | Total of 2 transactions |
| IMPERIAL PETROLEUM INC. COMMON SHARES / CUSIP: Y3894J104 / Symbol: | | | | | | | |
| 02/15/23 | 2,000.000 | 666.69 | 02/14/23 | 716.00 | ... | -49.31 | Sale ²⁵ |
| OCEANPAL INC. COMMON STOCK / CUSIP: Y6430L160 / Symbol: | | | | | | | |
| 02/16/23 | 4,000.000 | 2,409.36 | Various | 3,432.22 | ... | -1,022.86 | Total of 9 transactions |
| TOP SHIPS, INC. COMMON STOCK / CUSIP: Y8897Y198 / Symbol: | | | | | | | |
| 02/13/23 | 500.000 | 924.95 | 02/13/23 | 858.80 | ... | 66.15 | Sale ²⁵ |
| Totals : | | 931,109.31 | | 994,208.84 | 37,487.40 W | -25,612.13 | |

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Robinhood Markets Inc. as agent for
Robinhood Securities LLC

Account 108438870

Proceeds from Broker and Barter Exchange Transactions

2023 1099-B* OMB No. 1545-0715

(continued)

02/12/2024

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

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

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

1a- Description of property/CUSIP/Symbol

| 1c- Date sold or disposed | Quantity | 1d- Proceeds & 6- Reported (G)ross or (N)et | Date acquired | Cost or other basis | Accrued mkt disc (D) & 6- Wash sale loss disallowed (W) | 7- Gain or loss(-) & Loss not allowed (X) also not reported (Z) | Additional information |
|--|----------|---|------------------|------------------------|---|---|---|
| SPDR GOLD TRUST, SPDR GOLD SHA RES / CUSIP: 78463V107 / Symbol: / Note: CL | | | | | | | |
| 02/09/23 | 0.000 | 0.30 | N/A | ... | ... | ... | Principal payment ¹⁶ Cost Basis Factor: 0.000340294 |
| Totals : | | 0.30 | | ... | | ... | |

* 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 108438870

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 |
|----------------------|---------------------|-------|----------|-------------|--|-------|
| WALMART INC. | 931142103 | | 09/05/23 | 0.06 | Qualified dividend | |
| | | | | 0.06 | Total Dividends & distributions | |

Robinhood Markets Inc. as agent for
Robinhood Securities LLC

Account 108438870

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 | | 01/27/23 | 17.27 | Interest | |
| | | 01/31/23 | 1.99 | Interest | |
| | | 02/28/23 | 0.08 | Interest | |
| | | 03/31/23 | 1.56 | Interest | |
| | | 04/28/23 | 1.19 | Interest | |
| | | 05/31/23 | 2.36 | Interest | |
| | | 06/29/23 | 6.88 | Interest | |
| | | 06/30/23 | 2.00 | Interest | |
| | | 07/31/23 | 7.45 | Interest | |
| | | 08/31/23 | 17.26 | Interest | |
| | | 09/29/23 | 0.13 | Interest | |
| | | | 58.17 | Total Interest | |
| | | | 58.17 | Total Interest | |

Robinhood Markets Inc. as agent for
Robinhood Securities LLC
2023

Detail for Miscellaneous Information

Account 108438870

02/12/2024

| <u>Security description</u> | <u>CUSIP and/or symbol</u> | <u>Date</u> | <u>Amount</u> | <u>Transaction type</u> | <u>Notes</u> |
|-----------------------------|----------------------------|-------------|---------------|-----------------------------------|--------------|
| US Dollars | USDOLLARS | 04/26/23 | 250.00 | Other income | |
| | | | 250.00 | Total Miscellaneous income | |

Robinhood Markets Inc. as agent for
Robinhood Securities LLC

Account 108438870

Fees and Expenses

2023

02/12/2024

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

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

| Description | CUSIP and/or symbol | Date | Amount | Transaction type | Notes |
|------------------------------------|-----------------------|----------|---------------|--|-------|
| Margin charge | | 02/27/23 | -27.87 | Margin interest paid | |
| | | 06/29/23 | -3.52 | Margin interest paid | |
| | | 07/31/23 | -8.96 | Margin interest paid | |
| | | 08/28/23 | -24.34 | Margin interest paid | |
| | | 08/31/23 | -6.73 | Margin interest paid | |
| | | | -71.42 | Total Margin interest paid | |
| SPDR GOLD TRUST, SPDR GOLD SHA RES | 78463V107 | 02/09/23 | -0.30 | Gross proceeds investment expense | 15 |
| Gold Subscription fee | Note: CL GLDSUBFEE | 01/03/23 | -5.00 | Subscription expense | |
| | | 01/31/23 | -5.00 | Subscription expense | |
| | | 05/30/23 | -5.00 | Subscription expense | |
| | | 06/29/23 | -5.00 | Subscription expense | |
| | | 07/31/23 | -5.00 | Subscription expense | |
| | | 08/28/23 | -5.00 | Subscription expense | |
| | | | -30.00 | Total Subscription expense | |
| | | | -71.42 | Total Margin interest paid | |
| | | | -0.30 | Total Gross proceeds invstmnt exp | |
| | | | -30.00 | Total Subscription expense | |

- 15 Income or expense adjustment. This security is a widely held fixed investment trust (WHFIT). Items of income, deduction, and credit, and any other information shown on this statement must be taken into account in computing taxable income and credits on your income tax return(s).
- 16 This transaction represents the sale of assets from a Widely Held Fixed Investment Trust (WHFIT). The cost basis allocation factor is the value of the assets sold divided by the total net asset value of the trust. If you know your cost of the assets sold, use that to determine your gain/loss. Otherwise, determine your cost basis by multiplying your adjusted cost basis by the cost basis allocation factor. For example, if your adjusted basis is \$1,000 and the cost basis allocation factor is 0.005 your cost basis allocated to that sale is $\$1,000 * 0.005$ or \$5. If there are subsequent sales of trust assets, your adjusted cost basis for the next sale is \$995. Sales are reported based on when and for how much the trust sold the asset. This may differ both in timing and amount from what is distributed. There are cases where the proceeds are used to pay expenses and there is no corresponding distribution. For more information refer to regulations section 1.671-5.
- 25 Tax lot closed on a first in first out basis.
- CL This trust invests exclusively in "collectibles." Gains recognized from the sale of "collectibles" held for more than one year are taxed at a maximum federal income tax rate of 28%. This applies to gains recognized from the sale of an interest in the trust as well as gains attributable to you from the Trust's sale of "collectibles" which you - through ownership of shares in the trust - are treated as having held for more than one year.
-

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.

Free File. Go to 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 includible 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 includible 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 includible 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.

Free File. Go to 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.

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beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

Line 4. See "Backup Withholding" section.

Shows backup withholding or withholding on Indian gaming profits.

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

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

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

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

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

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

1099-MISC Instructions for Recipient

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

Line 3. Generally, report this amount on the "Other income" line of Schedule 1 (Form 1040) and identify the payment. The amount shown may be payments received as the

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