



Dashmeet Anand  
123 2nd Avenue North 617  
Seattle, WA 98109

**Master Account Number for Import:**  
737957308  
**Document ID for Import:**  
8F7NY7310JB

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

737957308 - Robinhood Securities LLC

**New for 2023 Tax Year** - 1099 tax forms for Robinhood Markets Inc. will be displayed using an aggregated format based on key tax lot criteria. We have done this to reduce the size of your overall tax package, as well as to help make your tax documents easier to use. This new format still provides you with all the information you need to file your taxes.

**Robinhood Retirements Accounts** - If you had any reportable distributions or contributions within a Robinhood Retirement account, your 2023 tax forms 1099-R and/or 5498 will be delivered separately. Retirement accounts will be reported under Robinhood Securities LLC and will have their own unique Doc IDs for import to tax software providers such as TurboTax or H&R Block.

**Filing Your Taxes** - If filing through tax service providers, such as TurboTax or H&R Block, please utilize the Master Account Number and Document ID listed above. The Document ID is necessary in order to directly import your 1099 data into the tax software so that you do not need to manually enter each transaction. Please note that tax software providers may have limits on the total number of transactions that can be directly imported using the Document ID.

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<b>Robinhood Markets Inc. as agent for Robinhood Securities LLC</b> 85 Willow Road Menlo Park, CA 94025 Customer Service: 650-940-2700  PAYER'S TIN: 46-4364776	<b>Tax Information</b> <b>Account 737957308</b>  Dashmeet Anand 123 2nd Avenue North 617 Seattle, WA 98109  RECIPIENT'S TIN: XXX-XX-3249	Statement Date: 02/12/2024	2023
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**Summary Information**

<p><b>DIVIDENDS AND DISTRIBUTIONS</b>      <b>2023 1099-DIV*</b>      OMB No. 1545-0110</p> <p>1a- Total ordinary dividends (includes lines 1b, 5, 2e)      0.00</p> <p>1b- Qualified dividends      0.00</p> <p>2a- Total capital gain distributions (includes lines 2b, 2c, 2d, 2f)      0.00</p> <p>2b- Unrecaptured Section 1250 gain      0.00</p> <p>2c- Section 1202 gain      0.00</p> <p>2d- Collectibles (28%) gain      0.00</p> <p>2e- Section 897 ordinary dividends      0.00</p> <p>2f- Section 897 capital gain      0.00</p> <p>3- Nondividend distributions      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>5- Section 199A dividends      0.00</p> <p>6- Investment expenses      0.00</p> <p>8- Foreign country or US possession:      7- Foreign tax paid:      0.00</p> <p>9- Cash liquidation distributions      0.00</p> <p>10- Noncash liquidation distributions      0.00</p> <p>12- Exempt-interest dividends (includes line 13)      0.00</p> <p>13- Specified private activity bond interest dividends (AMT)      0.00</p>	<p><b>MISCELLANEOUS INFORMATION</b>      <b>2023 1099-MISC*</b>      OMB No. 1545-0115</p> <p>2- Royalties      0.00</p> <p>3- Other income      0.00</p> <p><b>4- Federal income tax withheld</b>      <b>0.00</b></p> <p>8- Substitute payments in lieu of dividends or interest      0.00</p> <p><b>SECTION 1256 CONTRACTS</b>      <b>2023 1099-B*</b>      OMB No. 1545-0715</p> <p>8- Profit or (loss) realized in 2023 on closed contracts      0.00</p> <p>9- Unrealized profit or (loss) on open contracts-12/31/2022      0.00</p> <p>10- Unrealized profit or (loss) on open contracts-12/31/2023      0.00</p> <p>11- Aggregate profit or (loss) on contracts      0.00</p> <p style="text-align: center;"><i>If applicable, proceeds from sale transactions appear summarized below and are detailed in subsequent sections of this document.</i></p> <p><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.</b></p>
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**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)	63,123.18	69,842.91	0.00	1,668.52	-5,051.21
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>63,123.18</b>	<b>69,842.91</b>	<b>0.00</b>	<b>1,668.52</b>	<b>-5,051.21</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>63,123.18</b>	<b>69,842.91</b>	<b>0.00</b>	<b>1,668.52</b>	<b>-5,051.21</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 2023 may require an amended tax form.

Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 737957308

## Summary Information

2023

(continued)

02/12/2024

### INTEREST INCOME

2023 1099-INT

OMB No. 1545-0112

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

1- Interest income (not included in line 3)	151.92
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: 6- Foreign tax paid:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
<i>Tax-exempt obligations (covered lots)</i>	0.00
<i>Tax-exempt private activity obligations (AMT, covered lots)</i>	0.00
14- Tax-exempt and tax credit bond CUSIP number	See detail
FATCA filing requirement [ ]	

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

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

### STATE TAX WITHHELD

*Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.*

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

### ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

*Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).*

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

### RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

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

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	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 Markets Inc. as agent for  
Robinhood Securities LLC

Account 737957308

## Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

02/12/2024

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

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

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

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

FATCA filing requirement [ ]

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Additional information
AMD 08/04/2023 PUT \$105.00 / CUSIP: / Symbol:							
08/02/23	1.000	54.98	08/01/23	55.00	...	-0.02	Option sale to close-put <sup>25</sup>
AMD 09/22/2023 PUT \$106.00 / CUSIP: / Symbol:							
09/14/23	5.000	859.98	Various	1,003.00	...	-143.02	Total of 3 transactions
AMD 11/03/2023 PUT \$99.00 / CUSIP: / Symbol:							
10/24/23	2.000	711.92	Various	834.20	...	-122.28	Total of 2 transactions
10/24/23	2.000	719.92	Various	794.06	74.14 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,431.84</b>		<b>1,628.26</b>	<b>74.14 W</b>	<b>-122.28</b>	
AMZN 09/08/2023 CALL \$138.00 / CUSIP: / Symbol:							
09/01/23	1.000	136.98	09/01/23	128.00	...	8.98	Option sale to close-call <sup>25</sup>
BABA 09/29/2023 CALL \$88.00 / CUSIP: / Symbol:							
09/22/23	5.000	784.92	Various	775.00	...	9.92	Total of 4 transactions

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Robinhood Markets Inc. as agent for  
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### Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
BABA 09/29/2023 CALL \$89.00 / CUSIP: / Symbol:							
09/22/23	5.000	624.98	Various	725.00	...	-100.02	Total of 4 transactions
COIN 01/05/2024 PUT \$130.00 / CUSIP: / Symbol:							
12/07/23	1.000	784.95	12/06/23	780.03	...	4.92	Option sale to close-put <sup>25</sup>
COIN 09/29/2023 PUT \$72.00 / CUSIP: / Symbol:							
09/21/23	30.000	5,009.87	Various	5,328.07	...	-318.20	Total of 13 transactions
09/21/23	18.000	2,945.93	Various	3,854.03	908.10 W	0.00	Total of 9 transactions
	<b>Security total:</b>	<b>7,955.80</b>		<b>9,182.10</b>	<b>908.10 W</b>	<b>-318.20</b>	
COIN 11/03/2023 PUT \$73.00 / CUSIP: / Symbol:							
10/23/23	4.000	1,559.97	Various	1,820.00	...	-260.03	Total of 4 transactions
DG 09/29/2023 PUT \$113.00 / CUSIP: / Symbol:							
09/20/23	3.000	659.98	Various	570.00	...	89.98	Total of 2 transactions
DOCU 09/29/2023 PUT \$43.00 / CUSIP: / Symbol:							
09/21/23	6.000	701.94	Various	498.00	...	203.94	Total of 3 transactions
GOOGL 02/03/2023 CALL \$125.00 / CUSIP: / Symbol:							
02/03/23	1.000	0.00	02/02/23	38.00	...	-38.00	Option expiration- long call
GOOGL 02/03/2023 PUT \$95.00 / CUSIP: / Symbol:							
02/03/23	1.000	0.00	02/02/23	39.00	...	-39.00	Option expiration- long put
META 09/15/2023 CALL \$305.00 / CUSIP: / Symbol:							
09/08/23	2.000	619.96	Various	650.00	...	-30.04	Total of 2 transactions
META 09/15/2023 CALL \$307.50 / CUSIP: / Symbol:							
09/07/23	1.000	569.98	09/07/23	485.00	...	84.98	Option sale to close-call <sup>25</sup>
META 09/15/2023 CALL \$310.00 / CUSIP: / Symbol:							
09/11/23	2.000	513.98	Various	622.00	...	-108.02	Total of 2 transactions

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Robinhood Markets Inc. as agent for  
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Account 737957308

### Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
META 09/15/2023 PUT \$295.00 / CUSIP: / Symbol:							
09/06/23	1.000	474.98	09/06/23	415.00	...	59.98	Option sale to close-put <sup>25</sup>
09/07/23	1.000	424.99	09/07/23	415.00	...	9.99	Option sale to close-put <sup>25</sup>
09/07/23	1.000	424.99	09/07/23	430.00	5.01 W	0.00	Option sale to close-put <sup>25</sup>
09/08/23	4.000	1,324.94	Various	1,341.03	...	-16.09	Total of 4 transactions
09/08/23	2.000	589.98	09/08/23	660.00	70.02 W	0.00	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>3,239.88</b>		<b>3,261.03</b>	<b>75.03 W</b>	<b>53.88</b>	
META 09/15/2023 PUT \$300.00 / CUSIP: / Symbol:							
09/11/23	3.000	803.98	Various	925.00	...	-121.02	Total of 2 transactions
META 09/15/2023 PUT \$302.50 / CUSIP: / Symbol:							
09/12/23	3.000	1,079.94	Various	926.00	...	153.94	Total of 3 transactions
META 09/22/2023 PUT \$307.50 / CUSIP: / Symbol:							
09/15/23	6.000	2,860.88	Various	2,216.00	...	644.88	Total of 6 transactions
NVDA 01/19/2024 CALL \$450.00 / CUSIP: / Symbol:							
02/08/23	33.000	12,209.64	Various	16,392.00	...	-4,182.36	Total of 10 transactions
NVDA 12/29/2023 CALL \$492.50 / CUSIP: / Symbol:							
12/29/23	1.000	67.95	12/29/23	63.03	...	4.92	Option sale to close-call <sup>25</sup>
ORCL 11/03/2023 PUT \$102.00 / CUSIP: / Symbol:							
10/23/23	7.000	1,161.97	Various	1,372.00	...	-210.03	Total of 2 transactions
ORCL 11/03/2023 PUT \$103.00 / CUSIP: / Symbol:							
10/24/23	5.000	714.83	10/24/23	815.15	...	-100.32	Option sale to close-put <sup>25</sup>
QQQ 09/14/2023 PUT \$375.00 / CUSIP: / Symbol:							
09/13/23	1.000	131.98	09/13/23	139.00	...	-7.02	Option sale to close-put <sup>25</sup>
RBLX 09/22/2023 CALL \$28.50 / CUSIP: / Symbol:							
09/13/23	10.000	419.88	Various	440.00	...	-20.12	Total of 6 transactions

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Robinhood Markets Inc. as agent for  
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### Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
RBLX 09/22/2023 PUT \$27.00 / CUSIP: / Symbol:							
09/13/23	17.000	888.88	Various	934.04	...	-45.16	Total of 7 transactions
09/13/23	3.000	233.96	Various	243.00	9.04 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,122.84</b>		<b>1,177.04</b>	<b>9.04 W</b>	<b>-45.16</b>	
RH 09/22/2023 PUT \$297.50 / CUSIP: / Symbol:							
09/13/23	2.000	429.98	Various	560.00	...	-130.02	Total of 2 transactions
ROKU 09/29/2023 PUT \$70.00 / CUSIP: / Symbol:							
09/22/23	5.000	574.93	Various	830.03	...	-255.10	Total of 4 transactions
09/22/23	5.000	574.97	Various	690.00	115.03 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>1,149.90</b>		<b>1,520.03</b>	<b>115.03 W</b>	<b>-255.10</b>	
SPY 01/09/2023 CALL \$393.00 / CUSIP: / Symbol:							
01/09/23	1.000	73.98	01/09/23	73.00	...	0.98	Option sale to close-call <sup>25</sup>
SPY 01/09/2023 PUT \$392.00 / CUSIP: / Symbol:							
01/09/23	1.000	90.98	01/09/23	65.00	...	25.98	Option sale to close-put <sup>25</sup>
SPY 01/17/2023 PUT \$398.00 / CUSIP: / Symbol:							
01/17/23	2.000	167.98	Various	98.00	...	69.98	Total of 2 transactions
SPY 01/19/2023 CALL \$390.00 / CUSIP: / Symbol:							
01/19/23	3.000	212.98	01/19/23	180.00	...	32.98	Option sale to close-call <sup>25</sup>
SPY 01/19/2023 PUT \$388.00 / CUSIP: / Symbol:							
01/19/23	1.000	66.98	01/19/23	78.00	...	-11.02	Option sale to close-put <sup>25</sup>
SPY 01/25/2023 PUT \$394.00 / CUSIP: / Symbol:							
01/25/23	2.000	115.96	Various	196.00	...	-80.04	Total of 2 transactions
SPY 01/26/2023 CALL \$403.00 / CUSIP: / Symbol:							
01/26/23	4.000	269.96	Various	226.00	...	43.96	Total of 2 transactions
SPY 02/03/2023 CALL \$418.00 / CUSIP: / Symbol:							
02/02/23	1.000	192.98	02/02/23	173.00	...	19.98	Option sale to close-call <sup>25</sup>

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 737957308

Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SPY 02/03/2023 PUT \$411.00 / CUSIP: / Symbol: 02/03/23	2.000	147.98	Various	108.00	...	39.98	Total of 2 transactions
SPY 02/06/2023 PUT \$408.00 / CUSIP: / Symbol: 02/06/23	2.000	215.98	02/06/23	166.00	...	49.98	Option sale to close-put <sup>25</sup>
SPY 02/09/2023 CALL \$410.00 / CUSIP: / Symbol: 02/09/23	3.000	131.98	02/09/23	189.00	...	-57.02	Option sale to close-call <sup>25</sup>
SPY 04/12/2023 PUT \$408.00 / CUSIP: / Symbol: 04/12/23	1.000	29.98	04/12/23	11.00	...	18.98	Option sale to close-put <sup>25</sup>
SPY 04/12/2023 PUT \$409.00 / CUSIP: / Symbol: 04/13/23	2.000	-80.02	04/12/23	0.00	...	-80.02	Short sale closed- put <sup>25</sup> Option written: 04/12/23
SPY 04/12/2023 PUT \$411.00 / CUSIP: / Symbol: 04/12/23	1.000	173.98	04/12/23	70.00	...	103.98	Option sale to close-put <sup>25</sup>
SPY 04/17/2023 CALL \$413.00 / CUSIP: / Symbol: 04/17/23	1.000	16.98	04/14/23	96.00	...	-79.02	Option sale to close-call <sup>25</sup>
SPY 04/17/2023 CALL \$415.00 / CUSIP: / Symbol: 04/18/23	2.000	54.98	Various	0.00	...	54.98	Total of 2 transactions
SPY 04/17/2023 CALL \$416.00 / CUSIP: / Symbol: 04/17/23	1.000	1.98	04/14/23	16.00	...	-14.02	Option sale to close-call <sup>25</sup>
SPY 04/17/2023 PUT \$409.00 / CUSIP: / Symbol: 04/17/23	1.000	2.98	04/14/23	29.00	...	-26.02	Option sale to close-put <sup>25</sup>
SPY 04/17/2023 PUT \$410.00 / CUSIP: / Symbol: 04/18/23	2.000	73.98	04/17/23	0.00	...	73.98	Short sale closed- put <sup>25</sup> Option written: 04/14/23
SPY 04/17/2023 PUT \$412.00 / CUSIP: / Symbol: 04/17/23	1.000	53.98	04/14/23	105.00	...	-51.02	Option sale to close-put <sup>25</sup>

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 737957308

### Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
SPY 05/30/2023 CALL \$423.00 / CUSIP: / Symbol:							
05/30/23	1.000	71.98	05/26/23	64.00	...	7.98	Option sale to close-call <sup>25</sup>
SPY 05/30/2023 PUT \$415.00 / CUSIP: / Symbol:							
05/30/23	1.000	3.98	05/26/23	62.00	...	-58.02	Option sale to close-put <sup>25</sup>
SPY 08/15/2023 PUT \$445.00 / CUSIP: / Symbol:							
08/11/23	1.000	161.98	08/11/23	188.00	...	-26.02	Option sale to close-put <sup>25</sup>
SPY 08/21/2023 PUT \$437.00 / CUSIP: / Symbol:							
08/17/23	1.000	205.98	08/17/23	165.00	...	40.98	Option sale to close-put <sup>25</sup>
SPY 08/22/2023 CALL \$438.00 / CUSIP: / Symbol:							
08/18/23	1.000	165.98	08/18/23	177.02	...	-11.04	Option sale to close-call <sup>25</sup>
08/18/23	1.000	150.98	08/18/23	162.00	11.02 W	0.00	Option sale to close-call <sup>25</sup>
	<b>Security total:</b>	<b>316.96</b>		<b>339.02</b>	<b>11.02 W</b>	<b>-11.04</b>	
SPY 08/24/2023 PUT \$436.00 / CUSIP: / Symbol:							
08/22/23	1.000	120.98	08/22/23	142.00	...	-21.02	Option sale to close-put <sup>25</sup>
SPY 08/28/2023 PUT \$442.00 / CUSIP: / Symbol:							
08/23/23	1.000	228.98	08/23/23	228.00	...	0.98	Option sale to close-put <sup>25</sup>
SPY 08/29/2023 CALL \$442.00 / CUSIP: / Symbol:							
08/24/23	2.000	305.98	Various	330.00	...	-24.02	Total of 2 transactions
SPY 08/29/2023 PUT \$437.00 / CUSIP: / Symbol:							
08/24/23	3.000	552.96	Various	591.00	...	-38.04	Total of 2 transactions
SPY 08/31/2023 CALL \$444.00 / CUSIP: / Symbol:							
08/28/23	2.000	382.96	Various	320.00	...	62.96	Total of 2 transactions
SPY 08/31/2023 PUT \$440.00 / CUSIP: / Symbol:							
08/28/23	1.000	165.98	08/28/23	186.00	...	-20.02	Option sale to close-put <sup>25</sup>
SPY 09/01/2023 PUT \$447.00 / CUSIP: / Symbol:							
08/29/23	4.000	652.94	Various	654.00	...	-1.06	Total of 3 transactions

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 737957308

### Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SPY 09/05/2023 PUT \$445.00 / CUSIP: / Symbol:							
08/30/23	2.000	155.98	Various	236.00	...	-80.02	Total of 2 transactions
SPY 09/05/2023 PUT \$450.00 / CUSIP: / Symbol:							
08/30/23	2.000	373.98	Various	374.00	...	-0.02	Total of 2 transactions
SPY 09/06/2023 PUT \$450.00 / CUSIP: / Symbol:							
08/31/23	2.000	257.98	Various	302.02	...	-44.04	Total of 2 transactions
08/31/23	2.000	267.98	Various	296.00	28.02 W	0.00	Total of 2 transactions
	<b>Security total:</b>	<b>525.96</b>		<b>598.02</b>	<b>28.02 W</b>	<b>-44.04</b>	
SPY 09/07/2023 CALL \$453.00 / CUSIP: / Symbol:							
09/01/23	2.000	305.98	09/01/23	360.00	...	-54.02	Option sale to close-call <sup>25</sup>
SPY 10/06/2023 PUT \$425.00 / CUSIP: / Symbol:							
10/02/23	5.000	1,608.93	Various	1,482.01	...	126.92	Total of 5 transactions
10/02/23	2.000	627.99	10/02/23	636.00	8.01 W	0.00	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>2,236.92</b>		<b>2,118.01</b>	<b>8.01 W</b>	<b>126.92</b>	
SPY 12/28/2023 CALL \$475.00 / CUSIP: / Symbol:							
12/22/23	1.000	215.95	12/21/23	111.03	...	104.92	Option sale to close-call <sup>25</sup>
SPY 12/28/2023 PUT \$466.00 / CUSIP: / Symbol:							
12/21/23	1.000	58.95	12/21/23	112.03	...	-53.08	Option sale to close-put <sup>25</sup>
SQ 09/15/2023 CALL \$56.00 / CUSIP: / Symbol:							
09/11/23	5.000	215.92	Various	305.00	...	-89.08	Total of 4 transactions
SQ 09/15/2023 PUT \$52.50 / CUSIP: / Symbol:							
09/08/23	4.000	389.96	Various	348.02	...	41.94	Total of 2 transactions
09/08/23	5.000	359.98	09/08/23	390.00	30.02 W	0.00	Option sale to close-put <sup>25</sup>
09/11/23	10.000	379.97	Various	540.00	...	-160.03	Total of 3 transactions
	<b>Security total:</b>	<b>1,129.91</b>		<b>1,278.02</b>	<b>30.02 W</b>	<b>-118.09</b>	
SQ 09/29/2023 PUT \$49.00 / CUSIP: / Symbol:							
09/20/23	10.000	1,165.95	Various	907.00	...	258.95	Total of 7 transactions

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 737957308

## Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional information
SQ 10/27/2023 PUT \$43.50 / CUSIP: / Symbol:							
10/20/23	9.000	881.97	Various	1,062.06	...	-180.09	Total of 4 transactions
10/20/23	18.000	1,619.94	Various	1,989.03	369.09 W	0.00	Total of 4 transactions
	<b>Security total:</b>	<b>2,501.91</b>		<b>3,051.09</b>	<b>369.09 W</b>	<b>-180.09</b>	
TQQQ 08/25/2023 CALL \$40.50 / CUSIP: / Symbol:							
08/24/23	1.000	96.98	08/23/23	74.00	...	22.98	Option sale to close-call <sup>25</sup>
TQQQ 08/25/2023 PUT \$39.00 / CUSIP: / Symbol:							
08/24/23	1.000	29.98	08/23/23	77.00	...	-47.02	Option sale to close-put <sup>25</sup>
TSLA 04/21/2023 CALL \$187.50 / CUSIP: / Symbol:							
04/17/23	1.000	581.98	04/13/23	738.00	...	-156.02	Option sale to close-call <sup>25</sup>
TSLA 04/21/2023 CALL \$192.50 / CUSIP: / Symbol:							
04/18/23	2.000	277.98	04/17/23	0.00	...	277.98	Short sale closed- call <sup>25</sup> Option written: 04/13/23
TSLA 04/21/2023 CALL \$197.50 / CUSIP: / Symbol:							
04/17/23	1.000	252.98	04/13/23	373.00	...	-120.02	Option sale to close-call <sup>25</sup>
TSLA 04/21/2023 PUT \$172.50 / CUSIP: / Symbol:							
04/17/23	1.000	248.98	04/13/23	346.00	...	-97.02	Option sale to close-put <sup>25</sup>
TSLA 04/21/2023 PUT \$177.50 / CUSIP: / Symbol:							
04/18/23	2.000	203.98	04/17/23	0.00	...	203.98	Short sale closed- put <sup>25</sup> Option written: 04/13/23
TSLA 04/21/2023 PUT \$182.50 / CUSIP: / Symbol:							
04/17/23	1.000	606.98	04/13/23	712.00	...	-105.02	Option sale to close-put <sup>25</sup>
TSLA 07/21/2023 CALL \$342.50 / CUSIP: / Symbol:							
07/20/23	1.000	1.98	07/19/23	124.00	...	-122.02	Option sale to close-call <sup>25</sup>
TSLA 07/21/2023 PUT \$260.00 / CUSIP: / Symbol:							
07/20/23	1.000	52.98	07/19/23	121.00	...	-68.02	Option sale to close-put <sup>25</sup>

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Robinhood Markets Inc. as agent for  
Robinhood Securities LLC

Account 737957308

Proceeds from Broker and Barter Exchange Transactions

2023 1099-B\* OMB No. 1545-0715

(continued)

02/12/2024

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

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

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

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

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	7- Loss not allowed (X) also not reported (Z)	Gain or loss(-) & Additional information
TSLA 09/08/2023 PUT \$247.50 / CUSIP: / Symbol:							
09/01/23	1.000	524.98	09/01/23	335.00	...	189.98	Option sale to close-put <sup>25</sup>
TSLA 09/15/2023 PUT \$240.00 / CUSIP: / Symbol:							
09/07/23	1.000	399.98	09/07/23	506.02	...	-106.04	Option sale to close-put <sup>25</sup>
09/07/23	1.000	413.98	09/07/23	455.00	41.02 W	0.00	Option sale to close-put <sup>25</sup>
	<b>Security total:</b>	<b>813.96</b>		<b>961.02</b>	<b>41.02 W</b>	<b>-106.04</b>	
TSLA 10/20/2023 CALL \$245.00 / CUSIP: / Symbol:							
10/18/23	1.000	689.98	10/18/23	710.00	...	-20.02	Option sale to close-call <sup>25</sup>
TSLA 10/27/2023 PUT \$215.00 / CUSIP: / Symbol:							
10/19/23	3.000	899.98	10/19/23	1,005.00	...	-105.02	Option sale to close-put <sup>25</sup>
UPST 10/27/2023 PUT \$28.50 / CUSIP: / Symbol:							
10/18/23	6.000	1,109.96	Various	864.00	...	245.96	Total of 4 transactions
<b>Totals :</b>		<b>63,123.18</b>		<b>69,842.91</b>	<b>1,668.52 W</b>	<b>-5,051.21</b>	

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Robinhood Markets Inc. as agent for  
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Account 737957308

### Detail for Interest Income

2023

02/12/2024

*This section of your tax information statement contains the payment level detail of taxable interest and associated bond premium. Market discount will be shown here only if you have elected to recognize it currently rather than at the time of sale or maturity. Bond premium and market discount for covered tax lots are totaled on Form 1099-INT and reported to the IRS. For noncovered tax lots, they are totaled and presented beneath the 1099-INT for informational purposes and are not reported to the IRS.*

*To provide a complete picture of activity for each investment, we also include here nonreportable transactions such as accrued interest paid on purchases and payment or receipt of nonqualified interest. Other amounts, such as federal, state and foreign tax withheld and investment expenses are shown as negative amounts but do not net against the reportable income totals.*

Security description	CUSIP and/or symbol	Date	Amount	Transaction type	Notes
INTEREST PAYMENT		01/31/23	0.24	Interest	
		02/28/23	10.18	Interest	
		03/31/23	15.53	Interest	
		04/28/23	15.01	Interest	
		05/31/23	15.55	Interest	
		06/30/23	15.00	Interest	
		07/31/23	15.42	Interest	
		08/31/23	13.50	Interest	
		09/29/23	13.04	Interest	
		10/31/23	13.71	Interest	
		11/30/23	12.58	Interest	
		12/29/23	12.16	Interest	
			151.92	Total Interest	
			<b>151.92</b>	<b>Total Interest</b>	

Robinhood Markets Inc. as agent for  
Robinhood Securities LLC  
2023

## Non-Reportable Actions

Account 737957308

02/12/2024

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
BRIACELL THERAPEUTICS CORP. CO MMON SHARES	10778Y302	09/05/23	-0.24	0.00	Merger	
BRIACELL THERAPEUTICS CORP. CO MMON SHARES	107930109	09/05/23	0.24	0.00	Merger	
BRIACELL THERAPEUTICS CORP.	107931107	09/25/23	0.24	0.00	Exchange	
BRIACELL THERAPEUTICS CORP. C ONTRA CUSIP	107CNT016	09/05/23	0.24	0.00	Merger	
		09/25/23	-0.24	0.00	Exchange	
QQQ 01/19/2024 CALL \$499.78	QQQ 01/19/24 C 499.780	12/27/23	54.00	0.00	Merger	
QQQ 01/19/2024 CALL \$500.00	QQQ 01/19/24 C 500.000	12/27/23	-54.00	0.00	Merger	

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 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-INT Instructions for Recipient**

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer must generally report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**Line 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in line 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during the calendar year on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the instructions above for a taxable covered security acquired at a premium.

**Line 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 to see where to take the deduction.

**Line 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in line 1. See the instructions above for a taxable covered security acquired at a premium.

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

**Line 5.** Any amount shown is your share of investment expenses of a singleclass REMIC. This amount is included in line 1. Note: This amount is not deductible.

**Line 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Line 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Line 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Forms 1040. This amount may be subject to backup withholding. See Line 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Line 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in line 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Line 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5),

**Instructions for Recipient**

shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Forms 1040. Market discount on a tax-exempt security is includable in taxable income as interest income.

**Line 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this line for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 1. If the amount in line 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Line 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this line, see the Instructions for Schedule B (Form 1040) to determine the net amount of interest includable in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this line for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in line 3. If the amount in line 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Line 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this line, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this line for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in line 8 or 9, whichever is applicable. If the amount in line 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Line 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Lines 15-17.** State tax withheld reporting lines.

**Future developments.** For the latest information about developments related to Form 1099-INT and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/Form1099INT](http://www.irs.gov/Form1099INT).

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

**1099-B Instructions for Recipient**

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

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

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

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

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

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

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

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

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

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

**Line 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method is generally treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

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

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

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

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

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

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

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

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

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

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

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