

<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 154372510</b>	<b>Statement Date: 02/14/2021</b> <b>Document ID: 6RS2 52W S84D</b>	<b>2020</b>
	Mark Salama 101 Bedford Ave Apt B 704 Brooklyn, NY 11211-3200  RECIPIENT'S TIN: XXX-XX-9450		

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

<b>DIVIDENDS AND DISTRIBUTIONS</b>	<b>2020 1099-DIV*</b>	OMB No. 1545-0110	<b>MISCELLANEOUS INCOME</b>	<b>2020 1099-MISC*</b>	OMB No. 1545-0115
1a- Total ordinary dividends (includes lines 1b, 5)		0.00	2- Royalties		0.00
1b- Qualified dividends		0.00	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		0.00
2c- Section 1202 gain		0.00			
2d- Collectibles (28%) gain		0.00	<b>SECTION 1256 CONTRACTS</b>	<b>2020 1099-B*</b>	OMB No. 1545-0715
3- Nondividend distributions		0.00	8- Profit or (loss) realized in 2020 on closed contracts		0.00
<b>4- Federal income tax withheld</b>	<b>0.00</b>		9- Unrealized profit or (loss) on open contracts-12/31/2019		0.00
5- Section 199A dividends		0.00	10- Unrealized profit or (loss) on open contracts-12/31/2020		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)	46,320.53	44,200.94	0.00	4,542.27	6,661.86
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>46,320.53</b>	<b>44,200.94</b>	<b>0.00</b>	<b>4,542.27</b>	<b>6,661.86</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>46,320.53</b>	<b>44,200.94</b>	<b>0.00</b>	<b>4,542.27</b>	<b>6,661.86</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 2020 may require an amended tax form.

Robinhood Securities LLC

Account 154372510

**Summary Information**

2020

(continued)

02/14/2021

**INTEREST INCOME****2020 1099-INT**

OMB No. 1545-0112

**This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.**

1- Interest income (not included in line 3)	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 the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

**RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES**

*The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).*

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	0.00
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

Robinhood Securities LLC

Account 154372510

# Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

02/14/2021

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 a corporate action nor the amount of gain or loss is reported to the IRS in any instance.

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

Closing of written options is presented in a distinct manner in accordance with IRS 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
AAPL 01/03/2020 PUT \$290.00 / CUSIP: / Symbol:							
01/02/20	1.000	29.98	12/27/19	600.02	...	-570.04	Option sale to close-put <sup>25</sup>
01/02/20	1.000	29.98	12/27/19	260.00	230.02 W	0.00	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>59.96</b>		<b>860.02</b>	<b>230.02 W</b>	<b>-570.04</b>	
AAPL 01/17/2020 PUT \$275.00 / CUSIP: / Symbol:							
01/06/20	1.000	39.98	12/30/19	196.00	...	-156.02	Option sale to close-put <sup>25</sup>
AAPL 02/21/2020 PUT \$225.00 / CUSIP: / Symbol:							
01/27/20	2.000	61.98	12/16/19	174.00	...	-112.02	Option sale to close-put <sup>25</sup>
AAPL 02/21/2020 PUT \$300.00 / CUSIP: / Symbol:							
02/11/20	1.000	77.98	01/24/20	390.00	...	-312.02	Option sale to close-put <sup>25</sup>

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
AAPL 03/06/2020 PUT \$270.00 / CUSIP: / Symbol:							
03/05/20	1.000	129.98	03/04/20	0.00	...	129.98	Short sale closed- put <sup>25</sup> Option written: 02/26/20
AAPL 03/06/2020 PUT \$280.00 / CUSIP: / Symbol:							
03/04/20	1.000	127.98	02/26/20	395.00	...	-267.02	Option sale to close-put <sup>25</sup>
AAPL 03/13/2020 PUT \$280.00 / CUSIP: / Symbol:							
03/06/20	1.000	819.97	03/04/20	410.00	...	409.97	Option sale to close-put <sup>25</sup>
AAPL 03/20/2020 PUT \$220.00 / CUSIP: / Symbol:							
03/20/20	1.000	151.98	03/19/20	0.00	...	151.98	Short sale closed- put <sup>25</sup> Option written: 03/18/20
2 transactions for 03/23/20. Total proceeds and cost reported to the IRS.							
	1.000	217.98	03/20/20	0.00	...	217.98	1 of 2 - Short sale closed- put <sup>25</sup> Option written: 03/18/20
	1.000	316.98	03/20/20	0.00	...	316.98	2 of 2 - Short sale closed- put <sup>25</sup> Option written: 03/18/20
03/23/20	2.000	534.96	Various	0.00	...	534.96	Total of 2 transactions
<b>Security total:</b>		<b>686.94</b>		<b>0.00</b>	...	<b>686.94</b>	
AAPL 03/20/2020 PUT \$230.00 / CUSIP: / Symbol:							
03/19/20	1.000	121.98	03/18/20	360.00	238.02 W	0.00	Option sale to close-put <sup>25</sup>
03/20/20	1.000	44.98	03/18/20	1,093.04	...	-1,048.06	Option sale to close-put <sup>25</sup>
03/20/20	1.000	44.98	03/18/20	588.02	543.04 W	0.00	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>211.94</b>		<b>2,041.06</b>	<b>781.06 W</b>	<b>-1,048.06</b>	
AAPL 03/27/2020 PUT \$190.00 / CUSIP: / Symbol:							
3 transactions for 03/25/20. Total proceeds and cost reported to the IRS.							
	1.000	157.98	03/24/20	0.00	...	157.98	1 of 3 - Short sale closed- put <sup>25</sup> Option written: 03/23/20
	1.000	182.98	03/24/20	0.00	...	182.98	2 of 3 - Short sale closed- put <sup>25</sup> Option written: 03/23/20
	1.000	302.98	03/24/20	0.00	...	302.98	3 of 3 - Short sale closed- put <sup>25</sup> Option written: 03/23/20
03/25/20	3.000	643.94	Various	0.00	...	643.94	Total of 3 transactions

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
AAPL 03/27/2020 PUT \$210.00 / CUSIP: / Symbol:							
3 transactions for 03/24/20. Total proceeds and cost reported to the IRS.							
	1.000	110.00	03/23/20	770.00	...	-660.00	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	109.99	03/23/20	562.00	...	-452.01	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	109.99	03/23/20	530.00	...	-420.01	3 of 3 - Option sale to close-put <sup>25</sup>
03/24/20	3.000	329.98	Various	1,862.00	...	-1,532.02	Total of 3 transactions
AAPL 03/27/2020 PUT \$220.00 / CUSIP: / Symbol:							
03/24/20	1.000	-775.02	03/23/20	0.00	775.02 W	0.00	Short sale closed- put <sup>25</sup>
03/25/20	1.000	56.98	03/24/20	979.02	...	-922.04	Option written: 03/20/20
	<b>Security total:</b>	<b>-718.04</b>		<b>979.02</b>	<b>775.02 W</b>	<b>-922.04</b>	Option sale to close-put <sup>25</sup>
AAPL 03/27/2020 PUT \$235.00 / CUSIP: / Symbol:							
03/23/20	1.000	1,999.94	03/20/20	650.00	...	1,349.94	Option sale to close-put <sup>25</sup>
CHD 02/21/2020 PUT \$70.00 / CUSIP: / Symbol:							
02/11/20	1.000	4.98	01/24/20	145.00	...	-140.02	Option sale to close-put <sup>25</sup>
CZR 03/20/2020 PUT \$10.00 / CUSIP: / Symbol:							
3 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	1.000	39.98	03/06/20	35.00	...	4.98	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	44.98	03/06/20	38.00	...	6.98	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	45.98	03/06/20	38.00	...	7.98	3 of 3 - Option sale to close-put <sup>25</sup>
03/09/20	3.000	130.94	Various	111.00	...	19.94	Total of 3 transactions
03/10/20	1.000	44.98	03/06/20	35.00	...	9.98	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>175.92</b>		<b>146.00</b>	<b>...</b>	<b>29.92</b>	
DIS 03/20/2020 PUT \$100.00 / CUSIP: / Symbol:							
8 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	1.000	339.98	03/04/20	68.00	...	271.98	1 of 8 - Option sale to close-put <sup>25</sup>
	1.000	279.98	03/06/20	214.00	...	65.98	2 of 8 - Option sale to close-put <sup>25</sup>
	1.000	319.98	03/06/20	172.00	...	147.98	3 of 8 - Option sale to close-put <sup>25</sup>
	1.000	329.98	03/06/20	180.00	...	149.98	4 of 8 - Option sale to close-put <sup>25</sup>
	1.000	329.98	03/06/20	170.00	...	159.98	5 of 8 - Option sale to close-put <sup>25</sup>
	1.000	329.98	03/06/20	165.00	...	164.98	6 of 8 - Option sale to close-put <sup>25</sup>

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DIS 03/20/2020 PUT \$100.00 / CUSIP: / Symbol: (cont'd)							
	1.000	324.98	03/06/20	150.00	...	174.98	7 of 8 - Option sale to close-put <sup>25</sup>
	1.000	389.98	03/06/20	171.00	...	218.98	8 of 8 - Option sale to close-put <sup>25</sup>
03/09/20	8.000	2,644.84	Various	1,290.00	...	1,354.84	Total of 8 transactions
	8 transactions for 03/13/20. Total proceeds and cost reported to the IRS.						
	1.000	774.98	03/06/20	170.00	...	604.98	1 of 8 - Option sale to close-put <sup>25</sup>
	1.000	774.97	03/06/20	165.00	...	609.97	2 of 8 - Option sale to close-put <sup>25</sup>
	1.000	819.97	03/06/20	170.00	...	649.97	3 of 8 - Option sale to close-put <sup>25</sup>
	1.000	849.97	03/06/20	186.00	...	663.97	4 of 8 - Option sale to close-put <sup>25</sup>
	1.000	819.98	03/06/20	150.00	...	669.98	5 of 8 - Option sale to close-put <sup>25</sup>
	1.000	849.98	03/06/20	165.00	...	684.98	6 of 8 - Option sale to close-put <sup>25</sup>
	1.000	889.97	03/06/20	165.00	...	724.97	7 of 8 - Option sale to close-put <sup>25</sup>
	1.000	889.97	03/06/20	160.00	...	729.97	8 of 8 - Option sale to close-put <sup>25</sup>
03/13/20	8.000	6,669.79	Various	1,331.00	...	5,338.79	Total of 8 transactions
	2 transactions for 03/18/20. Total proceeds and cost reported to the IRS.						
	1.000	1,879.94	03/06/20	145.00	...	1,734.94	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	1,999.94	03/06/20	140.00	...	1,859.94	2 of 2 - Option sale to close-put <sup>25</sup>
03/18/20	2.000	3,879.88	Various	285.00	...	3,594.88	Total of 2 transactions
	<b>Security total:</b>	<b>13,194.51</b>		<b>2,906.00</b>	...	<b>10,288.51</b>	

DIS 03/20/2020 PUT \$90.00 / CUSIP: / Symbol:

2 transactions for 03/16/20. Total proceeds and cost reported to the IRS.							
	2.000	-1,440.02	03/13/20	0.00	...	-1,440.02	1 of 2 - Short sale closed- put <sup>25</sup>
	1.000	-1,180.02	03/13/20	0.00	...	-1,180.02	Option written: 03/06/20
	3.000	-2,620.04	Various	0.00	...	-2,620.04	2 of 2 - Short sale closed- put <sup>25</sup>
03/16/20	4 transactions for 03/16/20. Total proceeds and cost reported to the IRS.						
	1.000	-405.02	03/13/20	0.00	405.02 W	0.00	Option written: 03/06/20
	1.000	-815.02	03/13/20	0.00	815.02 W	0.00	1 of 4 - Short sale closed- put <sup>25</sup>
	2.000	-780.01	03/13/20	0.00	780.01 W	0.00	Option written: 03/06/20
	3 of 4 - Short sale closed- put <sup>25</sup>						
	Option written: 03/06/20						

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
DIS 03/20/2020 PUT \$90.00 / CUSIP: / Symbol: (cont'd)							
	1.000	-375.01	03/13/20	0.00	375.01 W	0.00	4 of 4 - Short sale closed- put <sup>25</sup>
03/16/20	5.000	-2,375.06	Various	0.00	2,375.06 W	0.00	Option written: 03/06/20
	2 transactions for 03/19/20. Total proceeds and cost reported to the IRS.						
	1.000	-1,240.01	03/18/20	0.00	...	-1,240.01	1 of 2 - Short sale closed- put <sup>25</sup>
	1.000	-965.01	03/18/20	0.00	...	-965.01	Option written: 03/06/20
03/19/20	2.000	-2,205.02	Various	0.00	...	-2,205.02	2 of 2 - Short sale closed- put <sup>25</sup>
	Option written: 03/06/20						
	Total of 2 transactions						
	<b>Security total:</b>	<b>-7,200.12</b>		<b>0.00</b>	<b>2,375.06 W</b>	<b>-4,825.06</b>	
DIS 04/17/2020 PUT \$90.00 / CUSIP: / Symbol:							
	2 transactions for 04/13/20. Total proceeds and cost reported to the IRS.						
	1.000	49.99	04/07/20	88.00	38.01 W	0.00	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	49.99	04/07/20	66.00	16.01 W	0.00	2 of 2 - Option sale to close-put <sup>25</sup>
04/13/20	2.000	99.98	Various	154.00	54.02 W	0.00	Total of 2 transactions
	2 transactions for 04/14/20. Total proceeds and cost reported to the IRS.						
	1.000	6.99	04/07/20	104.01	...	-97.02	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	6.99	04/08/20	91.01	...	-84.02	2 of 2 - Option sale to close-put <sup>25</sup>
04/14/20	2.000	13.98	Various	195.02	...	-181.04	Total of 2 transactions
	<b>Security total:</b>	<b>113.96</b>		<b>349.02</b>	<b>54.02 W</b>	<b>-181.04</b>	
DRI 03/20/2020 PUT \$100.00 / CUSIP: / Symbol:							
	2 transactions for 02/27/20. Total proceeds and cost reported to the IRS.						
	1.000	339.98	02/26/20	100.00	...	239.98	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	349.98	02/26/20	100.00	...	249.98	2 of 2 - Option sale to close-put <sup>25</sup>
02/27/20	2.000	689.96	Various	200.00	...	489.96	Total of 2 transactions

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
EEM 03/20/2020 PUT \$40.00 / CUSIP: / Symbol:							
3 transactions for 02/21/20. Total proceeds and cost reported to the IRS.							
	4.000	43.99	02/13/20	40.00	...	3.99	1 of 3 - Option sale to close-put <sup>25</sup>
	5.000	54.98	02/13/20	50.00	...	4.98	2 of 3 - Option sale to close-put <sup>25</sup>
	5.000	54.99	02/13/20	50.00	...	4.99	3 of 3 - Option sale to close-put <sup>25</sup>
02/21/20	14.000	153.96	Various	140.00	...	13.96	Total of 3 transactions
EEM 03/20/2020 PUT \$41.00 / CUSIP: / Symbol:							
2 transactions for 02/26/20. Total proceeds and cost reported to the IRS.							
	9.000	746.96	02/13/20	153.00	...	593.96	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	83.00	02/21/20	22.00	...	61.00	2 of 2 - Option sale to close-put <sup>25</sup>
02/26/20	10.000	829.96	Various	175.00	...	654.96	Total of 2 transactions
7 transactions for 02/27/20. Total proceeds and cost reported to the IRS.							
	1.000	105.99	02/21/20	24.00	...	81.99	1 of 7 - Option sale to close-put <sup>25</sup>
	1.000	106.00	02/21/20	24.00	...	82.00	2 of 7 - Option sale to close-put <sup>25</sup>
	1.000	115.99	02/21/20	24.00	...	91.99	3 of 7 - Option sale to close-put <sup>25</sup>
	3.000	317.98	02/21/20	66.00	...	251.98	4 of 7 - Option sale to close-put <sup>25</sup>
	4.000	463.98	02/21/20	96.00	...	367.98	5 of 7 - Option sale to close-put <sup>25</sup>
	5.000	549.97	02/21/20	110.00	...	439.97	6 of 7 - Option sale to close-put <sup>25</sup>
	5.000	589.97	02/26/20	295.00	...	294.97	7 of 7 - Option sale to close-put <sup>25</sup>
02/27/20	20.000	2,249.88	Various	639.00	...	1,610.88	Total of 7 transactions
<b>Security total:</b>		<b>3,079.84</b>		<b>814.00</b>	...	<b>2,265.84</b>	
EEM 03/20/2020 PUT \$42.00 / CUSIP: / Symbol:							
02/25/20	2.000	247.98	02/20/20	70.00	...	177.98	Option sale to close-put <sup>25</sup>
GDX 03/20/2020 PUT \$18.00 / CUSIP: / Symbol:							
03/18/20	1.000	8.98	03/16/20	78.00	...	-69.02	Option sale to close-put <sup>25</sup>
GDXJ 04/17/2020 CALL \$40.00 / CUSIP: / Symbol:							
6 transactions for 04/07/20. Total proceeds and cost reported to the IRS.							
	1.000	10.00	03/25/20	125.00	...	-115.00	1 of 6 - Option sale to close-call <sup>25</sup>
	1.000	9.99	03/25/20	121.00	...	-111.01	2 of 6 - Option sale to close-call <sup>25</sup>
	1.000	10.00	03/25/20	121.00	...	-111.00	3 of 6 - Option sale to close-call <sup>25</sup>
	1.000	10.00	03/26/20	108.00	...	-98.00	4 of 6 - Option sale to close-call <sup>25</sup>

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



Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
GDJX 04/17/2020 CALL \$40.00 / CUSIP: / Symbol: (cont'd)							
	3.000	29.99	03/27/20	156.00	...	-126.01	5 of 6 - Option sale to close-call <sup>25</sup>
	1.000	9.99	03/27/20	66.00	...	-56.01	6 of 6 - Option sale to close-call <sup>25</sup>
04/07/20	8.000	79.97	Various	697.00	...	-617.03	Total of 6 transactions
GLD 03/13/2020 PUT \$150.00 / CUSIP: / Symbol:							
03/09/20	1.000	36.98	03/06/20	35.00	...	1.98	Option sale to close-put <sup>25</sup>
HLT 03/20/2020 PUT \$90.00 / CUSIP: / Symbol:							
2 transactions for 02/27/20. Total proceeds and cost reported to the IRS.							
	1.000	239.98	02/26/20	100.00	...	139.98	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	284.98	02/26/20	110.00	...	174.98	2 of 2 - Option sale to close-put <sup>25</sup>
02/27/20	2.000	524.96	Various	210.00	...	314.96	Total of 2 transactions
HSBC 03/20/2020 PUT \$35.00 / CUSIP: / Symbol:							
2 transactions for 02/27/20. Total proceeds and cost reported to the IRS.							
	1.000	131.98	02/20/20	57.00	...	74.98	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	134.98	02/20/20	57.00	...	77.98	2 of 2 - Option sale to close-put <sup>25</sup>
02/27/20	2.000	266.96	Various	114.00	...	152.96	Total of 2 transactions
HYG 03/20/2020 PUT \$80.00 / CUSIP: / Symbol:							
3 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	1.000	171.98	03/06/20	68.00	...	103.98	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	199.98	03/06/20	68.00	...	131.98	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	289.98	03/06/20	68.00	...	221.98	3 of 3 - Option sale to close-put <sup>25</sup>
03/09/20	3.000	661.94	Various	204.00	...	457.94	Total of 3 transactions
4 transactions for 03/12/20. Total proceeds and cost reported to the IRS.							
	1.000	289.98	03/06/20	68.00	...	221.98	1 of 4 - Option sale to close-put <sup>25</sup>
	1.000	294.98	03/06/20	60.00	...	234.98	2 of 4 - Option sale to close-put <sup>25</sup>
	1.000	319.98	03/06/20	60.00	...	259.98	3 of 4 - Option sale to close-put <sup>25</sup>
	1.000	389.98	03/06/20	57.00	...	332.98	4 of 4 - Option sale to close-put <sup>25</sup>
03/12/20	4.000	1,294.92	Various	245.00	...	1,049.92	Total of 4 transactions
03/13/20	1.000	199.98	03/06/20	57.00	...	142.98	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>2,156.84</b>		<b>506.00</b>	...	<b>1,650.84</b>	

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

Robinhood Securities LLC

Account 154372510

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**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
HYG 03/27/2020 CALL \$72.00 / CUSIP: / Symbol:							
2 transactions for 03/25/20. Total proceeds and cost reported to the IRS.							
	1.000	174.98	03/23/20	60.00	...	114.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	209.98	03/23/20	60.00	...	149.98	2 of 2 - Option sale to close-call <sup>25</sup>
03/25/20	2.000	384.96	Various	120.00	...	264.96	Total of 2 transactions
HYG 04/17/2020 PUT \$75.00 / CUSIP: / Symbol:							
3 transactions for 03/17/20. Total proceeds and cost reported to the IRS.							
	1.000	264.98	03/11/20	160.00	...	104.98	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	274.99	03/11/20	160.00	...	114.99	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	319.98	03/12/20	296.02	...	23.96	3 of 3 - Option sale to close-put <sup>25</sup>
03/17/20	3.000	859.95	Various	616.02	...	243.93	Total of 3 transactions
03/17/20	1.000	274.98	03/12/20	285.00	10.02 W	0.00	Option sale to close-put <sup>25</sup>
4 transactions for 03/18/20. Total proceeds and cost reported to the IRS.							
	1.000	314.98	03/12/20	283.02	...	31.96	1 of 4 - Option sale to close-put <sup>25</sup>
	1.000	344.98	03/12/20	255.00	...	89.98	2 of 4 - Option sale to close-put <sup>25</sup>
	1.000	369.98	03/12/20	245.00	...	124.98	3 of 4 - Option sale to close-put <sup>25</sup>
	1.000	399.98	03/12/20	240.00	...	159.98	4 of 4 - Option sale to close-put <sup>25</sup>
03/18/20	4.000	1,429.92	Various	1,023.02	...	406.90	Total of 4 transactions
03/18/20	1.000	321.98	03/12/20	325.00	3.02 W	0.00	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>2,886.83</b>		<b>2,249.04</b>	<b>13.04 W</b>	<b>650.83</b>	
IWM 03/20/2020 PUT \$100.00 / CUSIP: / Symbol:							
03/20/20	1.000	21.98	03/19/20	90.00	...	-68.02	Option sale to close-put <sup>25</sup>
IWM 03/20/2020 PUT \$96.00 / CUSIP: / Symbol:							
03/20/20	1.000	39.98	03/20/20	0.00	...	39.98	Short sale closed- put expired Option written: 03/19/20
IWM 03/27/2020 PUT \$96.00 / CUSIP: / Symbol:							
03/23/20	1.000	324.98	03/20/20	215.00	...	109.98	Option sale to close-put <sup>25</sup>
JETS 03/20/2020 PUT \$20.00 / CUSIP: / Symbol:							
03/09/20	1.000	119.98	03/06/20	105.00	...	14.98	Option sale to close-put <sup>25</sup>

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

Robinhood Securities LLC

Account 154372510

# Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## 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
JNUG 03/20/2020 CALL \$5.00 / CUSIP: / Symbol:							
03/20/20	1.000	39.98	03/19/20	45.00	...	-5.02	Option sale to close-call <sup>25</sup>
LYV 04/17/2020 PUT \$25.00 / CUSIP: / Symbol:							
04/09/20	1.000	5.98	03/26/20	85.00	...	-79.02	Option sale to close-put <sup>25</sup>
MAR 03/20/2020 PUT \$110.00 / CUSIP: / Symbol:							
02/28/20	1.000	429.98	02/26/20	180.00	...	249.98	Option sale to close-put <sup>25</sup>
MCD 03/20/2020 PUT \$200.00 / CUSIP: / Symbol:							
3 transactions for 02/27/20. Total proceeds and cost reported to the IRS.							
	1.000	309.98	02/26/20	180.00	...	129.98	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	329.98	02/26/20	155.00	...	174.98	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	369.98	02/26/20	125.00	...	244.98	3 of 3 - Option sale to close-put <sup>25</sup>
02/27/20	3.000	1,009.94	Various	460.00	...	549.94	Total of 3 transactions
MRNA 03/13/2020 CALL \$35.00 / CUSIP: / Symbol:							
03/06/20	1.000	69.98	03/06/20	85.00	...	-15.02	Option sale to close-call <sup>25</sup>
NFLX 03/20/2020 PUT \$300.00 / CUSIP: / Symbol:							
02/24/20	1.000	109.98	01/24/20	250.00	...	-140.02	Option sale to close-put <sup>25</sup>
NOW 04/17/2020 PUT \$200.00 / CUSIP: / Symbol:							
04/09/20	1.000	4.98	03/23/20	450.00	...	-445.02	Option sale to close-put <sup>25</sup>
OKTA 03/27/2020 PUT \$110.00 / CUSIP: / Symbol:							
03/25/20	1.000	64.98	03/23/20	200.00	...	-135.02	Option sale to close-put <sup>25</sup>
PTON 03/20/2020 CALL \$30.00 / CUSIP: / Symbol:							
2 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	2.000	9.98	03/06/20	60.00	...	-50.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	4.98	03/06/20	30.00	...	-25.02	2 of 2 - Option sale to close-call <sup>25</sup>
03/09/20	3.000	14.96	Various	90.00	...	-75.04	Total of 2 transactions

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
QQQ 01/03/2020 PUT \$210.00 / CUSIP: / Symbol:							
5 transactions for 01/02/20. Total proceeds and cost reported to the IRS.							
	5.000	19.99	12/26/19	165.00	...	-145.01	1 of 5 - Option sale to close-put <sup>25</sup>
	3.000	11.99	12/26/19	123.00	...	-111.01	2 of 5 - Option sale to close-put <sup>25</sup>
	5.000	19.98	12/27/19	190.00	...	-170.02	3 of 5 - Option sale to close-put <sup>25</sup>
	4.000	15.99	12/27/19	112.00	...	-96.01	4 of 5 - Option sale to close-put <sup>25</sup>
	1.000	4.00	12/27/19	28.00	...	-24.00	5 of 5 - Option sale to close-put <sup>25</sup>
01/02/20	18.000	71.95	Various	618.00	...	-546.05	Total of 5 transactions
QQQ 01/10/2020 PUT \$210.00 / CUSIP: / Symbol:							
2 transactions for 01/06/20. Total proceeds and cost reported to the IRS.							
	3.000	83.99	01/02/20	180.00	...	-96.01	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	27.99	01/02/20	60.00	...	-32.01	2 of 2 - Option sale to close-put <sup>25</sup>
01/06/20	4.000	111.98	Various	240.00	...	-128.02	Total of 2 transactions
QQQ 01/17/2020 PUT \$190.00 / CUSIP: / Symbol:							
3 transactions for 01/02/20. Total proceeds and cost reported to the IRS.							
	2.000	19.99	11/07/19	460.00	...	-440.01	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	10.00	11/15/19	189.00	...	-179.00	2 of 3 - Option sale to close-put <sup>25</sup>
	3.000	29.99	12/18/19	93.00	...	-63.01	3 of 3 - Option sale to close-put <sup>25</sup>
01/02/20	6.000	59.98	Various	742.00	...	-682.02	Total of 3 transactions
QQQ 02/21/2020 PUT \$195.00 / CUSIP: / Symbol:							
6 transactions for 02/11/20. Total proceeds and cost reported to the IRS.							
	2.000	1.99	01/03/20	174.00	...	-172.01	1 of 6 - Option sale to close-put <sup>25</sup>
	4.000	3.99	01/06/20	360.00	...	-356.01	2 of 6 - Option sale to close-put <sup>25</sup>
	4.000	3.98	01/08/20	236.00	...	-232.02	3 of 6 - Option sale to close-put <sup>25</sup>
	3.000	2.99	01/08/20	183.00	...	-180.01	4 of 6 - Option sale to close-put <sup>25</sup>
	3.000	2.98	01/09/20	162.00	...	-159.02	5 of 6 - Option sale to close-put <sup>25</sup>
	1.000	0.98	01/09/20	54.00	...	-53.02	6 of 6 - Option sale to close-put <sup>25</sup>
02/11/20	17.000	16.91	Various	1,169.00	...	-1,152.09	Total of 6 transactions

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
QQQ 02/28/2020 PUT \$220.00 / CUSIP: / Symbol:							
3 transactions for 02/25/20. Total proceeds and cost reported to the IRS.							
	1.000	289.98	02/25/20	185.00	...	104.98	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	401.98	02/25/20	189.00	...	212.98	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	409.98	02/25/20	160.00	...	249.98	3 of 3 - Option sale to close-put <sup>25</sup>
02/25/20	3.000	1,101.94	Various	534.00	...	567.94	Total of 3 transactions
QQQ 03/27/2020 PUT \$174.00 / CUSIP: / Symbol:							
2 transactions for 03/27/20. Total proceeds and cost reported to the IRS.							
	1.000	4.98	03/26/20	34.00	...	-29.02	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	4.98	03/26/20	34.00	...	-29.02	2 of 2 - Option sale to close-put <sup>25</sup>
03/27/20	2.000	9.96	Various	68.00	...	-58.04	Total of 2 transactions
QQQ 04/03/2020 PUT \$180.00 / CUSIP: / Symbol:							
04/03/20	1.000	26.98	04/02/20	135.00	...	-108.02	Option sale to close-put <sup>25</sup>
QQQ 04/17/2020 PUT \$150.00 / CUSIP: / Symbol:							
3 transactions for 04/07/20. Total proceeds and cost reported to the IRS.							
	1.000	8.99	03/26/20	197.00	...	-188.01	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	9.00	03/26/20	190.00	...	-181.00	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	8.99	03/26/20	170.00	...	-161.01	3 of 3 - Option sale to close-put <sup>25</sup>
04/07/20	3.000	26.98	Various	557.00	...	-530.02	Total of 3 transactions
QQQ 04/17/2020 PUT \$195.00 / CUSIP: / Symbol:							
04/14/20	1.000	17.98	04/13/20	361.02	...	-343.04	Option sale to close-put <sup>25</sup>
04/14/20	1.000	17.98	04/09/20	254.00	236.02 W	0.00	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>35.96</b>		<b>615.02</b>	<b>236.02 W</b>	<b>-343.04</b>	
SBUX 03/13/2020 PUT \$70.00 / CUSIP: / Symbol:							
03/09/20	1.000	124.98	03/06/20	110.00	...	14.98	Option sale to close-put <sup>25</sup>
SPY 03/09/2020 PUT \$275.00 / CUSIP: / Symbol:							
03/09/20	5.000	159.97	03/06/20	0.00	...	159.97	Short sale closed- put <sup>25</sup> Option written: 03/06/20

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
SPY 03/09/2020 PUT \$280.00 / CUSIP: / Symbol:							
2 transactions for 03/06/20. Total proceeds and cost reported to the IRS.							
	3.000	347.98	03/06/20	543.00	...	-195.02	1 of 2 - Option sale to close-put <sup>25</sup>
	2.000	231.98	03/06/20	362.00	...	-130.02	2 of 2 - Option sale to close-put <sup>25</sup>
03/06/20	5.000	579.96	Various	905.00	...	-325.04	Total of 2 transactions
SQ 04/17/2020 PUT \$40.00 / CUSIP: / Symbol:							
04/07/20	1.000	31.98	03/26/20	92.00	...	-60.02	Option sale to close-put <sup>25</sup>
TBT 03/13/2020 CALL \$21.00 / CUSIP: / Symbol:							
2 transactions for 03/06/20. Total proceeds and cost reported to the IRS.							
	6.000	11.98	03/04/20	60.00	...	-48.02	1 of 2 - Option sale to close-call <sup>25</sup>
	4.000	7.99	03/04/20	40.00	...	-32.01	2 of 2 - Option sale to close-call <sup>25</sup>
03/06/20	10.000	19.97	Various	100.00	...	-80.03	Total of 2 transactions
TQQQ 03/13/2020 CALL \$50.00 / CUSIP: / Symbol:							
2 transactions for 03/13/20. Total proceeds and cost reported to the IRS.							
	1.000	59.98	03/12/20	190.00	...	-130.02	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	259.98	03/12/20	200.00	...	59.98	2 of 2 - Option sale to close-call <sup>25</sup>
03/13/20	2.000	319.96	Various	390.00	...	-70.04	Total of 2 transactions
TQQQ 03/13/2020 CALL \$80.00 / CUSIP: / Symbol:							
03/09/20	1.000	44.98	03/06/20	430.00	...	-385.02	Option sale to close-call <sup>25</sup>
TSLA 02/28/2020 PUT \$750.00 / CUSIP: / Symbol:							
02/27/20	1.000	-39.03	02/26/20	0.00	...	-39.03	Short sale closed- put <sup>25</sup> Option written: 02/25/20
TSLA 02/28/2020 PUT \$800.00 / CUSIP: / Symbol:							
02/24/20	1.000	1,049.96	02/21/20	590.00	...	459.96	Option sale to close-put <sup>25</sup>
02/26/20	1.000	1,939.94	02/25/20	570.00	...	1,369.94	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>2,989.90</b>		<b>1,160.00</b>	...	<b>1,829.90</b>	
TSLA 03/13/2020 PUT \$510.00 / CUSIP: / Symbol:							
03/13/20	1.000	93.98	03/12/20	485.00	...	-391.02	Option sale to close-put <sup>25</sup>

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
TSLA 03/13/2020 PUT \$565.00 / CUSIP: / Symbol:							
03/12/20	1.000	1,549.95	03/11/20	395.00	...	1,154.95	Option sale to close-put <sup>25</sup>
TSLA 03/20/2020 PUT \$350.00 / CUSIP: / Symbol:							
03/23/20	1.000	734.97	03/20/20	0.00	...	734.97	Short sale closed- put <sup>25</sup> Option written: 03/16/20
TSLA 03/20/2020 PUT \$365.00 / CUSIP: / Symbol:							
03/20/20	1.000	74.98	03/19/20	1,740.00	...	-1,665.02	Option sale to close-put <sup>25</sup>
TSLA 03/20/2020 PUT \$395.00 / CUSIP: / Symbol:							
03/23/20	1.000	299.97	03/20/20	0.00	...	299.97	Short sale closed- put <sup>25</sup> Option written: 03/19/20
TSLA 03/20/2020 PUT \$400.00 / CUSIP: / Symbol:							
03/19/20	1.000	3,699.90	03/16/20	1,500.00	...	2,199.90	Option sale to close-put <sup>25</sup>
03/20/20	1.000	54.98	03/19/20	650.00	...	-595.02	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>3,754.88</b>		<b>2,150.00</b>	...	<b>1,604.88</b>	
TSLA 03/27/2020 CALL \$600.00 / CUSIP: / Symbol:							
03/27/20	1.000	8.98	03/26/20	123.00	...	-114.02	Option sale to close-call <sup>25</sup>
TSLA 03/27/2020 PUT \$300.00 / CUSIP: / Symbol:							
03/25/20	1.000	859.97	03/24/20	0.00	...	859.97	Short sale closed- put <sup>25</sup> Option written: 03/20/20
TSLA 03/27/2020 PUT \$350.00 / CUSIP: / Symbol:							
03/24/20	1.000	50.98	03/20/20	1,600.00	...	-1,549.02	Option sale to close-put <sup>25</sup>
TSLA 03/27/2020 PUT \$450.00 / CUSIP: / Symbol:							
03/25/20	1.000	139.98	03/24/20	500.00	...	-360.02	Option sale to close-put <sup>25</sup>
TSLA 03/27/2020 PUT \$500.00 / CUSIP: / Symbol:							
03/27/20	1.000	134.98	03/25/20	550.00	...	-415.02	Option sale to close-put <sup>25</sup>
TSLA 04/17/2020 PUT \$575.00 / CUSIP: / Symbol:							
04/15/20	1.000	31.98	04/13/20	405.00	...	-373.02	Option sale to close-put <sup>25</sup>

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

Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
USO 03/20/2020 PUT \$6.00 / CUSIP: / Symbol:							
03/12/20	2.000	57.98	03/10/20	52.00	...	5.98	Option sale to close-put <sup>25</sup>
UUP 03/27/2020 CALL \$28.00 / CUSIP: / Symbol:							
03/27/20	3.000	0.00	03/18/20	72.00	...	-72.00	Option expiration- long call
UUP 04/03/2020 CALL \$27.50 / CUSIP: / Symbol:							
3 transactions for 04/02/20. Total proceeds and cost reported to the IRS.							
	5.000	14.99	03/27/20	55.01	...	-40.02	1 of 3 - Option sale to close-call <sup>25</sup>
	5.000	14.98	03/27/20	40.00	...	-25.02	2 of 3 - Option sale to close-call <sup>25</sup>
	5.000	24.98	03/27/20	40.00	...	-15.02	3 of 3 - Option sale to close-call <sup>25</sup>
04/02/20	15.000	54.95	Various	135.01	...	-80.06	Total of 3 transactions
04/02/20	5.000	24.99	03/27/20	40.00	15.01 W	0.00	Option sale to close-call <sup>25</sup>
<b>Security total:</b>		<b>79.94</b>		<b>175.01</b>	<b>15.01 W</b>	<b>-80.06</b>	
UVXY 02/21/2020 CALL \$15.00 / CUSIP: / Symbol:							
01/31/20	1.000	178.98	01/24/20	68.00	...	110.98	Option sale to close-call <sup>25</sup>
3 transactions for 02/11/20. Total proceeds and cost reported to the IRS.							
	1.000	11.99	01/24/20	68.00	...	-56.01	1 of 3 - Option sale to close-call <sup>25</sup>
	1.000	11.99	02/03/20	120.00	...	-108.01	2 of 3 - Option sale to close-call <sup>25</sup>
	1.000	12.00	02/05/20	33.00	...	-21.00	3 of 3 - Option sale to close-call <sup>25</sup>
02/11/20	3.000	35.98	Various	221.00	...	-185.02	Total of 3 transactions
<b>Security total:</b>		<b>214.96</b>		<b>289.00</b>	...	<b>-74.04</b>	
UVXY 03/20/2020 CALL \$13.00 / CUSIP: / Symbol:							
2 transactions for 02/21/20. Total proceeds and cost reported to the IRS.							
	1.000	144.98	02/20/20	93.00	...	51.98	1 of 2 - Option sale to close-call <sup>25</sup>
	1.000	164.98	02/20/20	93.00	...	71.98	2 of 2 - Option sale to close-call <sup>25</sup>
02/21/20	2.000	309.96	Various	186.00	...	123.96	Total of 2 transactions
XLY 03/20/2020 PUT \$100.00 / CUSIP: / Symbol:							
2 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	1.000	209.98	03/06/20	116.00	...	93.98	1 of 2 - Option sale to close-put <sup>25</sup>
	1.000	229.98	03/06/20	116.00	...	113.98	2 of 2 - Option sale to close-put <sup>25</sup>
03/09/20	2.000	439.96	Various	232.00	...	207.96	Total of 2 transactions

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



Robinhood Securities LLC

Account 154372510

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

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

## **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
XLY 04/17/2020 PUT \$100.00 / CUSIP: / Symbol:							
3 transactions for 04/14/20. Total proceeds and cost reported to the IRS.							
	1.000	11.99	04/07/20	197.00	...	-185.01	1 of 3 - Option sale to close-put <sup>25</sup>
	1.000	11.99	04/09/20	79.00	...	-67.01	2 of 3 - Option sale to close-put <sup>25</sup>
	1.000	12.00	04/09/20	72.00	...	-60.00	3 of 3 - Option sale to close-put <sup>25</sup>
04/14/20	3.000	35.98	Various	348.00	...	-312.02	Total of 3 transactions
XLY 04/17/2020 PUT \$95.00 / CUSIP: / Symbol:							
04/09/20	1.000	26.98	04/08/20	121.02	...	-94.04	Option sale to close-put <sup>25</sup>
04/09/20	1.000	26.98	04/08/20	90.00	63.02 W	0.00	Option sale to close-put <sup>25</sup>
<b>Security total:</b>		<b>53.96</b>		<b>211.02</b>	<b>63.02 W</b>	<b>-94.04</b>	
ALPHA PRO TECH, LTD. / CUSIP: 020772109 / Symbol:							
02/13/20	25.000	131.02	01/30/20	159.50	...	-28.48	Sale <sup>25</sup>
CHESAPEAKE ENERGY CORP. / CUSIP: 165167107 / Symbol:							
03/26/20	1,000.000	191.42	03/24/20	198.90	...	-7.48	Sale <sup>25</sup>
COCRYSTAL PHARMA, INC. COMMON STOCK / CUSIP: 19188J300 / Symbol:							
4 transactions for 03/09/20. Total proceeds and cost reported to the IRS.							
	50.000	88.49	03/06/20	52.50	...	35.99	1 of 4 - Sale <sup>25</sup>
	100.000	146.49	03/06/20	105.00	...	41.49	2 of 4 - Sale <sup>25</sup>
	100.000	158.99	03/06/20	105.00	...	53.99	3 of 4 - Sale <sup>25</sup>
	150.000	265.49	03/06/20	157.50	...	107.99	4 of 4 - Sale <sup>25</sup>
03/09/20	400.000	659.46	Various	420.00	...	239.46	Total of 4 transactions
03/10/20	100.000	120.99	03/06/20	105.00	...	15.99	Sale <sup>25</sup>
<b>Security total:</b>		<b>780.45</b>		<b>525.00</b>	...	<b>255.45</b>	
CREDIT SUISSE AG NASSAU BRH VE LOCITYSHARES DAILY 2X VIX SHOR T TERM ETN / CUSIP: 22542D258 / Symbol:							
03/27/20	1.000	370.59	03/26/20	341.69	...	28.90	Sale <sup>25</sup>
MODERNA, INC. COMMON STOCK / CUSIP: 60770K107 / Symbol:							
2 transactions for 03/06/20. Total proceeds and cost reported to the IRS.							
	50.000	1,455.36	03/06/20	1,420.00	...	35.36	1 of 2 - Sale <sup>25</sup>
	50.000	1,465.47	03/06/20	1,420.00	...	45.47	2 of 2 - Sale <sup>25</sup>
03/06/20	100.000	2,920.83	Various	2,840.00	...	80.83	Total of 2 transactions

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

Robinhood Securities LLC

Account 154372510

## Proceeds from Broker and Barter Exchange Transactions

2020 1099-B\* OMB No. 1545-0715

(continued)

02/14/2021

**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
PROSHARES TRUST ULTRASHORT LEH MAN 20+ YEAR TREASURY / CUSIP: 74347B201 / Symbol:							
03/09/20	100.000	1,534.95	03/06/20	1,761.80	...	-226.85	Sale <sup>25</sup>
PROSHARES ULTRAPRO SHORT QQQ / CUSIP: 74347G408 / Symbol:							
2 transactions for 02/27/20. Total proceeds and cost reported to the IRS.							
	50.000	1,113.97	02/26/20	1,002.42	...	111.55	1 of 2 - Sale <sup>25</sup>
	50.000	1,115.97	02/26/20	1,002.42	...	113.55	2 of 2 - Sale <sup>25</sup>
02/27/20	100.000	2,229.94	Various	2,004.84	...	225.10	Total of 2 transactions
<b>Totals :</b>		<b>46,320.53</b>		<b>44,200.94</b>	<b>4,542.27 W</b>	<b>6,661.86</b>	

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

Robinhood Securities LLC

2020 End Notes for Account 154372510

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

---

**Common Instructions for Recipient**

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

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

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

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

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

**Keep tax documents for your records.****1099-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.

**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.

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

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

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040 or 1040-SR), and which checkbox is applicable. See the instructions for your Schedule D (Form 1040 or 1040-SR) and/or Form 8949.

**Line 1a.** Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Line 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Line 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Line 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040 or 1040-SR)

**Instructions for Recipient**

(whichever is applicable) as explained in the Instructions for Schedule D (Form 1040 or 1040-SR).

**Line 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040 or 1040-SR), or Pub. 550 for details.

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

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

**Line 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method 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, box 2 may be blank.

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

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

**Line 5.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Line 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Line 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040 or 1040-SR) instructions. The broker should advise you of any losses on a separate statement.

**Line 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040 or 1040-SR) as you may be able to report your transaction directly on Schedule D (Form 1040 or 1040-SR). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Line 13.** Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

**Lines 14-16.** Show state(s)/local income tax information.

**Future developments.** For the latest information about any developments related to Form 1099-B and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099B](http://www.irs.gov/Form1099B).