

<b>Robinhood Securities LLC</b> 500 Colonial Center Parkway Suite 100 Lake Mary, FL 32746 Customer Service: 650-940-2700  PAYER'S TIN: 38-4019216	<b>Tax Information</b> <b>Account 121457550</b>	<b>Statement Date: 02/06/2020</b> <b>Document ID: 3421 3W1 N4V8</b>	<b>2019</b>
	Ibrahim Rupawala 3571 Lisbon Dr San Jose, CA 95132  RECIPIENT'S TIN: XXX-XX-5744		

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

<b>DIVIDENDS AND DISTRIBUTIONS</b>	<b>2019 1099-DIV*</b>	OMB No. 1545-0110	<b>MISCELLANEOUS INCOME</b>	<b>2019 1099-MISC*</b>	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)		346.79	2- Royalties		0.00
1b- Qualified dividends		346.79	3- Other income		0.00
2a- Total capital gain distributions (includes lines 2b, 2c, 2d)		0.00	<b>4- Federal income tax withheld</b>		<b>0.00</b>
2b- Unrecaptured Section 1250 gain		0.00	8- Substitute payments in lieu of dividends or interest		15.75
2c- Section 1202 gain		0.00			
2d- Collectibles (28%) gain		0.00	<b>SECTION 1256 CONTRACTS</b>	<b>2019 1099-B*</b>	OMB No. 1545-0715
3- Nondividend distributions		0.00	8- Profit or (loss) realized in 2019 on closed contracts		0.00
<b>4- Federal income tax withheld</b>		<b>0.00</b>	9- Unrealized profit or (loss) on open contracts-12/31/2018		0.00
5- Section 199A dividends		0.00	10- Unrealized profit or (loss) on open contracts-12/31/2019		0.00
6- Investment expenses		0.00	11- Aggregate profit or (loss) on contracts		0.00
8- Foreign country or US possession:	7- Foreign tax paid:	0.00	<i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i>		
9- Cash liquidation distributions		0.00			
10- Noncash liquidation distributions		0.00			
11- Exempt-interest dividends (includes line 12)		0.00			
12- Specified private activity bond interest dividends (AMT)		0.00			

**\* 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.**

**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)	1,423,424.05	1,421,346.81	0.00	3,321.97	5,399.21
Short	B (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Short	C (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Short-term</b>	<b>1,423,424.05</b>	<b>1,421,346.81</b>	<b>0.00</b>	<b>3,321.97</b>	<b>5,399.21</b>
Long	D (basis reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Long	F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined	B or E (basis not reported to the IRS)	0.00	0.00	0.00	0.00	0.00
Undetermined	C or F (Form 1099-B not received)	0.00	0.00	0.00	0.00	0.00
	<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	<b>Grand total</b>	<b>1,423,424.05</b>	<b>1,421,346.81</b>	<b>0.00</b>	<b>3,321.97</b>	<b>5,399.21</b>

  

<b>Withholding</b>	<b>Amount</b>
Federal income tax withheld	0.00

Changes to dividend tax classifications processed after your original tax form is issued for 2019 may require an amended tax form.

Robinhood Securities LLC

Account 121457550

**Summary Information**

2019

(continued)

02/06/2020

**INTEREST INCOME****2019 1099-INT**

OMB No. 1545-0112

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1- Interest income (not included in line 3)	0.00
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>
5- Investment expenses	0.00
7- Foreign country or US possession:	0.00
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
Tax-exempt obligations (covered lots)	0.00
Tax-exempt private activity obligations (AMT, covered lots)	0.00
14- Tax-exempt and tax credit bond CUSIP number	

*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 2019	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	607.92
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	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

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# **Proceeds from Broker and Barter Exchange Transactions**

**2019 1099-B\*** OMB No. 1545-0715

02/06/2020

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, basis is reported to the IRS indicator 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 other 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 regulation. 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)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AT&T INC. / CUSIP: 00206R102 / Symbol:							
3 transactions for 05/28/19. Total proceeds and cost reported to the IRS.							
	1.000	32.19	04/23/19	32.16	...	0.03	1 of 3 - Sale <sup>25</sup>
	50.000	1,610.45	04/23/19	1,607.99	...	2.46	2 of 3 - Sale <sup>25</sup>
	149.000	4,799.17	04/23/19	4,791.81	...	7.36	3 of 3 - Sale <sup>25</sup>
05/28/19	200.000	6,441.81	Various	6,431.96	...	9.85	Total of 3 transactions
07/22/19	200.000	6,489.84	07/09/19	6,688.00	...	-198.16	Sale <sup>25</sup>
<b>Security total:</b>		<b>12,931.65</b>		<b>13,119.96</b>	...	<b>-188.31</b>	
ABERCROMBIE & FITCH CO. / CUSIP: 002896207 / Symbol:							
03/07/19	250.000	6,499.88	03/05/19	5,309.98	...	1,189.90	Sale <sup>25</sup>
3 transactions for 05/29/19. Total proceeds and cost reported to the IRS.							
	100.000	1,854.95	05/29/19	1,864.96	...	-10.01	1 of 3 - Sale <sup>25</sup>
	100.000	1,854.95	05/29/19	1,864.55	...	-9.60	2 of 3 - Sale <sup>25</sup>

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## Proceeds from Broker and Barter Exchange Transactions

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
ABERCROMBIE & FITCH CO. / CUSIP: 002896207 / Symbol: (cont'd)							
	100.000	1,855.45	05/29/19	1,864.55	...	-9.10	3 of 3 - Sale <sup>25</sup>
05/29/19	300.000	5,565.35	Various	5,594.06	...	-28.71	Total of 3 transactions
	3 transactions for 05/29/19. Total proceeds and cost reported to the IRS.						
	100.000	1,855.95	05/29/19	1,859.50	3.55 W	0.00	1 of 3 - Sale <sup>25</sup>
	100.000	1,855.95	05/29/19	1,859.50	3.55 W	0.00	2 of 3 - Sale <sup>25</sup>
	100.000	1,855.94	05/29/19	1,859.90	3.96 W	0.00	3 of 3 - Sale <sup>25</sup>
05/29/19	300.000	5,567.84	Various	5,578.90	11.06 W	0.00	Total of 3 transactions
	<b>Security total:</b>	<b>17,633.07</b>		<b>16,482.94</b>	<b>11.06 W</b>	<b>1,161.19</b>	
ADOBE INC. COMMON STOCK / CUSIP: 00724F101 / Symbol:							
04/22/19	20.000	5,435.67	03/14/19	5,344.20	...	91.47	Sale <sup>25</sup>
06/25/19	20.000	5,760.07	06/25/19	5,858.00	...	-97.93	Sale <sup>25</sup>
06/25/19	20.000	5,855.08	06/25/19	5,895.48	40.40 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>17,050.82</b>		<b>17,097.68</b>	<b>40.40 W</b>	<b>-6.46</b>	
AEROVIRONMENT, INC. COMMON STOCK / CUSIP: 008073108 / Symbol:							
03/05/19	65.000	4,999.07	03/05/19	5,048.93	49.86 W	0.00	Sale <sup>25</sup>
03/06/19	65.000	5,687.41	03/05/19	5,050.31	...	637.10	Sale <sup>25</sup>
	<b>Security total:</b>	<b>10,686.48</b>		<b>10,099.24</b>	<b>49.86 W</b>	<b>637.10</b>	
AGILENT TECHNOLOGIES INC. / CUSIP: 00846U101 / Symbol:							
	3 transactions for 02/21/19. Total proceeds and cost reported to the IRS.						
	49.000	3,777.84	02/20/19	3,859.23	...	-81.39	1 of 3 - Sale <sup>25</sup>
	31.000	2,407.41	02/20/19	2,441.56	...	-34.15	2 of 3 - Sale <sup>25</sup>
	4.000	308.39	02/20/19	319.48	...	-11.09	3 of 3 - Sale <sup>25</sup>
02/21/19	84.000	6,493.64	Various	6,620.27	...	-126.63	Total of 3 transactions
02/21/19	40.000	3,106.34	02/20/19	3,150.39	4.40 W	-39.65	Sale <sup>25</sup>
	<b>Security total:</b>	<b>9,599.98</b>		<b>9,770.66</b>	<b>4.40 W</b>	<b>-166.28</b>	
ALEXION PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 015351109 / Symbol:							
04/25/19	31.000	4,029.35	04/24/19	4,032.15	...	-2.80	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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
AMERICAN DEPOSITARY SHARES, EA CH REPRESENTS EIGHT ORDINARY S HARES / CUSIP: 01609W102 / Symbol:							
2 transactions for 02/20/19. Total proceeds and cost reported to the IRS.							
02/20/19	17.000	2,932.46	04/25/18	2,882.35	...	50.11	1 of 2 - Sale <sup>25</sup>
	17.000	2,932.47	08/23/18	2,981.29	...	-48.82	2 of 2 - Sale <sup>25</sup>
	34.000	5,864.93	Various	5,863.64	...	1.29	Total of 2 transactions
2 transactions for 06/14/19. Total proceeds and cost reported to the IRS.							
06/14/19	20.000	3,163.92	06/07/19	3,084.00	...	79.92	1 of 2 - Sale <sup>25</sup>
	30.000	4,745.89	06/07/19	4,625.99	...	119.90	2 of 2 - Sale <sup>25</sup>
	50.000	7,909.81	Various	7,709.99	...	199.82	Total of 2 transactions
2 transactions for 07/09/19. Total proceeds and cost reported to the IRS.							
07/09/19	1.000	166.75	06/25/19	165.77	...	0.98	1 of 2 - Sale <sup>25</sup>
	34.000	5,670.05	06/25/19	5,636.18	...	33.87	2 of 2 - Sale <sup>25</sup>
	35.000	5,836.80	Various	5,801.95	...	34.85	Total of 2 transactions
4 transactions for 08/01/19. Total proceeds and cost reported to the IRS.							
08/01/19	20.000	3,295.92	07/09/19	3,375.99	...	-80.07	1 of 4 - Sale <sup>25</sup>
	10.000	1,647.95	07/09/19	1,688.00	...	-40.05	2 of 4 - Sale <sup>25</sup>
	10.000	1,647.95	07/09/19	1,687.99	...	-40.04	3 of 4 - Sale <sup>25</sup>
	10.000	1,647.95	07/09/19	1,687.99	...	-40.04	4 of 4 - Sale <sup>25</sup>
	50.000	8,239.77	Various	8,439.97	...	-200.20	Total of 4 transactions
<b>Security total:</b>		<b>27,851.31</b>		<b>27,815.55</b>	...	<b>35.76</b>	
ALLIED MOTION TECHNOLOGIES, IN C. / CUSIP: 019330109 / Symbol:							
03/14/19	80.000	3,304.74	03/13/19	3,338.61	...	-33.87	Sale <sup>25</sup>
ALLISON TRANSMISSION HOLDINGS, INC. / CUSIP: 01973R101 / Symbol:							
2 transactions for 02/25/19. Total proceeds and cost reported to the IRS.							
02/25/19	100.000	5,024.92	02/25/19	5,071.00	...	-46.08	1 of 2 - Sale <sup>25</sup>
	50.000	2,512.46	02/25/19	2,535.00	...	-22.54	2 of 2 - Sale <sup>25</sup>
	150.000	7,537.38	Various	7,606.00	...	-68.62	Total of 2 transactions
2 transactions for 04/23/19. Total proceeds and cost reported to the IRS.							
04/23/19	49.000	2,425.43	04/22/19	2,346.61	...	78.82	1 of 2 - Sale <sup>25</sup>
	50.000	2,475.43	04/22/19	2,394.50	...	80.93	2 of 2 - Sale <sup>25</sup>
	99.000	4,900.86	Various	4,741.11	...	159.75	Total of 2 transactions
<b>Security total:</b>		<b>12,438.24</b>		<b>12,347.11</b>	...	<b>91.13</b>	

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Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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
ALPHABET INC. CLASS A COMMON S TOCK / CUSIP: 02079K305 / Symbol:							
02/20/19	3.000	3,354.10	05/31/18	3,313.71	...	40.39	Sale <sup>25</sup>
03/05/19	4.000	4,655.19	03/04/19	4,580.00	...	75.19	Sale <sup>25</sup>
	2 transactions for 05/28/19. Total proceeds and cost reported to the IRS.						
	1.000	1,147.22	05/23/19	1,137.26	...	9.96	1 of 2 - Sale <sup>25</sup>
	4.000	4,588.93	05/23/19	4,549.02	...	39.91	2 of 2 - Sale <sup>25</sup>
05/28/19	5.000	5,736.15	Various	5,686.28	...	49.87	Total of 2 transactions
	2 transactions for 06/26/19. Total proceeds and cost reported to the IRS.						
	1.000	1,084.05	05/29/19	1,119.98	35.93 W	0.00	1 of 2 - Sale <sup>25</sup>
	4.000	4,336.26	05/29/19	4,479.92	143.66 W	0.00	2 of 2 - Sale <sup>25</sup>
06/26/19	5.000	5,420.31	Various	5,599.90	179.59 W	0.00	Total of 2 transactions
	2 transactions for 07/25/19. Total proceeds and cost reported to the IRS.						
	4.000	4,498.73	07/09/19	4,646.48	...	-147.75	1 of 2 - Sale <sup>25</sup>
	1.000	1,124.67	07/09/19	1,161.64	...	-36.97	2 of 2 - Sale <sup>25</sup>
07/25/19	5.000	5,623.40	Various	5,808.12	...	-184.72	Total of 2 transactions
	<b>Security total:</b>	<b>24,789.15</b>		<b>24,988.01</b>	<b>179.59 W</b>	<b>-19.27</b>	
AMAZON.COM, INC. COMMON STOCK / CUSIP: 023135106 / Symbol:							
02/28/19	4.000	6,564.58	05/23/18	6,383.76	...	180.82	Sale <sup>25</sup>
03/13/19	3.000	5,093.92	03/05/19	5,093.76	...	0.16	Sale <sup>25</sup>
05/07/19	3.000	5,760.80	04/25/19	5,752.55	...	8.25	Sale <sup>25</sup>
05/28/19	4.000	7,324.39	05/23/19	7,247.76	...	76.63	Sale <sup>25</sup>
06/25/19	4.000	7,527.83	06/04/19	6,746.52	...	781.31	Sale <sup>25</sup>
07/31/19	4.000	7,401.95	07/22/19	7,851.96	...	-450.01	Sale <sup>25</sup>
	<b>Security total:</b>	<b>39,673.47</b>		<b>39,076.31</b>	...	<b>597.16</b>	
AMERICAN PUBLIC EDUCATION, INC . COMMON STOCK / CUSIP: 02913V103 / Symbol:							
03/13/19	170.000	5,531.70	03/12/19	5,587.88	...	-56.18	Sale <sup>25</sup>
AMERICAN VANGUARD CORPORATION / CUSIP: 030371108 / Symbol:							
	3 transactions for 03/12/19. Total proceeds and cost reported to the IRS.						
	75.000	1,457.97	03/11/19	1,427.88	...	30.09	1 of 3 - Sale <sup>25</sup>
	100.000	1,943.96	03/11/19	1,903.84	...	40.12	2 of 3 - Sale <sup>25</sup>
	100.000	1,943.96	03/11/19	1,903.84	...	40.12	3 of 3 - Sale <sup>25</sup>
03/12/19	275.000	5,345.89	Various	5,235.56	...	110.33	Total of 3 transactions

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Robinhood Securities LLC

Account 121457550

**Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
AMERICA'S CAR-MART INC COMMON STOCK / CUSIP: 03062T105 / Symbol:							
04/15/19	60.000	5,713.11	04/10/19	5,563.37	...	149.74	Sale <sup>25</sup>
ANSYS, INC. COMMON STOCK / CUSIP: 03662Q105 / Symbol:							
02/28/19	40.000	7,174.29	02/27/19	7,061.20	...	113.09	Sale <sup>25</sup>
ANTHEM, INC. / CUSIP: 036752103 / Symbol:							
04/24/19	19.000	4,789.79	04/23/19	4,761.21	...	28.58	Sale <sup>25</sup>
AVID TECHNOLOGY, INC. COMMON S TOCK / CUSIP: 05367P100 / Symbol:							
04/15/19	800.000	6,551.81	04/10/19	6,878.56	...	-326.75	Sale <sup>25</sup>
AXON ENTERPRISE, INC. COMMON S TOCK / CUSIP: 05464C101 / Symbol:							
2 transactions for 02/27/19. Total proceeds and cost reported to the IRS.							
	100.000	5,378.93	02/26/19	6,014.32	...	-635.39	1 of 2 - Sale <sup>25</sup>
	50.000	2,702.45	02/26/19	3,007.16	...	-304.71	2 of 2 - Sale <sup>25</sup>
02/27/19	150.000	8,081.38	Various	9,021.48	...	-940.10	Total of 2 transactions
AZUL S.A. AMERICAN DEPOSITARY SHARES (EACH REPRESENTING THRE E PREFERRED SHARES) / CUSIP: 05501U106 / Symbol:							
11 transactions for 03/14/19. Total proceeds and cost reported to the IRS.							
	1.000	31.97	03/13/19	31.70	...	0.27	1 of 11 - Sale <sup>25</sup>
	1.000	31.97	03/13/19	31.70	...	0.27	2 of 11 - Sale <sup>25</sup>
	1.000	31.97	03/13/19	31.70	...	0.27	3 of 11 - Sale <sup>25</sup>
	2.000	63.94	03/13/19	63.39	...	0.55	4 of 11 - Sale <sup>25</sup>
	15.000	479.39	03/13/19	475.50	...	3.89	5 of 11 - Sale <sup>25</sup>
	28.000	894.86	03/13/19	887.60	...	7.26	6 of 11 - Sale <sup>25</sup>
	28.000	894.86	03/13/19	887.60	...	7.26	7 of 11 - Sale <sup>25</sup>
	28.000	895.13	03/13/19	887.46	...	7.67	8 of 11 - Sale <sup>25</sup>
	72.000	2,301.08	03/13/19	2,282.40	...	18.68	9 of 11 - Sale <sup>25</sup>
	72.000	2,301.08	03/13/19	2,282.39	...	18.69	10 of 11 - Sale <sup>25</sup>
	72.000	2,301.08	03/13/19	2,282.04	...	19.04	11 of 11 - Sale <sup>25</sup>
03/14/19	320.000	10,227.33	Various	10,143.48	...	83.85	Total of 11 transactions
BG STAFFING INC. / CUSIP: 05544A109 / Symbol:							
05/20/19	200.000	3,969.19	03/11/19	5,376.30	...	-1,407.11	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

## Proceeds from Broker and Barter Exchange Transactions

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BAIDU, INC. ADS / CUSIP: 056752108 / Symbol:							
07/09/19	45.000	5,082.63	06/25/19	5,127.72	45.09 W	0.00	Sale <sup>25</sup>
2 transactions for 07/18/19. Total proceeds and cost reported to the IRS.							
	45.000	5,061.03	07/09/19	5,196.23	...	-135.20	1 of 2 - Sale <sup>25</sup>
	25.000	2,811.69	07/09/19	2,861.75	...	-50.06	2 of 2 - Sale <sup>25</sup>
07/18/19	70.000	7,872.72	Various	8,057.98	...	-185.26	Total of 2 transactions
<b>Security total:</b>		<b>12,955.35</b>		<b>13,185.70</b>	<b>45.09 W</b>	<b>-185.26</b>	
W.R. BERKLEY CORPORATION / CUSIP: 084423102 / Symbol:							
3 transactions for 04/23/19. Total proceeds and cost reported to the IRS.							
	50.000	2,924.42	04/23/19	2,929.00	...	-4.58	1 of 3 - Sale <sup>25</sup>
	5.000	292.43	04/23/19	292.90	...	-0.47	2 of 3 - Sale <sup>25</sup>
	2.000	116.96	04/23/19	117.16	...	-0.20	3 of 3 - Sale <sup>25</sup>
04/23/19	57.000	3,333.81	Various	3,339.06	...	-5.25	Total of 3 transactions
04/24/19	33.000	1,969.05	04/23/19	1,933.14	...	35.91	Sale <sup>25</sup>
<b>Security total:</b>		<b>5,302.86</b>		<b>5,272.20</b>	...	<b>30.66</b>	
BIOCRYST PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 09058V103 / Symbol:							
03/01/19	10.000	85.98	03/01/19	86.80	...	-0.82	Sale <sup>25</sup>
BOEING COMPANY / CUSIP: 097023105 / Symbol:							
04/24/19	15.000	5,634.58	04/23/19	5,613.75	...	20.83	Sale <sup>25</sup>
BOOKING HOLDINGS INC. COMMON S TOCK / CUSIP: 09857L108 / Symbol:							
02/28/19	4.000	6,999.89	02/27/19	7,648.68	...	-648.79	Sale <sup>25</sup>
BOX, INC. / CUSIP: 10316T104 / Symbol:							
2 transactions for 06/11/19. Total proceeds and cost reported to the IRS.							
	200.000	3,519.90	06/10/19	3,589.98	...	-70.08	1 of 2 - Sale <sup>25</sup>
	100.000	1,759.95	06/10/19	1,794.99	...	-35.04	2 of 2 - Sale <sup>25</sup>
06/11/19	300.000	5,279.85	Various	5,384.97	...	-105.12	Total of 2 transactions
BROADCOM INC. COMMON STOCK / CUSIP: 11135F101 / Symbol:							
08/01/19	20.000	5,659.87	07/09/19	5,496.65	...	163.22	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

# Proceeds from Broker and Barter Exchange Transactions

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BURLINGTON STORES, INC. / CUSIP: 122017106 / Symbol:							
2 transactions for 04/23/19. Total proceeds and cost reported to the IRS.							
	25.000	4,057.40	03/06/19	4,175.39	...	-117.99	1 of 2 - Sale <sup>25</sup>
	1.000	162.28	03/06/19	167.02	...	-4.74	2 of 2 - Sale <sup>25</sup>
04/23/19	26.000	4,219.68	Various	4,342.41	...	-122.73	Total of 2 transactions
CVS HEALTH CORPORATION / CUSIP: 126650100 / Symbol:							
2 transactions for 02/21/19. Total proceeds and cost reported to the IRS.							
	100.000	6,349.90	02/20/19	6,360.00	...	-10.10	1 of 2 - Sale <sup>25</sup>
	50.000	3,174.95	02/20/19	3,180.00	...	-5.05	2 of 2 - Sale <sup>25</sup>
02/21/19	150.000	9,524.85	Various	9,540.00	...	-15.15	Total of 2 transactions
CABOT OIL & GAS CORP. / CUSIP: 127097103 / Symbol:							
04/23/19	200.000	5,261.87	04/10/19	5,420.00	...	-158.13	Sale <sup>25</sup>
CACTUS, INC. / CUSIP: 127203107 / Symbol:							
03/07/19	150.000	5,279.91	03/06/19	5,332.35	...	-52.44	Sale <sup>25</sup>
CADENCE DESIGN SYSTEMS, INC. C OMMON STOCK / CUSIP: 127387108 / Symbol:							
02/19/19	200.000	11,239.83	02/19/19	10,481.80	...	758.03	Sale <sup>25</sup>
03/05/19	100.000	5,877.91	03/04/19	5,805.99	...	71.92	Sale <sup>25</sup>
2 transactions for 04/22/19. Total proceeds and cost reported to the IRS.							
	20.000	1,329.97	04/22/19	1,279.40	...	50.57	1 of 2 - Sale <sup>25</sup>
	100.000	6,649.85	04/22/19	6,397.00	...	252.85	2 of 2 - Sale <sup>25</sup>
04/22/19	120.000	7,979.82	Various	7,676.40	...	303.42	Total of 2 transactions
	<b>Security total:</b>	<b>25,097.56</b>		<b>23,964.19</b>	...	<b>1,133.37</b>	
CANADIAN NATURAL RESOURCES LIM ITED / CUSIP: 136385101 / Symbol:							
03/11/19	200.000	5,447.94	03/06/19	5,325.98	...	121.96	Sale <sup>25</sup>
CANADIAN SOLAR INC. COMMON SHA RES / CUSIP: 136635109 / Symbol:							
3 transactions for 05/30/19. Total proceeds and cost reported to the IRS.							
	100.000	1,953.94	03/20/19	2,354.00	...	-400.06	1 of 3 - Sale <sup>25</sup>
	100.000	1,953.94	03/20/19	2,354.00	...	-400.06	2 of 3 - Sale <sup>25</sup>
	100.000	1,953.95	03/20/19	2,354.00	...	-400.05	3 of 3 - Sale <sup>25</sup>
05/30/19	300.000	5,861.83	Various	7,062.00	...	-1,200.17	Total of 3 transactions

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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CARA THERAPEUTICS, INC. COMMON STOCK / CUSIP: 140755109 / Symbol:							
03/13/19	272.000	5,031.90	03/12/19	4,735.11	...	296.79	Sale <sup>25</sup>
CARE.COM, INC. / CUSIP: 141633107 / Symbol:							
03/07/19	225.000	5,399.89	03/06/19	5,433.68	...	-33.79	Sale <sup>25</sup>
CATABASIS PHARMACEUTICALS, INC. COMMON STOCK / CUSIP: 14875P206 / Symbol:							
11 transactions for 03/14/19. Total proceeds and cost reported to the IRS.							
	20.000	116.18	03/13/19	112.50	...	3.68	1 of 11 - Sale <sup>25</sup>
	20.000	116.18	03/13/19	112.50	...	3.68	2 of 11 - Sale <sup>25</sup>
	80.000	464.78	03/13/19	450.00	...	14.78	3 of 11 - Sale <sup>25</sup>
	80.000	464.78	03/13/19	450.00	...	14.78	4 of 11 - Sale <sup>25</sup>
	100.000	580.98	03/13/19	562.50	...	18.48	5 of 11 - Sale <sup>25</sup>
	100.000	580.98	03/13/19	562.50	...	18.48	6 of 11 - Sale <sup>25</sup>
	100.000	580.98	03/13/19	562.50	...	18.48	7 of 11 - Sale <sup>25</sup>
	100.000	580.98	03/13/19	562.50	...	18.48	8 of 11 - Sale <sup>25</sup>
	100.000	582.48	03/13/19	562.50	...	19.98	9 of 11 - Sale <sup>25</sup>
	100.000	582.48	03/13/19	562.50	...	19.98	10 of 11 - Sale <sup>25</sup>
	100.000	582.48	03/13/19	562.50	...	19.98	11 of 11 - Sale <sup>25</sup>
03/14/19	900.000	5,233.28	Various	5,062.50	...	170.78	Total of 11 transactions
CATERPILLAR INC. / CUSIP: 149123101 / Symbol:							
06/07/19	40.000	4,983.48	04/23/19	5,683.20	...	-699.72	Sale <sup>25</sup>
CHEWY, INC. / CUSIP: 16679L109 / Symbol:							
07/15/19	150.000	4,955.87	07/15/19	4,984.05	...	-28.18	Sale <sup>25</sup>
CHIPOTLE MEXICAN GRILL, INC. / CUSIP: 169656105 / Symbol:							
04/24/19	8.000	5,680.83	04/24/19	5,625.53	...	55.30	Sale <sup>25</sup>
CITRIX SYSTEMS, INC. COMMON STOCK / CUSIP: 177376100 / Symbol:							
06/07/19	50.000	4,800.40	04/24/19	5,035.00	...	-234.60	Sale <sup>25</sup>

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Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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CLOUDERA, INC. / CUSIP: 18914U100 / Symbol:							
2 transactions for 05/31/19. Total proceeds and cost reported to the IRS.							
	300.000	2,705.90	03/13/19	4,382.97	...	-1,677.07	1 of 2 - Sale <sup>25</sup>
	100.000	901.97	03/13/19	1,460.99	...	-559.02	2 of 2 - Sale <sup>25</sup>
05/31/19	400.000	3,607.87	Various	5,843.96	...	-2,236.09	Total of 2 transactions
COCA-COLA COMPANY / CUSIP: 191216100 / Symbol:							
06/26/19	100.000	5,155.88	06/25/19	5,176.00	...	-20.12	Sale <sup>25</sup>
COLUMBIA SPORTSWEAR COMPANY COMMON STOCK / CUSIP: 198516106 / Symbol:							
04/25/19	46.000	5,105.88	04/25/19	4,849.32	...	256.56	Sale <sup>25</sup>
COMCAST CORPORATION CLASS A COMMON STOCK / CUSIP: 20030N101 / Symbol:							
04/25/19	120.000	5,147.88	04/24/19	5,025.60	...	122.28	Sale <sup>25</sup>
COMMERCIAL VEHICLE GROUP, INC. COMMON STOCK / CUSIP: 202608105 / Symbol:							
3 transactions for 03/12/19. Total proceeds and cost reported to the IRS.							
	100.000	829.97	03/11/19	808.88	...	21.09	1 of 3 - Sale <sup>25</sup>
	100.000	829.97	03/11/19	808.88	...	21.09	2 of 3 - Sale <sup>25</sup>
	400.000	3,319.90	03/11/19	3,235.52	...	84.38	3 of 3 - Sale <sup>25</sup>
03/12/19	600.000	4,979.84	Various	4,853.28	...	126.56	Total of 3 transactions
COMTECH TELECOMMUNICATIONS CORP. COMMON STOCK / CUSIP: 205826209 / Symbol:							
4 transactions for 03/07/19. Total proceeds and cost reported to the IRS.							
	100.000	2,599.95	03/06/19	2,629.00	...	-29.05	1 of 4 - Sale <sup>25</sup>
	100.000	2,599.95	03/06/19	2,629.00	...	-29.05	2 of 4 - Sale <sup>25</sup>
	100.000	2,599.95	03/06/19	2,629.00	...	-29.05	3 of 4 - Sale <sup>25</sup>
	100.000	2,599.96	03/06/19	2,629.00	...	-29.04	4 of 4 - Sale <sup>25</sup>
03/07/19	400.000	10,399.81	Various	10,516.00	...	-116.19	Total of 4 transactions
CONSOLIDATED COMMUNICATIONS HOLDINGS, INC. COMMON STOCK / CUSIP: 209034107 / Symbol:							
07/12/19	1,000.000	5,179.77	07/09/19	5,119.90	...	59.87	Sale <sup>25</sup>
07/16/19	1,000.000	5,279.77	07/15/19	5,219.80	...	59.97	Sale <sup>25</sup>
	<b>Security total:</b>	<b>10,459.54</b>		<b>10,339.70</b>	...	<b>119.84</b>	

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Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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COSTAR GROUP, INC. COMMON STOC K / CUSIP: 22160N109 / Symbol:							
04/24/19	10.000	4,967.98	04/23/19	4,944.10	...	23.88	Sale <sup>25</sup>
COUPA SOFTWARE INCORPORATED CO MMON STOCK / CUSIP: 22266L106 / Symbol:							
03/12/19	60.000	5,570.88	03/11/19	5,619.60	...	-48.72	Sale <sup>25</sup>
CTRIP.COM INTERNATIONAL, LTD. AMERICAN DEPOSITARY SHARES / CUSIP: 22943F100 / Symbol:							
3 transactions for 03/05/19. Total proceeds and cost reported to the IRS.							
	100.000	4,179.93	03/04/19	3,479.00	...	700.93	1 of 3 - Sale <sup>25</sup>
	100.000	4,179.94	03/04/19	3,479.00	...	700.94	2 of 3 - Sale <sup>25</sup>
	194.000	8,147.87	03/05/19	8,196.33	...	-48.46	3 of 3 - Sale <sup>25</sup>
03/05/19	394.000	16,507.74	Various	15,154.33	...	1,353.41	Total of 3 transactions
DMC GLOBAL INC. COMMON STOCK / CUSIP: 23291C103 / Symbol:							
04/15/19	85.000	5,865.76	04/10/19	5,556.09	...	309.67	Sale <sup>25</sup>
DXP ENTERPRISES, INC. COMMON S TOCK / CUSIP: 233377407 / Symbol:							
03/08/19	140.000	5,129.51	03/07/19	4,379.06	...	750.45	Sale <sup>25</sup>
DAQO NEW ENERGY CORP. / CUSIP: 23703Q203 / Symbol:							
03/13/19	150.000	5,117.91	03/12/19	5,170.49	...	-52.58	Sale <sup>25</sup>
DARDEN RESTAURANTS, INC. / CUSIP: 237194105 / Symbol:							
2 transactions for 03/25/19. Total proceeds and cost reported to the IRS.							
	13.000	1,541.76	03/20/19	1,416.87	...	124.89	1 of 2 - Sale <sup>25</sup>
	37.000	4,388.13	03/20/19	4,032.63	...	355.50	2 of 2 - Sale <sup>25</sup>
03/25/19	50.000	5,929.89	Various	5,449.50	...	480.39	Total of 2 transactions
DELL TECHNOLOGIES INC. / CUSIP: 24703L202 / Symbol:							
03/04/19	1.000	54.98	02/28/19	56.03	...	-1.05	Sale <sup>25</sup>
DICK'S SPORTING GOODS, INC. / CUSIP: 253393102 / Symbol:							
04/02/19	130.000	5,017.91	03/11/19	5,068.69	...	-50.78	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DOCUSIGN, INC. COMMON STOCK / CUSIP: 256163106 / Symbol:							
2 transactions for 03/15/19. Total proceeds and cost reported to the IRS.							
	84.000	4,823.20	03/14/19	4,945.92	...	-122.72	1 of 2 - Sale <sup>25</sup>
	1.000	57.40	03/14/19	58.88	...	-1.48	2 of 2 - Sale <sup>25</sup>
03/15/19	85.000	4,880.60	Various	5,004.80	...	-124.20	Total of 2 transactions
DOLLAR TREE INC. COMMON STOCK / CUSIP: 256746108 / Symbol:							
03/06/19	50.000	5,016.42	03/05/19	4,766.50	...	249.92	Sale <sup>25</sup>
DROPBOX, INC. CLASS A COMMON S TOCK / CUSIP: 26210C104 / Symbol:							
2 transactions for 02/22/19. Total proceeds and cost reported to the IRS.							
	200.000	4,767.91	02/21/19	5,109.94	...	-342.03	1 of 2 - Sale <sup>25</sup>
	100.000	2,383.95	02/21/19	2,554.97	...	-171.02	2 of 2 - Sale <sup>25</sup>
02/22/19	300.000	7,151.86	Various	7,664.91	...	-513.05	Total of 2 transactions
06/25/19	200.000	4,799.88	06/25/19	4,855.22	...	-55.34	Sale <sup>25</sup>
<b>Security total:</b>		<b>11,951.74</b>		<b>12,520.13</b>	...	<b>-568.39</b>	
EBAY INC. COMMON STOCK / CUSIP: 278642103 / Symbol:							
3 transactions for 04/23/19. Total proceeds and cost reported to the IRS.							
	25.000	971.71	04/23/19	915.50	...	56.21	1 of 3 - Sale <sup>25</sup>
	25.000	972.46	04/23/19	915.50	...	56.96	2 of 3 - Sale <sup>25</sup>
	100.000	3,888.90	04/23/19	3,661.99	...	226.91	3 of 3 - Sale <sup>25</sup>
04/23/19	150.000	5,833.07	Various	5,492.99	...	340.08	Total of 3 transactions
08/02/19	130.000	5,264.87	06/25/19	5,135.00	...	129.87	Sale <sup>25</sup>
<b>Security total:</b>		<b>11,097.94</b>		<b>10,627.99</b>	...	<b>469.95</b>	
EDWARDS LIFESCIENCES CORP / CUSIP: 28176E108 / Symbol:							
06/12/19	30.000	5,489.27	04/23/19	5,429.40	...	59.87	Sale <sup>25</sup>
ENERGY RECOVERY, INC. COMMON S TOCK / CUSIP: 29270J100 / Symbol:							
03/08/19	600.000	4,697.86	03/07/19	4,721.64	...	-23.78	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

## Proceeds from Broker and Barter Exchange Transactions

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

**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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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
ETSY, INC. COMMON STOCK / CUSIP: 29786A106 / Symbol:							
4 transactions for 02/26/19. Total proceeds and cost reported to the IRS.							
	3.000	197.98	02/25/19	173.40	...	24.58	1 of 4 - Sale <sup>25</sup>
	27.000	1,781.96	02/25/19	1,560.60	...	221.36	2 of 4 - Sale <sup>25</sup>
	100.000	6,599.90	02/25/19	5,780.00	...	819.90	3 of 4 - Sale <sup>25</sup>
	130.000	8,851.56	02/26/19	8,591.70	...	259.86	4 of 4 - Sale <sup>25</sup>
02/26/19	260.000	17,431.40	Various	16,105.70	...	1,325.70	Total of 4 transactions
EVERI HOLDINGS INC / CUSIP: 30034T103 / Symbol:							
03/13/19	700.000	6,320.83	03/12/19	5,592.93	...	727.90	Sale <sup>25</sup>
EXPEDIA GROUP, INC. COMMON STOCK / CUSIP: 30212P303 / Symbol:							
11/12/19	40.000	3,879.50	11/07/19	4,040.00	...	-160.50	Sale <sup>25</sup>
FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol:							
04/24/19	30.000	5,715.17	04/24/19	5,497.50	...	217.67	Sale <sup>25</sup>
2 transactions for 06/04/19. Total proceeds and cost reported to the IRS.							
	7.000	1,126.97	06/04/19	1,143.52	16.55 W	0.00	1 of 2 - Sale <sup>25</sup>
	33.000	5,312.88	06/04/19	5,391.21	78.33 W	0.00	2 of 2 - Sale <sup>25</sup>
06/04/19	40.000	6,439.85	Various	6,534.73	94.88 W	0.00	Total of 2 transactions
2 transactions for 06/12/19. Total proceeds and cost reported to the IRS.							
	7.000	1,221.54	06/04/19	1,154.12	...	67.42	1 of 2 - Sale <sup>25</sup>
	28.000	4,886.17	06/04/19	4,616.74	...	269.43	2 of 2 - Sale <sup>25</sup>
06/12/19	35.000	6,107.71	Various	5,770.86	...	336.85	Total of 2 transactions
4 transactions for 06/19/19. Total proceeds and cost reported to the IRS.							
	5.000	934.17	06/12/19	886.07	...	48.10	1 of 4 - Sale <sup>25</sup>
	6.000	1,121.01	06/12/19	1,049.04	...	71.97	2 of 4 - Sale <sup>25</sup>
	10.000	1,868.35	06/12/19	1,748.39	...	119.96	3 of 4 - Sale <sup>25</sup>
	29.000	5,418.23	06/12/19	5,070.34	...	347.89	4 of 4 - Sale <sup>25</sup>
06/19/19	50.000	9,341.76	Various	8,753.84	...	587.92	Total of 4 transactions
06/26/19	30.000	5,619.17	06/25/19	5,679.30	50.11 W	-10.02	Sale <sup>25</sup>
2 transactions for 07/24/19. Total proceeds and cost reported to the IRS.							
	10.000	2,010.84	07/09/19	2,009.44	...	1.40	1 of 2 - Sale <sup>25</sup>
	15.000	3,016.27	07/09/19	3,014.16	...	2.11	2 of 2 - Sale <sup>25</sup>
07/24/19	25.000	5,027.11	Various	5,023.60	...	3.51	Total of 2 transactions

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Robinhood Securities LLC

Account 121457550

Proceeds from Broker and Barter Exchange Transactions

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

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

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

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1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
FACEBOOK, INC. CLASS A COMMON STOCK / CUSIP: 30303M102 / Symbol: (cont'd)							
<b>Security total:</b>		<b>38,250.77</b>		<b>37,259.83</b>	<b>144.99 W</b>	<b>1,135.93</b>	
FIRSTENERGY CORP. / CUSIP: 337932107 / Symbol:							
04/23/19	1.000	40.73	04/23/19	40.78	...	-0.05	Sale <sup>25</sup>
04/24/19	129.000	5,256.62	04/23/19	5,260.62	...	-4.00	Sale <sup>25</sup>
<b>Security total:</b>		<b>5,297.35</b>		<b>5,301.40</b>	<b>...</b>	<b>-4.05</b>	
FLUENT, INC. COMMON STOCK / CUSIP: 34380C102 / Symbol:							
03/13/19	800.000	4,711.83	03/13/19	4,751.28	39.20 W	-0.25	Sale <sup>25</sup>
03/14/19	795.000	4,634.69	03/13/19	4,724.53	...	-89.84	Sale <sup>25</sup>
<b>Security total:</b>		<b>9,346.52</b>		<b>9,475.81</b>	<b>39.20 W</b>	<b>-90.09</b>	
FOOT LOCKER, INC. / CUSIP: 344849104 / Symbol:							
03/04/19	1.000	63.20	02/28/19	59.02	...	4.18	Sale <sup>25</sup>
FUEL TECH, INC. COMMON STOCK / CUSIP: 359523107 / Symbol:							
10 transactions for 04/23/19. Total proceeds and cost reported to the IRS.							
	25.000	65.23	04/10/19	64.49	...	0.74	1 of 10 - Sale <sup>25</sup>
	60.000	156.58	04/10/19	154.79	...	1.79	2 of 10 - Sale <sup>25</sup>
	100.000	260.98	04/10/19	257.98	...	3.00	3 of 10 - Sale <sup>25</sup>
	100.000	260.98	04/10/19	257.98	...	3.00	4 of 10 - Sale <sup>25</sup>
	100.000	260.98	04/10/19	257.98	...	3.00	5 of 10 - Sale <sup>25</sup>
	100.000	260.98	04/10/19	257.98	...	3.00	6 of 10 - Sale <sup>25</sup>
	140.000	365.37	04/10/19	361.17	...	4.20	7 of 10 - Sale <sup>25</sup>
	275.000	717.70	04/10/19	709.45	...	8.25	8 of 10 - Sale <sup>25</sup>
	400.000	1,043.92	04/10/19	1,031.92	...	12.00	9 of 10 - Sale <sup>25</sup>
	700.000	1,826.88	04/10/19	1,805.86	...	21.02	10 of 10 - Sale <sup>25</sup>
04/23/19	2,000.000	5,219.60	Various	5,159.60	...	60.00	Total of 10 transactions
W.R. GRACE & CO. / CUSIP: 38388F108 / Symbol:							
06/07/19	60.000	4,473.50	04/24/19	4,563.00	...	-89.50	Sale <sup>25</sup>

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Account 121457550

## Proceeds from Broker and Barter Exchange Transactions

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

**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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GREAT ELM CAPITAL CORP. COMMON STOCK / CUSIP: 390320109 / Symbol:							
2 transactions for 03/12/19. Total proceeds and cost reported to the IRS.							
	400.000	3,291.90	03/12/19	3,323.88	...	-31.98	1 of 2 - Sale <sup>25</sup>
	200.000	1,645.95	03/12/19	1,661.94	...	-15.99	2 of 2 - Sale <sup>25</sup>
03/12/19	600.000	4,937.85	Various	4,985.82	...	-47.97	Total of 2 transactions
GUIDEWIRE SOFTWARE, INC. / CUSIP: 40171V100 / Symbol:							
03/07/19	60.000	5,502.83	03/06/19	5,209.62	...	293.21	Sale <sup>25</sup>
HP INC. / CUSIP: 40434L105 / Symbol:							
4 transactions for 02/28/19. Total proceeds and cost reported to the IRS.							
	200.000	3,999.92	02/27/19	4,770.00	...	-770.08	1 of 4 - Sale <sup>25</sup>
	100.000	2,001.96	02/27/19	2,385.00	...	-383.04	2 of 4 - Sale <sup>25</sup>
	16.000	320.14	02/27/19	381.60	...	-61.46	3 of 4 - Sale <sup>25</sup>
	4.000	79.98	02/27/19	95.40	...	-15.42	4 of 4 - Sale <sup>25</sup>
02/28/19	320.000	6,402.00	Various	7,632.00	...	-1,230.00	Total of 4 transactions
HERITAGE INSURANCE HOLDINGS IN C / CUSIP: 42727J102 / Symbol:							
03/04/19	1.000	14.68	03/01/19	14.84	...	-0.16	Sale <sup>25</sup>
HESS CORPORATION / CUSIP: 42809H107 / Symbol:							
06/07/19	65.000	3,685.42	04/24/19	4,344.60	...	-659.18	Sale <sup>25</sup>
HEWLETT PACKARD ENTERPRISE COM PANY / CUSIP: 42824C109 / Symbol:							
02/22/19	375.000	6,134.88	02/21/19	6,060.00	...	74.88	Sale <sup>25</sup>
INTEL CORPORATION COMMON STOCK / CUSIP: 458140100 / Symbol:							
04/25/19	90.000	4,826.59	04/25/19	5,182.15	...	-355.56	Sale <sup>25</sup>
06/14/19	110.000	5,070.88	06/07/19	5,070.90	...	-0.02	Sale <sup>25</sup>
	<b>Security total:</b>	<b>9,897.47</b>		<b>10,253.05</b>	...	<b>-355.58</b>	
INTER PARFUMS, INC. COMMON STOCK / CUSIP: 458334109 / Symbol:							
03/04/19	1.000	76.13	03/01/19	75.19	...	0.94	Sale <sup>25</sup>

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Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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INTUIT INC. COMMON STOCK / CUSIP: 461202103 / Symbol:							
4 transactions for 02/22/19. Total proceeds and cost reported to the IRS.							
	2.000	495.59	02/21/19	469.88	...	25.71	1 of 4 - Sale <sup>25</sup>
	3.000	743.39	02/21/19	704.85	...	38.54	2 of 4 - Sale <sup>25</sup>
	5.000	1,238.98	02/21/19	1,174.70	...	64.28	3 of 4 - Sale <sup>25</sup>
	22.000	5,451.52	02/21/19	5,168.90	...	282.62	4 of 4 - Sale <sup>25</sup>
02/22/19	32.000	7,929.48	Various	7,518.33	...	411.15	Total of 4 transactions
IQIYI, INC. AMERICAN DEPOSITARY SHARES / CUSIP: 46267X108 / Symbol:							
07/16/19	200.000	3,861.90	07/10/19	4,001.98	...	-140.08	Sale <sup>25</sup>
JABIL INC. / CUSIP: 466313103 / Symbol:							
03/15/19	160.000	4,340.72	03/14/19	4,383.98	...	-43.26	Sale <sup>25</sup>
JD.COM, INC. AMERICAN DEPOSITARY SHARES / CUSIP: 47215P106 / Symbol:							
06/14/19	200.000	5,361.86	06/07/19	5,360.00	...	1.86	Sale <sup>25</sup>
06/28/19	200.000	6,009.85	06/25/19	5,658.00	...	351.85	Sale <sup>25</sup>
07/31/19	150.000	4,465.38	07/09/19	4,615.50	...	-150.12	Sale <sup>25</sup>
	<b>Security total:</b>	<b>15,837.09</b>		<b>15,633.50</b>	...	<b>203.59</b>	
JUNIPER NETWORKS INC / CUSIP: 48203R104 / Symbol:							
2 transactions for 06/10/19. Total proceeds and cost reported to the IRS.							
	100.000	2,664.96	04/25/19	2,851.50	...	-186.54	1 of 2 - Sale <sup>25</sup>
	80.000	2,131.97	04/25/19	2,281.20	...	-149.23	2 of 2 - Sale <sup>25</sup>
06/10/19	180.000	4,796.93	Various	5,132.70	...	-335.77	Total of 2 transactions
KAISER ALUMINUM CORPORATION COMMON STOCK / CUSIP: 483007704 / Symbol:							
04/24/19	50.000	5,374.21	04/23/19	5,385.42	...	-11.21	Sale <sup>25</sup>
KOHL'S CORPORATION / CUSIP: 500255104 / Symbol:							
2 transactions for 03/04/19. Total proceeds and cost reported to the IRS.							
	49.000	3,257.95	03/04/19	3,290.35	...	-32.40	1 of 2 - Sale <sup>25</sup>
	1.000	66.49	03/04/19	67.15	...	-0.66	2 of 2 - Sale <sup>25</sup>
03/04/19	50.000	3,324.44	Various	3,357.50	...	-33.06	Total of 2 transactions

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Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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LAS VEGAS SANDS CORP. / CUSIP: 517834107 / Symbol:							
04/18/19	75.000	5,105.88	04/17/19	5,094.75	...	11.13	Sale <sup>25</sup>
LEXINFINTech HOLDINGS LTD. AME RICAN DEPOSITARY SHARES / CUSIP: 528877103 / Symbol:							
3 transactions for 03/14/19. Total proceeds and cost reported to the IRS.							
	200.000	2,219.95	03/13/19	2,239.58	...	-19.63	1 of 3 - Sale <sup>25</sup>
	100.000	1,109.97	03/13/19	1,119.79	...	-9.82	2 of 3 - Sale <sup>25</sup>
	91.000	1,010.07	03/13/19	1,019.01	...	-8.94	3 of 3 - Sale <sup>25</sup>
03/14/19	391.000	4,339.99	Various	4,378.38	...	-38.39	Total of 3 transactions
LOCKHEED MARTIN CORP. / CUSIP: 539830109 / Symbol:							
2 transactions for 04/23/19. Total proceeds and cost reported to the IRS.							
	4.000	1,327.96	04/22/19	1,260.20	...	67.76	1 of 2 - Sale <sup>25</sup>
	16.000	5,305.00	04/22/19	5,040.80	...	264.20	2 of 2 - Sale <sup>25</sup>
04/23/19	20.000	6,632.96	Various	6,301.00	...	331.96	Total of 2 transactions
LUNA INNOVATIONS INCORPORATED COMMON STOCK / CUSIP: 550351100 / Symbol:							
03/04/19	10.000	38.89	03/01/19	33.59	...	5.30	Sale <sup>25</sup>
MAGIC SOFTWARE ENTERPRISES LTD . ORDINARY SHARES / CUSIP: 559166103 / Symbol:							
2 transactions for 03/04/19. Total proceeds and cost reported to the IRS.							
	4.000	36.26	03/01/19	36.56	...	-0.30	1 of 2 - Sale <sup>25</sup>
	1.000	9.05	03/01/19	9.14	...	-0.09	2 of 2 - Sale <sup>25</sup>
03/04/19	5.000	45.31	Various	45.70	...	-0.39	Total of 2 transactions
MARRIOTT INTERNATIONAL CLASS A COMMON STOCK / CUSIP: 571903202 / Symbol:							
03/01/19	1.000	124.75	02/28/19	125.57	...	-0.82	Sale <sup>25</sup>
MCDONALD'S CORPORATION / CUSIP: 580135101 / Symbol:							
08/05/19	20.000	4,202.70	07/09/19	4,242.80	...	-40.10	Sale <sup>25</sup>
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol:							
2 transactions for 02/26/19. Total proceeds and cost reported to the IRS.							
	8.000	901.45	05/23/18	784.84	...	116.61	1 of 2 - Sale <sup>25</sup>
	42.000	4,732.61	05/23/18	4,120.41	...	612.20	2 of 2 - Sale <sup>25</sup>
02/26/19	50.000	5,634.06	Various	4,905.25	...	728.81	Total of 2 transactions

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Robinhood Securities LLC

Account 121457550

**Proceeds from Broker and Barter Exchange Transactions****2019 1099-B\*** OMB No. 1545-0715

(continued)

02/06/2020

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
MICROSOFT CORPORATION COMMON S TOCK / CUSIP: 594918104 / Symbol: (cont'd)							
03/06/19	50.000	5,591.41	03/04/19	5,575.00	...	16.41	Sale <sup>25</sup>
04/24/19	40.000	5,118.28	04/24/19	5,013.80	...	104.48	Sale <sup>25</sup>
05/28/19	50.000	6,354.85	05/23/19	6,254.41	...	100.44	Sale <sup>25</sup>
06/25/19	50.000	6,659.98	06/04/19	6,074.50	...	585.48	Sale <sup>25</sup>
07/16/19	50.000	6,870.89	07/09/19	6,820.25	...	50.64	Sale <sup>25</sup>
07/18/19	50.000	6,769.34	07/16/19	6,849.38	...	-80.04	Sale <sup>25</sup>
	<b>Security total:</b>	<b>42,998.81</b>		<b>41,492.59</b>	...	<b>1,506.22</b>	
MICRON TECHNOLOGY, INC. COMMON STOCK / CUSIP: 595112103 / Symbol:							
06/12/19	180.000	6,121.65	06/07/19	6,118.20	...	3.45	Sale <sup>25</sup>
MOMO INC. AMERICAN DEPOSITARY SHARES / CUSIP: 60879B107 / Symbol:							
	2 transactions for 03/12/19. Total proceeds and cost reported to the IRS.						
	60.000	2,197.76	03/11/19	1,942.19	...	255.57	1 of 2 - Sale <sup>25</sup>
	100.000	3,662.94	03/11/19	3,236.99	...	425.95	2 of 2 - Sale <sup>25</sup>
03/12/19	160.000	5,860.70	Various	5,179.18	...	681.52	Total of 2 transactions
MONGODB, INC. CLASS A COMMON S TOCK / CUSIP: 60937P106 / Symbol:							
	2 transactions for 06/25/19. Total proceeds and cost reported to the IRS.						
	1.000	157.71	06/25/19	159.73	2.02 W	0.00	1 of 2 - Sale <sup>25</sup>
	34.000	5,362.69	06/25/19	5,430.81	68.12 W	0.00	2 of 2 - Sale <sup>25</sup>
06/25/19	35.000	5,520.40	Various	5,590.54	70.14 W	0.00	Total of 2 transactions
	2 transactions for 07/12/19. Total proceeds and cost reported to the IRS.						
	34.000	5,319.51	07/09/19	5,387.51	...	-68.00	1 of 2 - Sale <sup>25</sup>
	1.000	156.46	07/09/19	158.47	...	-2.01	2 of 2 - Sale <sup>25</sup>
07/12/19	35.000	5,475.97	Various	5,545.98	...	-70.01	Total of 2 transactions
12/10/19	35.000	4,794.90	11/21/19	5,223.54	...	-428.64	Sale <sup>25</sup>
	<b>Security total:</b>	<b>15,791.27</b>		<b>16,360.06</b>	<b>70.14 W</b>	<b>-498.65</b>	
THE MOSAIC COMPANY / CUSIP: 61945C103 / Symbol:							
02/26/19	198.000	6,434.89	02/25/19	6,545.88	...	-110.99	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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NANOSTRING TECHNOLOGIES, INC. COMMON STOCK / CUSIP: 63009R109 / Symbol:							
2 transactions for 03/08/19. Total proceeds and cost reported to the IRS.							
	108.000	3,045.55	03/07/19	3,056.34	...	-10.79	1 of 2 - Sale <sup>25</sup>
	42.000	1,184.37	03/07/19	1,188.57	...	-4.20	2 of 2 - Sale <sup>25</sup>
03/08/19	150.000	4,229.92	Various	4,244.91	...	-14.99	Total of 2 transactions
NETFLIX, INC. COMMON STOCK / CUSIP: 64110L106 / Symbol:							
04/22/19	15.000	5,609.87	04/16/19	5,407.50	...	202.37	Sale <sup>25</sup>
NORTHERN OIL AND GAS, INC. COMMON STOCK / CUSIP: 665531109 / Symbol:							
03/12/19	1,600.000	3,607.76	03/11/19	3,567.84	...	39.92	Sale <sup>25</sup>
NVIDIA CORPORATION COMMON STOCK / CUSIP: 67066G104 / Symbol:							
2 transactions for 02/14/19. Total proceeds and cost reported to the IRS.							
	20.000	3,362.56	12/07/18	3,134.71	...	227.85	1 of 2 - Sale <sup>25</sup>
	30.000	5,043.84	12/07/18	4,437.90	...	605.94	2 of 2 - Sale <sup>25</sup>
02/14/19	50.000	8,406.40	Various	7,572.61	...	833.79	Total of 2 transactions
06/14/19	50.000	7,249.83	06/04/19	6,857.50	...	392.33	Sale <sup>25</sup>
08/02/19	35.000	5,695.07	07/09/19	5,485.17	...	209.90	Sale <sup>25</sup>
<b>Security total:</b>		<b>21,351.30</b>		<b>19,915.28</b>	...	<b>1,436.02</b>	
OKTA, INC. CLASS A COMMON STOCK / CUSIP: 679295105 / Symbol:							
03/11/19	60.000	4,865.32	03/07/19	4,860.00	...	5.32	Sale <sup>25</sup>
PALO ALTO NETWORKS, INC / CUSIP: 697435105 / Symbol:							
02/27/19	35.000	8,907.06	02/26/19	8,235.85	...	671.21	Sale <sup>25</sup>
11/27/19	25.000	5,376.38	11/26/19	5,503.75	...	-127.37	Sale <sup>25</sup>
<b>Security total:</b>		<b>14,283.44</b>		<b>13,739.60</b>	...	<b>543.84</b>	
PAYPAL HOLDINGS, INC. COMMON STOCK / CUSIP: 70450Y103 / Symbol:							
04/25/19	50.000	5,424.96	04/24/19	5,370.00	...	54.96	Sale <sup>25</sup>
06/11/19	45.000	5,165.88	06/10/19	5,271.30	105.42 W	0.00	Sale <sup>25</sup>
06/19/19	5.000	577.59	06/11/19	572.60	...	4.99	Sale <sup>25</sup>
06/19/19	45.000	5,198.28	06/11/19	5,258.82	60.54 W	0.00	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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PAYPAL HOLDINGS, INC. COMMON S TOCK / CUSIP: 70450Y103 / Symbol: (cont'd)							
06/27/19	45.000	5,097.48	06/25/19	5,248.10	150.62 W	0.00	Sale <sup>25</sup>
07/25/19	45.000	5,247.33	07/16/19	5,541.17	...	-293.84	Sale <sup>25</sup>
	<b>Security total:</b>	<b>26,711.52</b>		<b>27,261.99</b>	<b>316.58 W</b>	<b>-233.89</b>	
PAYSIGN, INC. COMMON STOCK / CUSIP: 70451A104 / Symbol:							
	2 transactions for 07/16/19. Total proceeds and cost reported to the IRS.						
	350.000	5,914.83	07/15/19	5,566.72	...	348.11	1 of 2 - Sale <sup>25</sup>
	350.000	5,855.33	07/16/19	5,905.03	...	-49.70	2 of 2 - Sale <sup>25</sup>
07/16/19	700.000	11,770.16	Various	11,471.75	...	298.41	Total of 2 transactions
PIVOTAL SOFTWARE, INC. / CUSIP: 72582H107 / Symbol:							
	3 transactions for 03/15/19. Total proceeds and cost reported to the IRS.						
	60.000	1,328.97	03/14/19	1,356.33	...	-27.36	1 of 3 - Sale <sup>25</sup>
	19.000	420.83	03/14/19	429.50	...	-8.67	2 of 3 - Sale <sup>25</sup>
	1.000	22.15	03/14/19	22.61	...	-0.46	3 of 3 - Sale <sup>25</sup>
03/15/19	80.000	1,771.95	Various	1,808.44	...	-36.49	Total of 3 transactions
	2 transactions for 03/15/19. Total proceeds and cost reported to the IRS.						
	21.000	465.14	03/14/19	469.87	0.23 W	-4.50	1 of 2 - Sale <sup>25</sup>
	79.000	1,749.81	03/14/19	1,767.63	17.82 W	0.00	2 of 2 - Sale <sup>25</sup>
03/15/19	100.000	2,214.95	Various	2,237.50	18.05 W	-4.50	Total of 2 transactions
	<b>Security total:</b>	<b>3,986.90</b>		<b>4,045.94</b>	<b>18.05 W</b>	<b>-40.99</b>	
PLAYAGS, INC. / CUSIP: 72814N104 / Symbol:							
	4 transactions for 03/06/19. Total proceeds and cost reported to the IRS.						
	25.000	633.74	03/05/19	596.18	...	37.56	1 of 4 - Sale <sup>25</sup>
	40.000	1,013.98	03/05/19	953.60	...	60.38	2 of 4 - Sale <sup>25</sup>
	60.000	1,520.97	03/05/19	1,430.40	...	90.57	3 of 4 - Sale <sup>25</sup>
	100.000	2,534.95	03/05/19	2,384.00	...	150.95	4 of 4 - Sale <sup>25</sup>
03/06/19	225.000	5,703.64	Various	5,364.18	...	339.46	Total of 4 transactions
T. ROWE PRICE GROUP, INC. COMM ON STOCK / CUSIP: 74144T108 / Symbol:							
06/07/19	45.000	4,755.99	04/24/19	4,956.21	...	-200.22	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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PROCTER & GAMBLE COMPANY / CUSIP: 742718109 / Symbol:							
04/23/19	47.000	4,841.82	04/22/19	4,983.41	...	-141.59	Sale <sup>25</sup>
PURE STORAGE, INC. CLASS A / CUSIP: 74624M102 / Symbol:							
03/01/19	1.000	20.08	02/28/19	20.51	...	-0.43	Sale <sup>25</sup>
QAD INC. CLASS A COMMON STOCK / CUSIP: 74727D306 / Symbol:							
2 transactions for 04/24/19. Total proceeds and cost reported to the IRS.							
	82.000	3,722.71	03/20/19	3,804.79	...	-82.08	1 of 2 - Sale <sup>25</sup>
	31.000	1,407.36	03/20/19	1,438.40	...	-31.04	2 of 2 - Sale <sup>25</sup>
04/24/19	113.000	5,130.07	Various	5,243.19	...	-113.12	Total of 2 transactions
QUEST DIAGNOSTICS INC. / CUSIP: 74834L100 / Symbol:							
04/23/19	60.000	5,369.87	04/22/19	5,116.50	...	253.37	Sale <sup>25</sup>
RH / CUSIP: 74967X103 / Symbol:							
06/07/19	45.000	4,017.06	03/28/19	5,894.07	...	-1,877.01	Sale <sup>25</sup>
READY CAPITAL CORPORATION / CUSIP: 75574U101 / Symbol:							
3 transactions for 03/13/19. Total proceeds and cost reported to the IRS.							
	200.000	3,089.93	03/12/19	3,122.00	...	-32.07	1 of 3 - Sale <sup>25</sup>
	100.000	1,544.96	03/12/19	1,561.00	...	-16.04	2 of 3 - Sale <sup>25</sup>
	20.000	308.98	03/12/19	312.20	...	-3.22	3 of 3 - Sale <sup>25</sup>
03/13/19	320.000	4,943.87	Various	4,995.20	...	-51.33	Total of 3 transactions
RED HAT INC / CUSIP: 756577102 / Symbol:							
03/26/19	32.000	5,818.15	03/25/19	5,818.22	...	-0.07	Sale <sup>25</sup>
RIO TINTO PLC / CUSIP: 767204100 / Symbol:							
06/07/19	71.000	4,123.58	04/10/19	4,440.33	...	-316.75	Sale <sup>25</sup>
ROBERT HALF INTERNATIONAL INC. / CUSIP: 770323103 / Symbol:							
06/07/19	80.000	4,313.50	04/23/19	5,505.60	...	-1,192.10	Sale <sup>25</sup>

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# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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ROKU, INC. CLASS A COMMON STOC K / CUSIP: 77543R102 / Symbol:							
2 transactions for 02/22/19. Total proceeds and cost reported to the IRS.							
	50.000	2,878.45	02/21/19	2,578.89	...	299.56	1 of 2 - Sale <sup>25</sup>
	100.000	5,756.91	02/21/19	5,157.77	...	599.14	2 of 2 - Sale <sup>25</sup>
02/22/19	150.000	8,635.36	Various	7,736.66	...	898.70	Total of 2 transactions
2 transactions for 06/10/19. Total proceeds and cost reported to the IRS.							
	1.000	99.14	06/07/19	102.23	3.09 W	0.00	1 of 2 - Sale <sup>25</sup>
	49.000	4,858.72	06/07/19	5,009.12	150.40 W	0.00	2 of 2 - Sale <sup>25</sup>
06/10/19	50.000	4,957.86	Various	5,111.35	153.49 W	0.00	Total of 2 transactions
2 transactions for 06/11/19. Total proceeds and cost reported to the IRS.							
	1.000	98.71	06/10/19	104.35	5.64 W	0.00	1 of 2 - Sale <sup>25</sup>
	49.000	4,837.65	06/10/19	5,111.97	274.32 W	0.00	2 of 2 - Sale <sup>25</sup>
06/11/19	50.000	4,936.36	Various	5,216.32	279.96 W	0.00	Total of 2 transactions
2 transactions for 06/25/19. Total proceeds and cost reported to the IRS.							
	1.000	93.91	06/25/19	101.56	7.65 W	0.00	1 of 2 - Sale <sup>25</sup>
	49.000	4,601.48	06/25/19	4,974.49	373.01 W	0.00	2 of 2 - Sale <sup>25</sup>
06/25/19	50.000	4,695.39	Various	5,076.05	380.66 W	0.00	Total of 2 transactions
2 transactions for 07/15/19. Total proceeds and cost reported to the IRS.							
	49.000	4,969.46	07/09/19	5,439.94	...	-470.48	1 of 2 - Sale <sup>25</sup>
	1.000	101.42	07/09/19	111.06	...	-9.64	2 of 2 - Sale <sup>25</sup>
07/15/19	50.000	5,070.88	Various	5,551.00	...	-480.12	Total of 2 transactions
<b>Security total:</b>		<b>28,295.85</b>		<b>28,691.38</b>	<b>814.11 W</b>	<b>418.58</b>	
ROSS STORES, INC. COMMON STOCK / CUSIP: 778296103 / Symbol:							
03/06/19	55.000	5,205.67	03/05/19	5,150.20	...	55.47	Sale <sup>25</sup>
SALESFORCE.COM, INC. / CUSIP: 79466L302 / Symbol:							
02/26/19	26.000	4,221.81	05/31/18	3,355.28	...	866.53	Sale <sup>25</sup>
03/05/19	100.000	15,599.78	03/04/19	15,598.00	...	1.78	Sale <sup>25</sup>
06/10/19	35.000	5,384.97	06/07/19	5,647.95	262.98 W	0.00	Sale <sup>25</sup>
2 transactions for 06/27/19. Total proceeds and cost reported to the IRS.							
	1.000	148.53	06/25/19	158.04	9.51 W	0.00	1 of 2 - Sale <sup>25</sup>
	34.000	5,050.24	06/25/19	5,373.49	323.25 W	0.00	2 of 2 - Sale <sup>25</sup>
06/27/19	35.000	5,198.77	Various	5,531.53	332.76 W	0.00	Total of 2 transactions

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Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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SALESFORCE.COM, INC. / CUSIP: 79466L302 / Symbol: (cont'd)							
2 transactions for 07/23/19. Total proceeds and cost reported to the IRS.							
	34.000	5,284.49	07/09/19	5,539.87	...	-255.38	1 of 2 - Sale <sup>25</sup>
	1.000	155.43	07/09/19	162.94	...	-7.51	2 of 2 - Sale <sup>25</sup>
07/23/19	35.000	5,439.92	Various	5,702.81	...	-262.89	Total of 2 transactions
	<b>Security total:</b>	<b>35,845.25</b>		<b>35,835.57</b>	<b>595.74 W</b>	<b>605.42</b>	
SAP SE / CUSIP: 803054204 / Symbol:							
04/24/19	50.000	6,276.37	04/23/19	5,730.50	...	545.87	Sale <sup>25</sup>
SEMTECH CORPORATION COMMON STOCK / CUSIP: 816850101 / Symbol:							
03/14/19	90.000	4,954.42	03/13/19	5,004.89	...	-50.47	Sale <sup>25</sup>
SHOPIFY INC. CLASS A SUBORDINATE VOTING SHARES / CUSIP: 82509L107 / Symbol:							
02/28/19	20.000	3,790.38	12/07/18	2,935.78	...	854.60	Sale <sup>25</sup>
05/28/19	20.000	5,623.07	05/23/19	5,423.06	...	200.01	Sale <sup>25</sup>
06/11/19	40.000	12,119.73	05/29/19	10,957.93	...	1,161.80	Sale <sup>25</sup>
2 transactions for 06/11/19. Total proceeds and cost reported to the IRS.							
	32.000	9,602.99	06/11/19	9,689.34	86.35 W	0.00	1 of 2 - Sale <sup>25</sup>
	8.000	2,400.74	06/11/19	2,422.33	21.59 W	0.00	2 of 2 - Sale <sup>25</sup>
06/11/19	40.000	12,003.73	Various	12,111.67	107.94 W	0.00	Total of 2 transactions
5 transactions for 06/25/19. Total proceeds and cost reported to the IRS.							
	14.000	4,068.30	06/25/19	4,166.89	...	-98.59	1 of 5 - Sale <sup>25</sup>
	10.000	2,932.33	06/25/19	3,002.99	...	-70.66	2 of 5 - Sale <sup>25</sup>
	8.000	2,345.87	06/25/19	2,383.76	...	-37.89	3 of 5 - Sale <sup>25</sup>
	2.000	581.19	06/25/19	594.68	...	-13.49	4 of 5 - Sale <sup>25</sup>
	1.000	290.58	06/25/19	297.64	...	-7.06	5 of 5 - Sale <sup>25</sup>
06/25/19	35.000	10,218.27	Various	10,445.96	...	-227.69	Total of 5 transactions
2 transactions for 06/25/19. Total proceeds and cost reported to the IRS.							
	7.000	2,052.63	06/25/19	2,085.79	9.47 W	-23.69	1 of 2 - Sale <sup>25</sup>
	25.000	7,358.33	06/25/19	7,484.03	125.70 W	0.00	2 of 2 - Sale <sup>25</sup>
06/25/19	32.000	9,410.96	Various	9,569.82	135.17 W	-23.69	Total of 2 transactions
11/07/19	25.000	7,074.59	11/07/19	7,175.00	100.41 W	0.00	Sale <sup>25</sup>
	<b>Security total:</b>	<b>60,240.73</b>		<b>58,619.22</b>	<b>343.52 W</b>	<b>1,965.03</b>	

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SIRIUS XM HOLDINGS INC. COMMON STOCK / CUSIP: 82968B103 / Symbol:							
06/07/19	900.000	4,787.79	04/23/19	5,517.00	...	-729.21	Sale <sup>25</sup>
SMART & FINAL STORES, INC. / CUSIP: 83190B101 / Symbol:							
8 transactions for 04/22/19. Total proceeds and cost reported to the IRS.							
	50.000	325.61	03/13/19	316.50	...	9.11	1 of 8 - Sale <sup>25</sup>
	50.000	325.61	03/13/19	316.05	...	9.56	2 of 8 - Sale <sup>25</sup>
	100.000	651.22	03/13/19	633.00	...	18.22	3 of 8 - Sale <sup>25</sup>
	100.000	651.22	03/13/19	633.00	...	18.22	4 of 8 - Sale <sup>25</sup>
	100.000	651.22	03/13/19	633.00	...	18.22	5 of 8 - Sale <sup>25</sup>
	100.000	651.23	03/13/19	633.00	...	18.23	6 of 8 - Sale <sup>25</sup>
	100.000	651.23	03/13/19	633.00	...	18.23	7 of 8 - Sale <sup>25</sup>
	100.000	651.23	03/13/19	633.00	...	18.23	8 of 8 - Sale <sup>25</sup>
04/22/19	700.000	4,558.57	Various	4,430.55	...	128.02	Total of 8 transactions
SNAP INC. / CUSIP: 83304A106 / Symbol:							
2 transactions for 04/23/19. Total proceeds and cost reported to the IRS.							
	100.000	1,298.96	04/23/19	1,201.00	...	97.96	1 of 2 - Sale <sup>25</sup>
	400.000	5,223.84	04/23/19	4,804.00	...	419.84	2 of 2 - Sale <sup>25</sup>
04/23/19	500.000	6,522.80	Various	6,005.00	...	517.80	Total of 2 transactions
06/25/19	200.000	2,915.91	06/25/19	2,955.88	39.97 W	0.00	Sale <sup>25</sup>
6 transactions for 07/15/19. Total proceeds and cost reported to the IRS.							
	5.000	76.48	07/10/19	75.20	...	1.28	1 of 6 - Sale <sup>25</sup>
	45.000	688.47	07/10/19	685.80	...	2.67	2 of 6 - Sale <sup>25</sup>
	55.000	841.47	07/10/19	838.19	...	3.28	3 of 6 - Sale <sup>25</sup>
	100.000	1,529.96	07/10/19	1,523.98	...	5.98	4 of 6 - Sale <sup>25</sup>
	50.000	764.98	07/10/19	752.00	...	12.98	5 of 6 - Sale <sup>25</sup>
	95.000	1,453.45	07/10/19	1,428.80	...	24.65	6 of 6 - Sale <sup>25</sup>
07/15/19	350.000	5,354.81	Various	5,303.97	...	50.84	Total of 6 transactions
2 transactions for 07/16/19. Total proceeds and cost reported to the IRS.							
	100.000	1,510.95	07/15/19	1,547.50	36.55 W	0.00	1 of 2 - Sale <sup>25</sup>
	200.000	3,021.91	07/15/19	3,095.00	73.09 W	0.00	2 of 2 - Sale <sup>25</sup>
07/16/19	300.000	4,532.86	Various	4,642.50	109.64 W	0.00	Total of 2 transactions

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SNAP INC. / CUSIP: 83304A106 / Symbol: (cont'd)							
3 transactions for 07/18/19. Total proceeds and cost reported to the IRS.							
	200.000	2,953.91	07/16/19	3,071.09	...	-117.18	1 of 3 - Sale <sup>25</sup>
	100.000	1,476.96	07/16/19	1,535.55	...	-58.59	2 of 3 - Sale <sup>25</sup>
	50.000	738.48	07/16/19	749.50	...	-11.02	3 of 3 - Sale <sup>25</sup>
07/18/19	350.000	5,169.35	Various	5,356.14	...	-186.79	Total of 3 transactions
	<b>Security total:</b>	<b>24,495.73</b>		<b>24,263.49</b>	<b>149.61 W</b>	<b>381.85</b>	
THE SOUTHERN COMPANY / CUSIP: 842587107 / Symbol:							
2 transactions for 02/20/19. Total proceeds and cost reported to the IRS.							
	150.000	7,327.39	02/20/19	7,372.50	...	-45.11	1 of 2 - Sale <sup>25</sup>
	50.000	2,442.46	02/20/19	2,457.50	...	-15.04	2 of 2 - Sale <sup>25</sup>
02/20/19	200.000	9,769.85	Various	9,830.00	...	-60.15	Total of 2 transactions
SQUARE, INC. / CUSIP: 852234103 / Symbol:							
2 transactions for 02/28/19. Total proceeds and cost reported to the IRS.							
	100.000	7,541.89	02/27/19	7,940.00	...	-398.11	1 of 2 - Sale <sup>25</sup>
	100.000	7,541.89	02/27/19	7,940.00	...	-398.11	2 of 2 - Sale <sup>25</sup>
02/28/19	200.000	15,083.78	Various	15,880.00	...	-796.22	Total of 2 transactions
06/25/19	80.000	5,630.27	06/07/19	5,469.60	...	160.67	Sale <sup>25</sup>
06/25/19	75.000	5,212.38	06/25/19	5,321.99	95.00 W	-14.61	Sale <sup>25</sup>
07/19/19	65.000	5,102.38	07/16/19	5,338.54	...	-236.16	Sale <sup>25</sup>
	<b>Security total:</b>	<b>31,028.81</b>		<b>32,010.13</b>	<b>95.00 W</b>	<b>-886.32</b>	
STARBUCKS CORPORATION COMMON S TOCK / CUSIP: 855244109 / Symbol:							
04/25/19	70.000	5,496.27	04/25/19	5,385.80	...	110.47	Sale <sup>25</sup>
STITCH FIX, INC. CLASS A COMMO N STOCK / CUSIP: 860897107 / Symbol:							
2 transactions for 03/12/19. Total proceeds and cost reported to the IRS.							
	100.000	3,405.94	03/11/19	2,670.32	...	735.62	1 of 2 - Sale <sup>25</sup>
	100.000	3,406.94	03/11/19	2,670.32	...	736.62	2 of 2 - Sale <sup>25</sup>
03/12/19	200.000	6,812.88	Various	5,340.64	...	1,472.24	Total of 2 transactions
SYNOPSIS, INC. COMMON STOCK / CUSIP: 871607107 / Symbol:							
02/21/19	98.000	9,995.86	02/20/19	10,093.93	...	-98.07	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
TD AMERITRADE HOLDING CORPORAT ION COMMON STOCK / CUSIP: 87236Y108 / Symbol:							
06/07/19	100.000	5,214.89	04/23/19	5,430.99	...	-216.10	Sale <sup>25</sup>
T-MOBILE US, INC. COMMON STOCK / CUSIP: 872590104 / Symbol:							
05/07/19	60.000	4,435.10	04/25/19	4,396.75	...	38.35	Sale <sup>25</sup>
TECH DATA CORPORATION COMMON S TOCK / CUSIP: 878237106 / Symbol:							
03/11/19	50.000	5,020.93	03/06/19	5,022.75	...	-1.82	Sale <sup>25</sup>
TEGNA INC. / CUSIP: 87901J105 / Symbol:							
03/04/19	1.000	14.52	02/28/19	12.79	...	1.73	Sale <sup>25</sup>
TEXAS INSTRUMENTS INCORPORATED COMMON STOCK / CUSIP: 882508104 / Symbol:							
04/23/19	45.000	5,431.82	04/23/19	5,232.38	...	199.44	Sale <sup>25</sup>
THE TRADE DESK, INC. CLASS A C OMMON STOCK / CUSIP: 88339J105 / Symbol:							
2 transactions for 06/11/19. Total proceeds and cost reported to the IRS.							
	1.000	246.48	06/07/19	245.32	...	1.16	1 of 2 - Sale <sup>25</sup>
	21.000	5,176.38	06/07/19	5,151.67	...	24.71	2 of 2 - Sale <sup>25</sup>
06/11/19	22.000	5,422.86	Various	5,396.99	...	25.87	Total of 2 transactions
2 transactions for 06/14/19. Total proceeds and cost reported to the IRS.							
	1.000	241.14	06/12/19	243.22	2.08 W	0.00	1 of 2 - Sale <sup>25</sup>
	39.000	9,405.03	06/12/19	9,485.48	80.45 W	0.00	2 of 2 - Sale <sup>25</sup>
06/14/19	40.000	9,646.17	Various	9,728.70	82.53 W	0.00	Total of 2 transactions
2 transactions for 06/25/19. Total proceeds and cost reported to the IRS.							
	19.000	4,332.28	06/25/19	4,431.78	...	-99.50	1 of 2 - Sale <sup>25</sup>
	1.000	228.01	06/25/19	233.27	...	-5.26	2 of 2 - Sale <sup>25</sup>
06/25/19	20.000	4,560.29	Various	4,665.05	...	-104.76	Total of 2 transactions
07/12/19	20.000	4,776.89	07/09/19	4,858.01	...	-81.12	Sale <sup>25</sup>
<b>Security total:</b>		<b>24,406.21</b>		<b>24,648.75</b>	<b>82.53 W</b>	<b>-160.01</b>	
3M COMPANY / CUSIP: 88579Y101 / Symbol:							
06/14/19	30.000	4,999.38	06/07/19	4,999.20	...	0.18	Sale <sup>25</sup>
TOTAL SYSTEM SERVICES, INC. / CUSIP: 891906109 / Symbol:							
05/24/19	50.000	5,439.37	04/23/19	5,115.00	...	324.37	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

## Proceeds from Broker and Barter Exchange Transactions

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

**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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TRIBUNE MEDIA COMPANY CLASS A / CUSIP: 896047503 / Symbol:							
03/04/19	1.000	46.33	02/28/19	46.19	...	0.14	Sale <sup>25</sup>
TWILIO INC. / CUSIP: 90138F102 / Symbol:							
2 transactions for 07/12/19. Total proceeds and cost reported to the IRS.							
	39.000	5,539.82	07/09/19	5,656.77	...	-116.95	1 of 2 - Sale <sup>25</sup>
	1.000	142.03	07/09/19	145.05	...	-3.02	2 of 2 - Sale <sup>25</sup>
07/12/19	40.000	5,681.85	Various	5,801.82	...	-119.97	Total of 2 transactions
ULTA BEAUTY, INC. COMMON STOCK / CUSIP: 90384S303 / Symbol:							
03/15/19	13.000	4,393.28	03/14/19	4,055.32	...	337.96	Sale <sup>25</sup>
UNILEVER PLC / CUSIP: 904767704 / Symbol:							
04/18/19	90.000	5,277.49	04/17/19	5,171.40	...	106.09	Sale <sup>25</sup>
UNITED AIRLINES HOLDINGS, INC. COMMON STOCK / CUSIP: 910047109 / Symbol:							
04/18/19	30.000	2,651.93	04/16/19	2,558.99	...	92.94	Sale <sup>25</sup>
2 transactions for 04/22/19. Total proceeds and cost reported to the IRS.							
	2.000	174.58	04/16/19	170.60	...	3.98	1 of 2 - Sale <sup>25</sup>
	28.000	2,444.33	04/16/19	2,388.38	...	55.95	2 of 2 - Sale <sup>25</sup>
04/22/19	30.000	2,618.91	Various	2,558.98	...	59.93	Total of 2 transactions
<b>Security total:</b>		<b>5,270.84</b>		<b>5,117.97</b>	...	<b>152.87</b>	
UR-ENERGY INC. / CUSIP: 91688R108 / Symbol:							
03/04/19	10.000	7.22	03/01/19	7.30	...	-0.08	Sale <sup>25</sup>
VALMONT INDUSTRIES, INC. / CUSIP: 920253101 / Symbol:							
04/24/19	40.000	5,202.63	04/23/19	5,246.80	...	-44.17	Sale <sup>25</sup>
VEEVA SYSTEMS INC. / CUSIP: 922475108 / Symbol:							
02/26/19	70.000	8,364.18	02/26/19	8,399.30	35.12 W	0.00	Sale <sup>25</sup>
4 transactions for 02/27/19. Total proceeds and cost reported to the IRS.							
	68.000	8,023.88	02/26/19	8,126.68	...	-102.80	1 of 4 - Sale <sup>25</sup>
	39.000	4,601.93	02/26/19	4,680.46	...	-78.53	2 of 4 - Sale <sup>25</sup>
	31.000	3,657.95	02/26/19	3,720.36	...	-62.41	3 of 4 - Sale <sup>25</sup>

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Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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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VEEVA SYSTEMS INC. / CUSIP: 922475108 / Symbol: (cont'd)							
	12.000	1,415.98	02/26/19	1,434.12	...	-18.14	4 of 4 - Sale <sup>25</sup>
02/27/19	150.000	17,699.74	Various	17,961.62	...	-261.88	Total of 4 transactions
06/11/19	40.000	6,421.05	06/04/19	6,021.20	...	399.85	Sale <sup>25</sup>
	2 transactions for 06/25/19. Total proceeds and cost reported to the IRS.						
	1.000	159.03	06/25/19	161.05	2.02 W	0.00	1 of 2 - Sale <sup>25</sup>
	34.000	5,407.57	06/25/19	5,475.83	68.26 W	0.00	2 of 2 - Sale <sup>25</sup>
06/25/19	35.000	5,566.60	Various	5,636.88	70.28 W	0.00	Total of 2 transactions
	2 transactions for 07/19/19. Total proceeds and cost reported to the IRS.						
	29.000	4,930.75	07/10/19	5,073.15	117.85 W	-24.55	1 of 2 - Sale <sup>25</sup>
	1.000	170.03	07/10/19	174.95	4.92 W	0.00	2 of 2 - Sale <sup>25</sup>
07/19/19	30.000	5,100.78	Various	5,248.10	122.77 W	-24.55	Total of 2 transactions
	3 transactions for 08/01/19. Total proceeds and cost reported to the IRS.						
	24.000	3,966.62	07/22/19	4,184.05	...	-217.43	1 of 3 - Sale <sup>25</sup>
	5.000	826.38	07/22/19	857.17	...	-30.79	2 of 3 - Sale <sup>25</sup>
	1.000	165.28	07/22/19	174.34	...	-9.06	3 of 3 - Sale <sup>25</sup>
08/01/19	30.000	4,958.28	Various	5,215.56	...	-257.28	Total of 3 transactions
	<b>Security total:</b>	<b>48,110.63</b>		<b>48,482.66</b>	<b>228.17 W</b>	<b>-143.86</b>	
VERA BRADLEY, INC. COMMON STOC K / CUSIP: 92335C106 / Symbol:							
	4 transactions for 03/13/19. Total proceeds and cost reported to the IRS.						
	1.000	13.21	03/12/19	11.22	...	1.99	1 of 4 - Sale <sup>25</sup>
	100.000	1,322.97	03/12/19	1,121.94	...	201.03	2 of 4 - Sale <sup>25</sup>
	150.000	1,984.45	03/12/19	1,682.91	...	301.54	3 of 4 - Sale <sup>25</sup>
	199.000	2,632.71	03/12/19	2,232.66	...	400.05	4 of 4 - Sale <sup>25</sup>
03/13/19	450.000	5,953.34	Various	5,048.73	...	904.61	Total of 4 transactions
VERIZON COMMUNICATIONS / CUSIP: 92343V104 / Symbol:							
04/23/19	85.000	4,849.98	04/22/19	4,961.45	...	-111.47	Sale <sup>25</sup>

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Robinhood Securities LLC

Account 121457550

## Proceeds from Broker and Barter Exchange Transactions

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

**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
VERITEX HOLDINGS, INC. COMMON STOCK / CUSIP: 923451108 / Symbol:							
3 transactions for 04/23/19. Total proceeds and cost reported to the IRS.							
	5.000	130.03	04/22/19	129.19	...	0.84	1 of 3 - Sale <sup>25</sup>
	95.000	2,470.88	04/22/19	2,454.54	...	16.34	2 of 3 - Sale <sup>25</sup>
	95.000	2,470.88	04/22/19	2,454.54	...	16.34	3 of 3 - Sale <sup>25</sup>
04/23/19	195.000	5,071.79	Various	5,038.27	...	33.52	Total of 3 transactions
VISA INC. / CUSIP: 92826C839 / Symbol:							
05/16/19	32.000	5,263.39	04/24/19	5,165.39	...	98.00	Sale <sup>25</sup>
06/25/19	35.000	5,983.13	06/04/19	5,568.57	...	414.56	Sale <sup>25</sup>
	<b>Security total:</b>	<b>11,246.52</b>		<b>10,733.96</b>	...	<b>512.56</b>	
VISTEON CORPORATION COMMON STOCK / CUSIP: 92839U206 / Symbol:							
05/20/19	62.000	3,110.86	04/24/19	4,990.82	...	-1,879.96	Sale <sup>25</sup>
VMWARE, INC / CUSIP: 928563402 / Symbol:							
03/04/19	1.000	170.89	02/28/19	173.53	...	-2.64	Sale <sup>25</sup>
06/14/19	30.000	5,175.48	06/07/19	5,085.52	...	89.96	Sale <sup>25</sup>
	<b>Security total:</b>	<b>5,346.37</b>		<b>5,259.05</b>	...	<b>87.32</b>	
WALMART INC. / CUSIP: 931142103 / Symbol:							
07/23/19	50.000	5,583.87	06/25/19	5,533.45	...	50.42	Sale <sup>25</sup>
WILLDAN GROUP, INC. COMMON STOCK / CUSIP: 96924N100 / Symbol:							
03/07/19	13.000	490.08	03/07/19	494.18	...	-4.10	Sale <sup>25</sup>
03/12/19	107.000	3,935.61	03/07/19	4,067.50	...	-131.89	Sale <sup>25</sup>
	<b>Security total:</b>	<b>4,425.69</b>		<b>4,561.68</b>	...	<b>-135.99</b>	
WORKDAY, INC. CLASS A COMMON STOCK / CUSIP: 98138H101 / Symbol:							
03/01/19	1.000	193.53	02/28/19	197.04	...	-3.51	Sale <sup>25</sup>
07/15/19	25.000	5,468.87	06/25/19	5,144.07	...	324.80	Sale <sup>25</sup>
2 transactions for 07/16/19. Total proceeds and cost reported to the IRS.							
	24.000	5,172.60	07/15/19	5,220.72	...	-48.12	1 of 2 - Sale <sup>25</sup>
	1.000	215.52	07/15/19	217.53	...	-2.01	2 of 2 - Sale <sup>25</sup>
07/16/19	25.000	5,388.12	Various	5,438.25	...	-50.13	Total of 2 transactions
	<b>Security total:</b>	<b>11,050.52</b>		<b>10,779.36</b>	...	<b>271.16</b>	

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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
XILINX, INC. COMMON STOCK / CUSIP: 983919101 / Symbol:							
06/07/19	38.000	4,092.16	04/24/19	5,289.22	...	-1,197.06	Sale <sup>25</sup>
XEROX CORPORATION / CUSIP: 984121608 / Symbol:							
2 transactions for 07/16/19. Total proceeds and cost reported to the IRS.							
	50.000	1,774.45	07/15/19	1,746.50	...	27.95	1 of 2 - Sale <sup>25</sup>
	100.000	3,548.91	07/15/19	3,492.99	...	55.92	2 of 2 - Sale <sup>25</sup>
07/16/19	150.000	5,323.36	Various	5,239.49	...	83.87	Total of 2 transactions
YPF SOCIEDAD ANONIMA / CUSIP: 984245100 / Symbol:							
3 transactions for 03/08/19. Total proceeds and cost reported to the IRS.							
	200.000	2,543.94	03/07/19	2,543.98	...	-0.04	1 of 3 - Sale <sup>25</sup>
	100.000	1,271.97	03/07/19	1,272.00	...	-0.03	2 of 3 - Sale <sup>25</sup>
	100.000	1,271.97	03/07/19	1,271.50	...	0.47	3 of 3 - Sale <sup>25</sup>
03/08/19	400.000	5,087.88	Various	5,087.48	...	0.40	Total of 3 transactions
YY INC. AMERICAN DEPOSITARY SH ARES / CUSIP: 98426T106 / Symbol:							
2 transactions for 03/05/19. Total proceeds and cost reported to the IRS.							
	1.000	81.90	03/04/19	70.92	...	10.98	1 of 2 - Sale <sup>25</sup>
	69.000	5,652.39	03/04/19	4,893.82	...	758.57	2 of 2 - Sale <sup>25</sup>
03/05/19	70.000	5,734.29	Various	4,964.74	...	769.55	Total of 2 transactions
03/06/19	70.000	5,673.41	03/05/19	5,715.49	...	-42.08	Sale <sup>25</sup>
<b>Security total:</b>		<b>11,407.70</b>		<b>10,680.23</b>	...	<b>727.47</b>	
ZUMIEZ INC. COMMON STOCK / CUSIP: 989817101 / Symbol:							
03/14/19	20.000	480.59	03/14/19	486.80	...	-6.21	Sale <sup>25</sup>
5 transactions for 03/14/19. Total proceeds and cost reported to the IRS.							
	100.000	2,402.96	03/14/19	2,433.00	15.02 W	-15.02	1 of 5 - Sale <sup>25</sup>
	100.000	2,402.95	03/14/19	2,433.00	30.05 W	0.00	2 of 5 - Sale <sup>25</sup>
	50.000	1,201.48	03/14/19	1,211.25	9.77 W	0.00	3 of 5 - Sale <sup>25</sup>
	100.000	2,402.96	03/14/19	2,422.50	19.54 W	0.00	4 of 5 - Sale <sup>25</sup>
	100.000	2,402.95	03/14/19	2,422.50	19.55 W	0.00	5 of 5 - Sale <sup>25</sup>
03/14/19	450.000	10,813.30	Various	10,922.25	93.93 W	-15.02	Total of 5 transactions

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Robinhood Securities LLC

Account 121457550

# **Proceeds from Broker and Barter Exchange Transactions**

2019 1099-B\* OMB No. 1545-0715

(continued)

02/06/2020

## **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
ZUMIEZ INC. COMMON STOCK / CUSIP: 989817101 / Symbol: (cont'd)							
7 transactions for 04/12/19. Total proceeds and cost reported to the IRS.							
	20.000	511.79	03/14/19	487.61	...	24.18	1 of 7 - Sale <sup>25</sup>
	30.000	767.69	03/14/19	731.41	...	36.28	2 of 7 - Sale <sup>25</sup>
	50.000	1,279.47	03/14/19	1,219.02	...	60.45	3 of 7 - Sale <sup>25</sup>
	50.000	1,279.48	03/14/19	1,219.03	...	60.45	4 of 7 - Sale <sup>25</sup>
	50.000	1,279.48	03/14/19	1,213.77	...	65.71	5 of 7 - Sale <sup>25</sup>
	100.000	2,558.95	03/14/19	2,427.55	...	131.40	6 of 7 - Sale <sup>25</sup>
	100.000	2,558.95	03/14/19	2,427.54	...	131.41	7 of 7 - Sale <sup>25</sup>
04/12/19	400.000	10,235.81	Various	9,725.93	...	509.88	Total of 7 transactions
	<b>Security total:</b>	<b>21,529.70</b>		<b>21,134.98</b>	<b>93.93 W</b>	<b>488.65</b>	
ATHENE HOLDING LTD. CLASS A CO MMON SHARES / CUSIP: G0684D107 / Symbol:							
02/25/19	180.000	8,099.92	02/25/19	8,143.18	...	-43.26	Sale <sup>25</sup>
MARVELL TECHNOLOGY GROUP LTD. COMMON STOCK / CUSIP: G5876H105 / Symbol:							
2 transactions for 03/11/19. Total proceeds and cost reported to the IRS.							
	100.000	1,937.13	03/07/19	1,917.50	...	19.63	1 of 2 - Sale <sup>25</sup>
	175.000	3,389.99	03/07/19	3,355.63	...	34.36	2 of 2 - Sale <sup>25</sup>
03/11/19	275.000	5,327.12	Various	5,273.13	...	53.99	Total of 2 transactions
ITURAN LOCATION AND CONTROL LT D. ORDINARY SHARES / CUSIP: M6158M104 / Symbol:							
2 transactions for 03/11/19. Total proceeds and cost reported to the IRS.							
	100.000	3,617.94	03/08/19	3,653.99	...	-36.05	1 of 2 - Sale <sup>25</sup>
	50.000	1,808.96	03/08/19	1,827.00	...	-18.04	2 of 2 - Sale <sup>25</sup>
03/11/19	150.000	5,426.90	Various	5,480.99	...	-54.09	Total of 2 transactions
<b>Totals :</b>		<b>1,423,424.05</b>		<b>1,421,346.81</b>	<b>3,321.97 W</b>	<b>5,399.21</b>	

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Robinhood Securities LLC

Account 121457550

## Detail for Dividends and Distributions

2019

02/06/2020

This section of your tax information statement contains the payment level detail of your taxable dividends, capital gains distributions, Section 199A dividends, 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.

Security description	CUSIP and/or symbol	State	Date	Amount	Transaction type	Notes
ABERCROMBIE & FITCH CO.	002896207		03/18/19	50.00	Qualified dividend	
BG STAFFING INC.	05544A109		05/13/19	60.00	Qualified dividend	
CITRIX SYSTEMS, INC. COMMON STOCK	177376100		06/21/19	1.75	Qualified dividend	
DICK'S SPORTING GOODS, INC.	253393102		03/29/19	35.75	Qualified dividend	
W.R. GRACE & CO.	38388F108		06/06/19	16.20	Qualified dividend	
JUNIPER NETWORKS INC	48203R104		06/24/19	34.20	Qualified dividend	
KAISER ALUMINUM CORPORATION COMMON STOCK	483007704		05/15/19	30.00	Qualified dividend	
MICROSOFT CORPORATION COMMON STOCK	594918104		03/14/19	23.00	Qualified dividend	
QAD INC. CLASS A COMMON STOCK	74727D306		05/03/19	8.14	Qualified dividend	
ROBERT HALF INTERNATIONAL INC.	770323103		06/14/19	24.80	Qualified dividend	
SIRIUS XM HOLDINGS INC. COMMON STOCK	82968B103		05/31/19	10.89	Qualified dividend	
TD AMERITRADE HOLDING CORPORATION COMMON STOCK	87236Y108		05/21/19	30.00	Qualified dividend	
VISA INC.	92826C839		06/04/19	8.00	Qualified dividend	
XILINX, INC. COMMON STOCK	983919101		06/03/19	14.06	Qualified dividend	
				<b>346.79</b>	<b>Total Dividends &amp; distributions</b>	

Robinhood Securities LLC

Account 121457550

## Detail for Miscellaneous Income

2019

02/06/2020

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
CITRIX SYSTEMS, INC. COMMON ST OCK	177376100	06/21/19	15.75	Substitute payment	
			15.75	Total Miscellaneous income	

Robinhood Securities LLC

Account 121457550

**Fees and Expenses**

2019

02/06/2020

*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 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
		04/01/19	-0.66	Margin interest paid	
		04/03/19	-116.67	Margin interest paid	
		05/22/19	-5.00	Margin interest paid	
		05/22/19	-158.56	Margin interest paid	
		06/21/19	-5.00	Margin interest paid	
		06/21/19	-166.43	Margin interest paid	
		07/22/19	-5.00	Margin interest paid	
		07/22/19	-82.79	Margin interest paid	
		08/20/19	-5.00	Margin interest paid	
		08/20/19	-19.46	Margin interest paid	
		09/19/19	-5.00	Margin interest paid	
		10/21/19	-5.00	Margin interest paid	
		11/18/19	-5.00	Margin interest paid	
		12/18/19	-5.00	Margin interest paid	
		12/18/19	-23.35	Margin interest paid	
			-607.92	Total Margin interest paid	
			<b>-607.92</b>	<b>Total Margin interest paid</b>	

Robinhood Securities LLC

2019 End Notes for Account 121457550

25 Tax lot closed on a first in first out basis.

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**Common Instructions for Recipient**

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN)). However, the issuer has reported your complete TIN to the IRS.

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

**Backup Withholding.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

**Nominees.** If this 1099 form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) Copy A (with a Form 1096) to the IRS for each of the other owners as recipient(s) to show their allocable share of the income and you must furnish the respective Copy B Form(s) and amounts to each owner. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2019 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. Also, report it on Schedule B (1040), if required.

**Line 1b.** Shows the portion of the amount on line 1a that may be eligible for reduced capital gains rates. See the Form 1040 instructions 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 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 on lines 2c-2d and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown on line 2a on your Form 1040 rather than Schedule D. See the Form 1040 instructions.

**Line 2b.** Shows the portion of the amount on 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 on 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 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 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.** See "Backup Withholding" section.

**Line 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the Instructions for Form 1040.

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

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

**Lines 8.** This line should be left blank if a RIC reported the foreign tax shown on line 7.

**Line 9 and 10.** Shows cash and noncash liquidation distributions.

**Line 11.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Form 1040 for where to report. This amount may be subject to backup withholding. See *Line 4* above.

**Line 12.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included on line 11. See the instructions for Form 6251.

**Lines 13-15.** State income tax withheld reporting lines.

**Instructions for Recipient****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 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.

**Column 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).

**Column 1b.** The column 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.

**Column 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.

**Column 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 column 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.

**Column 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 "NONCOVERED" appears on line 5, this column may be blank. See the Instructions for Form 8949, Instructions for Schedule D, or Pub. 550 for details.

**Column 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 "NONCOVERED" appears on line 5, this column may be blank.

**Column 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 "NONCOVERED" appears on line 5, this column 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 generally is 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, line 2 may be blank.

**Line 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund (QOF).

**Line 4.** See "Backup Withholding" section.

**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.

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

**Column 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 column 1d.

See the Form 8949 and Schedule D instructions. The broker should advise you of any losses on a separate statement.

**Line 12.** If checked, the basis on line 1e has been reported to the IRS and either the short-term or the long-term gain or loss on line 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 as you may be able to report your transaction directly on Schedule D. If the Ordinary box in box 2 is checked, an adjustment may be required.

**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.

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

**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 box 7 instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

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

**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) (or Form 1040NR).

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

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