

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

Account No: 5RW78224  
Account Name: VINEET MEHRA  
Taxpayer Identification Number:\*\*\*-\*\*-1596

Account Executive No: DPA

ORIGINAL: 02/07/2018

IN ACCOUNT WITH  
**ROBINHOOD**  
**(650) 940-2700**

## CONSOLIDATED 2017 FORMS 1099 AND DETAILS

VINEET MEHRA  
3301 N PARK DR UNIT 2211  
SACRAMENTO, CA 95835 1883

### YEAR-END MESSAGES

THIS DOCUMENT 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.

PLEASE VERIFY YOUR PERSONAL INFORMATION FOR ACCURACY AND CONTACT YOUR BROKER TO CORRECT ANY DISCREPANCIES. IF YOU OWN MUTUAL FUNDS, REAL ESTATE TRUSTS (REITS), REMIC SECURITIES OR WHFIT'S INCOME DISTRIBUTIONS MAY BE RECLASSIFIED BY THE ISSUER AFTER THE ORIGINAL 1099 IS SENT. IF YOU HOLD THESE SECURITIES YOU MAY RECEIVE A CORRECTED FORM 1099.

IN ADDITION TO THE 1099 INFORMATION, 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 3
1099-B Proceeds from Broker and Barter Exchange Transactions	Page 4

#### **Details:**

Investment Details	Page 7
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**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.

<b>SHORT-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART I</b>	<b>PROCEEDS</b>	<b>COST BASIS</b>	<b>MARKET DISCOUNT</b>	<b>WASH SALE LOSS DISALLOWED</b>	<b>REALIZED GAIN OR (LOSS)</b>
Box A (basis reported to IRS)	\$929.15	\$297.00	\$0.00	\$0.00	\$632.15
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
<b>Total Short-Term</b>	<b>\$929.15</b>	<b>\$297.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$632.15</b>
<b>LONG-TERM GAINS OR (LOSSES) - REPORT ON FORM 8949, PART II</b>					
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
<b>Total Long-Term</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>UNKNOWN TERM - CODE (X) REPORT ON FORM 8949 PART I OR PART II</b>					
Box B or Box E (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B or Box E - Ordinary - (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Unknown Term</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>

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Account Executive No: DPA  
 ORIGINAL: 02/07/2018

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

VINEET MEHRA  
 3301 N PARK DR UNIT 2211  
 SACRAMENTO, CA 95835 1883

**Payer's Federal Identification Number:** 13-2967453

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

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

Copy B for recipient  2nd TIN Notice  
 FATCA Filing Requirement

**2017 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 on Gross Proceeds**

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

**Box 6:** Gross Proceeds

**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.

Security 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
DYNAVAX TECHNOLOGIES CORP CUSIP: 268158201	35.00000	12/20/2016	08/07/2017	\$635.40	\$147.00	\$0.00	\$0.00	\$488.40	
***NOVADAQ TECHNOLOGIES INC COMMON CUSIP: 66987G102	25.00000	01/11/2017	09/07/2017	\$293.75	\$150.00	\$0.00	\$0.00	\$143.75	MERGER
<b>2 ITEMS - TOTAL</b>				<b>\$929.15</b>	<b>\$297.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$632.15</b>	

**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.

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**END OF 2017 FORM 1099-B**

**END OF 2017 CONSOLIDATED FORMS 1099**

**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 taxpayer 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 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, 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 noncompensatory 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.

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

**Form 1099-B (OMB No. 1545-0715)****Regulated Futures Contracts, Foreign Currency Contracts, and Section 1256 Option 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 2017.

**Box 9.** Shows any year end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2016.

**Box 10.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2017. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts 12/31/2017 in 2018.

**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 2017 Form 6781.

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**2017 INVESTMENT DETAILS**

**DETAILS OF 2017 INVESTMENT ACTIVITY**

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Additional Information
12/04/2017	***ARALEZ PHARMACEUTICALS INC COMMON	03852X100	PURCHASE	1.000	\$1.42	\$1.42	
12/04/2017	***ARALEZ PHARMACEUTICALS INC COMMON	03852X100	PURCHASE	50.000	\$1.42	\$71.00	
12/04/2017	***ARALEZ PHARMACEUTICALS INC COMMON	03852X100	PURCHASE	199.000	\$1.42	\$282.58	
11/15/2017	***AURINIA PHARMACEUTICALS INC COM	05156V102	PURCHASE	50.000	\$4.90	\$245.00	
08/07/2017	DYNAVAX TECHNOLOGIES CORP	268158201	SELL	35.000	\$18.16	\$635.40	
01/11/2017	***NOVADAQ TECHNOLOGIES INC COMMON	66987G102	PURCHASE	25.000	\$6.00	\$150.00	
09/07/2017	***NOVADAQ TECHNOLOGIES INC COMMON	66987G102	MERGER	25.000	-	\$293.75	
02/27/2017	***DRYSHIPS INC COMMON STOCK	Y2109Q408	PURCHASE	4.000	\$1.96	\$7.84	
02/27/2017	***DRYSHIPS INC COMMON STOCK	Y2109Q408	PURCHASE	10.000	\$1.96	\$19.60	
02/27/2017	***DRYSHIPS INC COMMON STOCK	Y2109Q408	PURCHASE	36.000	\$1.96	\$70.56	
02/27/2017	***DRYSHIPS INC COMMON STOCK	Y2109Q408	PURCHASE	50.000	\$1.91	\$95.50	
04/05/2017	***DRYSHIPS INC COMMON STOCK	Y2109Q408	PURCHASE	30.000	\$1.00	\$30.00	
04/07/2017	***DRYSHIPS INC COMMON STOCK	Y2109Q408	PURCHASE	2.000	\$0.80	\$1.60	
05/30/2017	***DRYSHIPS INC COMMON STOCK	Y2109Q507	CASH IN LIEU		-	\$2.88	
07/20/2017	***DRYSHIPS INC COMMON STOCK	Y2109Q606	CASH IN LIEU		-	\$0.76	

**END OF 2017 DETAILS**

