

APEX CLEARING
ONE DALLAS CENTER
350 N. ST PAUL, SUITE 1300
DALLAS, TX 75201

Account No: 5QU35520
Account Name: KIRAN LOKESH
Taxpayer Identification Number: ***-**-4060

Account Executive No: DPA

ORIGINAL: 02/06/2017

IN ACCOUNT WITH

ROBINHOOD
(650) 940-2700

2016 CONSOLIDATED IRS FORMS 1099

KIRAN LOKESH
10514 BRISTON CT
SAINT LOUIS, MO 63114 1958

YEAR-END MESSAGES

THIS PACKAGE INCLUDES YOUR CONSOLIDATED FORM 1099 THAT WE ARE REQUIRED TO PROVIDE TO YOU AND THE INTERNAL REVENUE SERVICE. WE SUGGEST THAT YOU SEEK THE ADVICE OF A TAX PROFESSIONAL WHEN PREPARING YOUR RETURN.

IN ADDITION, SUPPLEMENTAL DETAILS ARE PROVIDED TO HELP YOU PREPARE YOUR RETURN. ONLY INFORMATION REPORTED ON FORM 1099 IS SENT TO THE IRS.

Your Account did not receive the following Forms:

1099-DIV
1099-INT
1099-OID
1099-MISC

TABLE OF CONTENTS

Consolidated 1099 Sections:

Summary Information Page 2
1099-B Proceeds from Broker and Barter Exchange Transactions Page 3

Details:

Investment Details Page 8

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Copy B for recipient 2nd TIN Notice
 FATCA Filing Requirement

FORM 1099-B TOTALS SUMMARY

REALIZED GAIN / LOSS SUMMARY

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown below are for informational purposes only.

SHORT-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART I	GROSS PROCEEDS	COST BASIS	MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	REALIZED GAIN OR (LOSS)
Box A (basis reported to IRS)	\$5,426.72	\$4,911.50	\$0.00	\$2.50	\$517.73
Box A - Ordinary - (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B - Ordinary - (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Short-Term	\$5,426.72	\$4,911.50	\$0.00	\$2.50	\$517.73
LONG-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART II					
Box D (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box D - Ordinary - (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E - Ordinary - (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Long-Term	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

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RECIPIENT'S Name, Street Address, City, State, and Zip Code

KIRAN LOKESH
 10514 BRISTON CT
 SAINT LOUIS, MO 63114 1958

Payer's Federal Identification Number: 13-2967453

Payer's Name, Street, City, State, Zip Code:

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 ONE DALLAS CENTER
 350 N. ST PAUL, SUITE 1300
 DALLAS, TX 75201
Telephone Number: 214-765-1009

Copy B for recipient 2nd TIN Notice

2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

OMB No. 1545-0715

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder: **Taxpayers are ultimately responsible for the accuracy of their tax returns.**

Covered Short-Term Gains or Losses

Report on **Form 8949, Part I** with **Box A** checked

Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss - Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
ENPHASE ENERGY INC CUSIP: 29355A107	50.00000	12/18/2015	06/22/2016	\$107.49	\$170.00	\$0.00	\$0.00	(\$62.51)	Original Basis: \$170.00 Box 6: Gross Proceeds
GALENA BIOPHARMA INC CUSIP: 363256108	300.00000	03/31/2016	04/06/2016	\$453.10	\$390.00	\$0.00	\$0.00	\$63.10	Original Basis: \$390.00 Box 6: Gross Proceeds
	500.00000	05/31/2016	06/07/2016	\$974.96	\$904.95	\$0.00	\$0.00	\$70.01	Original Basis: \$904.95 Box 6: Gross Proceeds
	50.00000	06/02/2016	06/07/2016	\$97.50	\$100.00	\$0.00	\$2.50	\$0.00	Original Basis: \$100.00 Box 6: Gross Proceeds
Subtotals	850.00000			\$1,525.56	\$1,394.95	\$0.00	\$2.50	\$133.11	

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2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB No. 1545-0715

Covered Short-Term Gains or Losses

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NETFLIX COM INC CUSIP: 64110L106	2.00000	06/14/2016	08/11/2016	\$191.99	\$188.00	\$0.00	\$0.00	\$3.99	Original Basis: \$188.00
	7.00000	07/20/2016	08/11/2016	\$671.98	\$614.95	\$0.00	\$0.00	\$57.03	Box 6: Gross Proceeds Original Basis: \$614.95 Box 6: Gross Proceeds
Subtotals	9.00000			\$863.97	\$802.95	\$0.00	\$0.00	\$61.02	
PEABODY ENERGY CORPORATION COM CUSIP: 704549203	200.00000	03/17/2016	03/28/2016	\$499.96	\$500.00	\$0.00	\$0.00	(\$0.04)	Original Basis: \$500.00 Box 6: Gross Proceeds
SOLARCITY CORPORATION COMMON STOCK CUSIP: 83416T100	23.00000	05/12/2016	06/21/2016	\$480.90	\$442.75	\$0.00	\$0.00	\$38.15	Original Basis: \$442.75 Box 6: Gross Proceeds
	20.00000	06/22/2016	07/20/2016	\$542.78	\$460.40	\$0.00	\$0.00	\$82.38	Original Basis: \$460.40 Box 6: Gross Proceeds
	6.00000	06/23/2016	07/20/2016	\$162.83	\$126.54	\$0.00	\$0.00	\$36.29	Original Basis: \$126.54 Box 6: Gross Proceeds
Subtotals	49.00000			\$1,186.51	\$1,029.69	\$0.00	\$0.00	\$156.82	
TESLA MOTORS INC CUSIP: 88160R101	0.85000	08/15/2016	12/07/2016	\$162.26	\$187.00	\$0.00	\$0.00	(\$24.74)	Original Basis: \$187.00 CASH IN LIEU Box 6: Gross Proceeds
TROVAGENE INC CUSIP: 897238309	50.00000	01/22/2016	03/01/2016	\$274.99	\$264.00	\$0.00	\$0.00	\$10.99	Original Basis: \$264.00 Box 6: Gross Proceeds
	50.00000	02/02/2016	03/01/2016	\$274.98	\$213.50	\$0.00	\$0.00	\$61.49	Original Basis: \$213.50 Box 6: Gross Proceeds
Subtotals	100.00000			\$549.97	\$477.50	\$0.00	\$0.00	\$72.48	

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2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED

OMB No. 1545-0715

Covered Short-Term Gains or Losses

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Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
UNILIFE CORPORATION CUSIP: 90478E103	100.00000	01/05/2016	01/26/2016	\$90.55	\$73.97	\$0.00	\$0.00	\$16.58	Original Basis: \$73.97 Box 6: Gross Proceeds
	100.00000	01/05/2016	01/26/2016	\$89.98	\$73.97	\$0.00	\$0.00	\$16.01	Original Basis: \$73.97 Box 6: Gross Proceeds
	100.00000	01/05/2016	01/26/2016	\$89.98	\$73.97	\$0.00	\$0.00	\$16.01	Original Basis: \$73.97 Box 6: Gross Proceeds
Subtotals	300.00000			\$270.51	\$221.91	\$0.00	\$0.00	\$48.60	
***SGOCO GROUP LTD SHS CUSIP: G80751129	50.00000	01/25/2016	01/26/2016	\$260.49	\$127.50	\$0.00	\$0.00	\$132.99	Original Basis: \$127.50 Box 6: Gross Proceeds
17 ITEMS - TOTAL				\$5,426.72	\$4,911.50	\$0.00	\$2.50	\$517.73	

FOOT NOTES

SHORT SALE - Short sales covered in December that settle in January will be reported on your Form 1099-B in the year they are settled.

** IRS Instructions require Unknown Term transactions to be assigned Code X for reporting on Form 8949. Please refer to your Tax Advisor for further advice.

END OF 2016 FORM 1099-B

Form 1099-B (OMB No. 1545-0715)

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

Recipient's identification number. For your protection, this form may show only the last four digits of your 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 identification number to the IRS.

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

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

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

Applicable check box on Form 8949. Indicates where to report this transaction on Form 8949 and Schedule D, and which check box is applicable. See the instructions for your Schedule D and/or Form 8949.

Box 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).

Box 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.

Box 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.

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

Box 1e. Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a non-compensatory 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 non-compensatory 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, Instructions for Schedule D, or Pub. 550 for details.

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

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

Box 2. The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the Ordinary box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. Please 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.

Box 3. If checked, the basis in box 1e has been reported to the IRS and one or more of the check boxes in box 2 must be checked. If box 3 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D as you may be able to report your transaction directly on Schedule D. If the Ordinary check box in box 2 is checked, an adjustment may be required.

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

Box 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.

Box 6. If the exercise of a non-compensatory option resulted in a sale of a security, indicates whether the amount in box 1d was adjusted for premium.

Box 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 instructions. The broker should advise you of any losses on a separate statement.

Box 12. If checked, proceeds are from a transaction involving collectibles.

Box 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.

Box 14-16. Shows state(s)/local income tax information.

Form 1099-B (OMB No. 1545-0715)**Regulated Futures Contracts (Boxes 8 Through 11):**

Box 8. Shows the profit or (loss) realized on regulated futures, foreign currency, or Section 1256 option contracts closed during 2016.

Box 9. Shows any year end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2015.

Box 10. Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2016. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts 12/31/2016 in 2017.

Box 11. Boxes 8, 9, and 10 are all used to figure the aggregate profit or (loss) on regulated futures, foreign currency, or Section 1256 option contracts for the year. Include this amount on your 2016 Form 6781.

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END OF 2016 CONSOLIDATED FORM 1099

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2016 INVESTMENT DETAILS

DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
06/22/2016	ENPHASE ENERGY INC	29355A107	Sell	50.000	\$2.15	\$107.49	
03/31/2016	GALENA BIOPHARMA INC	363256108	Purchase	300.000	\$1.30	\$390.00	
04/06/2016	GALENA BIOPHARMA INC	363256108	Sell	300.000	\$1.51	\$453.10	
05/31/2016	GALENA BIOPHARMA INC	363256108	Purchase	500.000	\$1.81	\$904.95	
06/02/2016	GALENA BIOPHARMA INC	363256108	Purchase	50.000	\$2.00	\$100.00	
06/07/2016	GALENA BIOPHARMA INC	363256108	Sell	550.000	\$1.95	\$1,072.46	
06/13/2016	GALENA BIOPHARMA INC	363256108	Purchase	400.000	\$2.18	\$871.28	
07/21/2016	GALENA BIOPHARMA INC	363256108	Purchase	10.000	\$0.54	\$5.37	
07/21/2016	GALENA BIOPHARMA INC	363256108	Purchase	57.000	\$0.54	\$30.59	
07/21/2016	GALENA BIOPHARMA INC	363256108	Purchase	143.000	\$0.54	\$76.73	
10/27/2016	GALENA BIOPHARMA INC	363256108	Purchase	60.000	\$0.28	\$16.68	
11/21/2016	GALENA BIOPHARMA INC	363256504	CASH IN LIEU		-	\$1.77	
06/14/2016	NETFLIX COM INC	64110L106	Purchase	2.000	\$94.00	\$188.00	
07/20/2016	NETFLIX COM INC	64110L106	Purchase	7.000	\$87.85	\$614.95	
08/11/2016	NETFLIX COM INC	64110L106	Sell	9.000	\$96.00	\$863.97	
03/17/2016	PEABODY ENERGY CORPORATION COM	704549203	Purchase	200.000	\$2.50	\$500.00	
03/28/2016	PEABODY ENERGY CORPORATION COM	704549203	Sell	200.000	\$2.50	\$499.96	
05/12/2016	SOLARCITY CORPORATION COMMON STOCK	83416T100	Purchase	23.000	\$19.25	\$442.75	
06/21/2016	SOLARCITY CORPORATION COMMON STOCK	83416T100	Sell	23.000	\$20.91	\$480.90	
06/22/2016	SOLARCITY CORPORATION COMMON STOCK	83416T100	Purchase	20.000	\$23.02	\$460.40	
06/23/2016	SOLARCITY CORPORATION COMMON STOCK	83416T100	Purchase	6.000	\$21.09	\$126.54	
07/20/2016	SOLARCITY CORPORATION COMMON STOCK	83416T100	Sell	26.000	\$27.14	\$705.61	
08/15/2016	SOLARCITY CORPORATION COMMON STOCK	83416T100	Purchase	35.000	\$24.20	\$847.00	
01/21/2016	SUNEDISON INC	86732Y109	Purchase	50.000	\$2.60	\$130.00	
02/01/2016	SUNEDISON INC	86732Y109	Purchase	100.000	\$3.01	\$300.99	
02/18/2016	SUNEDISON INC	86732Y109	Purchase	13.000	\$1.58	\$20.54	
04/05/2016	SUNEDISON INC	86732Y109	Purchase	30.000	\$0.37	\$11.04	
04/05/2016	SUNEDISON INC	86732Y109	Purchase	100.000	\$0.37	\$36.99	
04/05/2016	SUNEDISON INC	86732Y109	Purchase	125.000	\$0.37	\$46.24	
04/05/2016	SUNEDISON INC	86732Y109	Purchase	175.000	\$0.37	\$64.73	
12/07/2016	TESLA MOTORS INC	88160R101	CASH IN LIEU		-	\$162.26	
01/22/2016	TROVAGENE INC	897238309	Purchase	50.000	\$5.28	\$264.00	
02/02/2016	TROVAGENE INC	897238309	Purchase	50.000	\$4.27	\$213.50	
03/01/2016	TROVAGENE INC	897238309	Sell	100.000	\$5.50	\$549.97	
01/05/2016	UNILIFE CORPORATION	90478E103	Purchase	300.000	\$0.74	\$221.91	

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2016 INVESTMENT DETAILS

DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
01/26/2016	UNILIFE CORPORATION	90478E103	Sell	100.000	\$0.90	\$89.98	
01/26/2016	UNILIFE CORPORATION	90478E103	Sell	100.000	\$0.90	\$89.98	
01/26/2016	UNILIFE CORPORATION	90478E103	Sell	100.000	\$0.91	\$90.55	
01/25/2016	***SGOCO GROUP LTD SHS	G80751129	Purchase	50.000	\$2.55	\$127.50	
01/26/2016	***SGOCO GROUP LTD SHS	G80751129	Sell	50.000	\$5.21	\$260.49	

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