

**Fill in this information to identify the case:**

Debtor InVivo Therapeutics Holdings Corp.

United States Bankruptcy Court for the: \_\_\_\_\_ District of Delaware  
(State)

Case number 24-10138

**Official Form 410  
Proof of Claim**

**04/22**

**Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense. Make such a request according to 11 U.S.C. § 503.**

**Filers must leave out or redact** information that is entitled to privacy on this form or on any attached documents. Attach redacted copies or any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. **Do not send original documents;** they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

**Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.**

**Part 1: Identify the Claim**

<p><b>1. Who is the current creditor?</b></p>	<p><u>Dinanath Gangapersad</u></p> <p>Name of the current creditor (the person or entity to be paid for this claim)</p> <p>Other names the creditor used with the debtor _____</p>	
<p><b>2. Has this claim been acquired from someone else?</b></p>	<p><input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Yes. From whom? _____</p>	
<p><b>3. Where should notices and payments to the creditor be sent?</b></p> <p>Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)</p>	<p><b>Where should notices to the creditor be sent?</b></p> <p>See summary page</p>	<p><b>Where should payments to the creditor be sent? (if different)</b></p>
	<p>Contact phone <u>718 704-9663</u></p> <p>Contact email <u>dinesh.gangapersad@gmail.com</u></p>	<p>Contact phone _____</p> <p>Contact email _____</p>
	<p>Uniform claim identifier for electronic payments in chapter 13 (if you use one):</p> <p>_____</p>	
<p><b>4. Does this claim amend one already filed?</b></p>	<p><input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY</p>	
<p><b>5. Do you know if anyone else has filed a proof of claim for this claim?</b></p>	<p><input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Yes. Who made the earlier filing? _____</p>	



**Part 2: Give Information About the Claim as of the Date the Case Was Filed**

6. Do you have any number you use to identify the debtor?  No  
 Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: \_\_\_\_ \_

7. How much is the claim? \$ 16166.25. Does this amount include interest or other charges?  
 No  
 Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card.  
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).  
Limit disclosing information that is entitled to privacy, such as health care information.  
General unsecured - Stockholder

9. Is all or part of the claim secured?  No  
 Yes. The claim is secured by a lien on property.  
**Nature or property:**  
 Real estate: If the claim is secured by the debtor's principle residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.  
 Motor vehicle  
 Other. Describe: \_\_\_\_\_  
**Basis for perfection:** \_\_\_\_\_  
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)  
**Value of property:** \$ \_\_\_\_\_  
**Amount of the claim that is secured:** \$ \_\_\_\_\_  
**Amount of the claim that is unsecured:** \$ \_\_\_\_\_ (The sum of the secured and unsecured amount should match the amount in line 7.)  
**Amount necessary to cure any default as of the date of the petition:** \$ \_\_\_\_\_  
**Annual Interest Rate** (when case was filed) \_\_\_\_\_ %  
 Fixed  
 Variable

10. Is this claim based on a lease?  No  
 Yes. Amount necessary to cure any default as of the date of the petition. \$ \_\_\_\_\_

11. Is this claim subject to a right of setoff?  No  
 Yes. Identify the property: \_\_\_\_\_



12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)?

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

No

Yes. Check all that apply:

	Amount entitled to priority
<input type="checkbox"/> Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).	\$ _____
<input type="checkbox"/> Up to \$3,350* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7).	\$ _____
<input type="checkbox"/> Wages, salaries, or commissions (up to \$15,150*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4).	\$ _____
<input type="checkbox"/> Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).	\$ _____
<input type="checkbox"/> Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).	\$ _____
<input type="checkbox"/> Other. Specify subsection of 11 U.S.C. § 507(a)( ) that applies.	\$ _____

\* Amounts are subject to adjustment on 4/01/25 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. 503(b)(9)?

No

Yes. Indicate the amount of your claim arising from the value of any goods received by the debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim.

\$ \_\_\_\_\_

**Part 3: Sign Below**

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

**A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.**

Check the appropriate box:

I am the creditor.

I am the creditor's attorney or authorized agent.

I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.

I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgement that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/16/2024  
MM / DD / YYYY

/s/Dinanath Gangapersad  
Signature

**Print the name of the person who is completing and signing this claim:**

Name Dinanath Gangapersad  
First name Middle name Last name

Title \_\_\_\_\_

Company \_\_\_\_\_  
Identify the corporate servicer as the company if the authorized agent is a servicer.

Address \_\_\_\_\_

Contact phone \_\_\_\_\_ Email \_\_\_\_\_



# KCC ePOC Electronic Claim Filing Summary

For phone assistance: Domestic (888) 802-7206 | International (781) 575-2087

<b>Debtor:</b> 24-10138 - InVivo Therapeutics Holdings Corp.		
<b>District:</b> District of Delaware		
<b>Creditor:</b> Dinanath Gangapersad 137 Washington Avenue  Cobleskill, New York, 12043 United States <b>Phone:</b> 718 704-9663 <b>Phone 2:</b>  <b>Fax:</b>  <b>Email:</b> dinesh.gangapersad@gmail.com	<b>Has Supporting Documentation:</b> Yes, supporting documentation successfully uploaded <b>Related Document Statement:</b>	<b>Has Related Claim:</b> No <b>Related Claim Filed By:</b>
<b>Other Names Used with Debtor:</b>	<b>Amends Claim:</b> No <b>Acquired Claim:</b> No	
<b>Basis of Claim:</b> General unsecured - Stockholder	<b>Last 4 Digits:</b> No	<b>Uniform Claim Identifier:</b>
<b>Total Amount of Claim:</b> 16166.25	<b>Includes Interest or Charges:</b> No	
<b>Has Priority Claim:</b> No	<b>Priority Under:</b>	
<b>Has Secured Claim:</b> No <b>Amount of 503(b)(9):</b> No <b>Based on Lease:</b> No <b>Subject to Right of Setoff:</b> No	<b>Nature of Secured Amount:</b> <b>Value of Property:</b> <b>Annual Interest Rate:</b> <b>Arrearage Amount:</b> <b>Basis for Perfection:</b> <b>Amount Unsecured:</b>	
<b>Submitted By:</b> Dinanath Gangapersad on 16-Apr-2024 12:00:02 p.m. Eastern Time <b>Title:</b> <b>Company:</b>		



85 Willow Rd, Menlo Park, CA 94025  
 help@robinhood.com

03/01/2024 to 03/31/2024

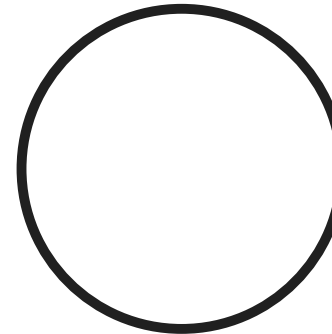
**DINANATH GANGAPERSAD** Account #: **602845463**

74 Harriman Ave, Hempstead, NY 11550

**Account Summary**

	Opening Balance	Closing Balance
Brokerage Cash Balance	\$0.00	\$0.00
Deposit Sweep Balance	\$0.05	\$0.46
Total Securities*	\$291.75	\$230.22
<b>Portfolio Value</b>	<b>\$291.80</b>	<b>\$230.68</b>

**Portfolio Allocation**



- **Cash and Cash Equivalents**  
0.20%
- **Equities**  
99.80%
- **Options**  
0.00%

**Income and Expense Summary**

	This Period	Year to Date
Dividends	\$0.00	\$0.00
Capital Gains Distributions	\$0.00	\$0.00
Interest Earned	\$0.00	\$0.00
Stock Lending	\$10.76	\$10.78

**\*\* Please review important account notices and updates on the last page of this statement.**

As of the closing date of this statement, the annual percentage yield (APY) for customers enrolled in the brokerage cash sweep program is 1.50% for customers who are not subscribed to Robinhood Gold, 5.00% for Robinhood Gold subscribers, or 5.25% for Robinhood Gold subscribers enrolled in the boosted rate promotion. Program banks pay interest on your swept cash, minus any fees paid to Robinhood. Neither Robinhood Financial LLC nor any of its affiliates are banks. Investment products are not FDIC-insured, not bank guaranteed, and may lose value. Uninvested cash swept to the program banks is eligible for FDIC insurance up to applicable limits, subject to FDIC rules. The Securities Investor Protection Corporation has taken the position that uninvested cash swept to the program banks is not covered by the Securities Investor Protection Act.

Robinhood Securities, LLC ("RHS") carries your account as the clearing broker by arrangement with your introducing broker-dealer, Robinhood Financial LLC ("RHF").

RHS is a Member of SIPC, which protects securities customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org).

\* "Total Securities" includes those securities held in your account as well as those on loan through Stock Lending (identified herein as "Loaned Securities" or "Loaned Stocks"). The provisions of the Securities Investor Protection Act of 1970 may not protect you with respect to Loaned Securities.

This statement shall be conclusive if not objected to in writing within ten days (except with respect to debit card transactions). Errors and omissions exempted. Please address all communications to the firm and not to the individuals. Address changes or other material changes in your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

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## Portfolio Summary

Securities Held in Account	Sym/Cusip	Acct Type	Qty	Price	Mkt Value	Est. Dividend Yield	% of Total Portfolio
Agenus Estimated Yield: 0.00%	AGEN	Margin	8	\$0.58	\$4.64	\$0.00	2.01%
MiNK Therapeutics Estimated Yield: 0.00%	INKT	Margin	0.0146	\$0.91	\$0.01	\$0.00	0.00%
INVIVO THERAPEUTICS HLDGS CORP Estimated Yield: 0.00%	NVIVQ	Margin	1,001	\$0.22	\$220.22	\$0.00	95.47%

## Portfolio Summary

Loaned Securities	Sym/Cusip	Acct Type	Qty	Price	Mkt Value	Est. Dividend Yield	% of Total Portfolio
Agenus Estimated Yield: 0.00%	AGEN	Margin	8	\$0.58	\$4.64	\$0.00	2.01%
Cosmos Health Estimated Yield: 0.00%	COSM	Margin	1	\$0.71	\$0.71	\$0.00	0.31%
<b>Total Securities *</b>					<b>\$230.22</b>	<b>\$0.00</b>	<b>99.80%</b>
<b>Brokerage Cash Balance</b>					<b>\$0.00</b>		<b>0.00%</b>
<b>Deposit Sweep Balance</b>					<b>\$0.46</b>		<b>0.20%</b>
<b>Total Priced Portfolio</b>					<b>\$230.68</b>		

\* "Total Securities" includes those securities held in your account as well as those on loan through Stock Lending (identified herein as "Loaned Securities" or "Loaned Stocks"). The provisions of the Securities Investor Protection Act of 1970 may not protect you with respect to Loaned Securities.



## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Stock Lending February Payment Weighted Average Return Rate: 22.71%	NVIVQ	Margin	SLIP	03/07/2024				\$10.75
Stock Lending February Payment Weighted Average Return Rate: 0.00%	AGEN	Margin	SLIP	03/07/2024				\$0.01
Agenus CUSIP: 00847G705	AGEN	Margin	Buy	03/08/2024	15	\$0.69	\$10.35	
<b>Total Funds Paid and Received</b>							<b>\$10.35</b>	<b>\$10.76</b>

**Executed Trades Pending Settlement**

These transactions may not be reflected in the other summaries

Description	Acct Type	Transaction	Trade Date	Settle Date	Qty	Price	Debit	Credit
<b>Total Executed Trades Pending Settlement</b>							<b>\$0.00</b>	<b>\$0.00</b>

**Stock Lending - Loaned Securities**

These transactions are specific to Stock Lending and represent the securities on loan as of 03/31/2024

<b>Description</b>	<b>Symbol</b>	<b>Shares Lent</b>	<b>Price</b>	<b>MKT Value</b>
Agenus CUSIP: 00847G705	AGEN	8	\$0.58	\$4.64
Cosmos Health CUSIP: 221413305	COSM	1	\$0.71	\$0.71
<b>Total Market Value</b>				<b>\$5.35</b>

As a reminder, you can sell your shares as usual, even if they are on loan. The provisions of the Securities Investor Protection Act of 1970 may not protect you with respect to loaned securities.

**Stock Lending - Loan Activity**

These transactions are specific to Stock Lending and represent all loan activity this month.

Description	Symbol	Transaction	Date	Shares Lent From Account	Shares Returned To Account
INVIVO THERAPEUTICS HLDGS CORP CUSIP: 46186M605	NVIVQ	SLJNL	03/06/2024	571	
Cosmos Health CUSIP: 221413305	COSM	SLJNL	03/07/2024	1	
INVIVO THERAPEUTICS HLDGS CORP CUSIP: 46186M605	NVIVQ	SLJNL	03/07/2024		23
INVIVO THERAPEUTICS HLDGS CORP CUSIP: 46186M605	NVIVQ	SLJNL	03/08/2024	9	
INVIVO THERAPEUTICS HLDGS CORP CUSIP: 46186M605	NVIVQ	SLJNL	03/11/2024		94
INVIVO THERAPEUTICS HLDGS CORP CUSIP: 46186M605	NVIVQ	SLJNL	03/12/2024		463
Agenus CUSIP: 00847G705	AGEN	SLJNL	03/13/2024	1	
Cosmos Health CUSIP: 221413305	COSM	SLJNL	03/14/2024		1
Agenus CUSIP: 00847G705	AGEN	SLJNL	03/15/2024	3	
Agenus CUSIP: 00847G705	AGEN	SLJNL	03/18/2024	10	
Agenus CUSIP: 00847G705	AGEN	SLJNL	03/19/2024	2	

**Stock Lending - Loan Activity**

These transactions are specific to Stock Lending and represent all loan activity this month.

Description	Symbol	Transaction	Date	Shares Lent From Account	Shares Returned To Account
Cosmos Health CUSIP: 221413305	COSM	SLJNL	03/19/2024	1	
Agenus CUSIP: 00847G705	AGEN	SLJNL	03/25/2024		6
Agenus CUSIP: 00847G705	AGEN	SLJNL	03/26/2024	1	
Agenus CUSIP: 00847G705	AGEN	SLJNL	03/28/2024		3

**Stock Lending - Collateral Activity**

These transactions reflect daily movements of collateral to and from Stock Lending custodian banks.

<b>Description</b>	<b>Date</b>	<b>Debit</b>	<b>Credit</b>	<b>Balance</b>
Opening Collateral Balance	03/01/2024			\$0.00
Collateral Movement	03/06/2024		\$168.90	\$168.90
Collateral Movement	03/07/2024	\$0.45		\$168.45
Collateral Movement	03/08/2024	\$25.64		\$142.81
Collateral Movement	03/11/2024	\$19.26		\$123.55
Collateral Movement	03/12/2024	\$122.76		\$0.79
Collateral Movement	03/13/2024		\$0.67	\$1.46
Collateral Movement	03/14/2024	\$0.80		\$0.66
Collateral Movement	03/15/2024		\$1.74	\$2.40
Collateral Movement	03/18/2024		\$5.31	\$7.71
Collateral Movement	03/19/2024		\$1.48	\$9.19
Collateral Movement	03/20/2024		\$0.62	\$9.81
Collateral Movement	03/21/2024	\$0.16		\$9.65
Collateral Movement	03/22/2024		\$0.11	\$9.76
Collateral Movement	03/25/2024	\$3.62		\$6.14
Collateral Movement	03/26/2024		\$0.69	\$6.83

**Stock Lending - Collateral Activity**

These transactions reflect daily movements of collateral to and from Stock Lending custodian banks.

<b>Description</b>	<b>Date</b>	<b>Debit</b>	<b>Credit</b>	<b>Balance</b>
Collateral Movement	03/27/2024	\$0.22		\$6.61
Collateral Movement	03/28/2024	\$1.42		\$5.19
Closing Collateral Balance	03/31/2024	\$5.19		\$0.00
<b>Total Collateral Movements</b>		<b>\$179.52</b>	<b>\$179.52</b>	

Collateral held for securities loaned through Stock Lending is at least equal to the market value of such securities. The provisions of the Securities Investor Protection Act of 1970 may not protect you with respect to such loaned securities.

**Deposit Sweep Program Banks**

These are the program banks where your uninvested cash is held as of 03/28/2024. Balances are insured by FDIC, not SIPC.

<b>Bank</b>	<b>Balance</b>
M&T	\$0.46

As of the closing date of this statement, the annual percentage yield (APY) for customers enrolled in the brokerage cash sweep program is 1.50% for customers who are not subscribed to Robinhood Gold, 5.00% for Robinhood Gold subscribers, or 5.25% for Robinhood Gold subscribers enrolled in the boosted rate promotion. Program banks pay interest on your swept cash, minus any fees paid to Robinhood. Neither Robinhood Financial LLC nor any of its affiliates are banks. Investment products are not FDIC-insured, not bank guaranteed, and may lose value. Uninvested cash swept to the program banks is eligible for FDIC insurance up to applicable limits, subject to FDIC rules. The Securities Investor Protection Corporation has taken the position that uninvested cash swept to the program banks is not covered by the Securities Investor Protection Act.



**Deposit Sweep Activity**

These transactions reflect movements of uninvested cash to and from program banks.

<b>Description</b>	<b>Date</b>	<b>Debit</b>	<b>Credit</b>	<b>Balance</b>
Opening Sweep Balance	03/01/2024			\$0.05
FDIC Sweep	03/08/2024		\$10.76	\$10.81
FDIC Sweep	03/12/2024	\$10.35		\$0.46
Closing Sweep Balance	03/31/2024			\$0.46
<b>Total Swept Funds</b>		<b>\$10.35</b>	<b>\$10.76</b>	

## Important Information

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on debit balances in your account may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 1st day of the month to the last day of the month. The interest is based on the average daily balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the new debit balance.

We are required to report to the Internal Revenue Service all cash dividends and interest credited to your account on securities held for you in our name. All dividends and interest credits should be included in your income tax return.

Information relative to regulatory trading/transaction fees and any other charges incurred in connection with equity or listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of the information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure which randomly selects from amongst all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise Robinhood of any material changes concerning your investment objectives or financial situation by updating your information using the Robinhood platform or by contacting help@robinhood.com.

Any free credit balances represent funds payable upon demand which, although properly accounted for on our books and records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

RHS acts as clearing agent for your trades. Your account, which was introduced to us by RHF, is established under your name on a "fully disclosed" basis at RHS. You remain a customer of RHF.

### Notice to Customers

As required, under SEC rules, both the RHF and RHS Order Routing Reports as well as information regarding specific order routing information is available free of charge upon request.

As a clearing agent, RHS provides securities clearance and may provide order execution based on RHF instructions. RHS will not be involved with or have any responsibility for decisions regarding securities transactions in your account. RHF will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders and any instructions regarding the deposit or withdrawal of securities or monies should be made through RHF.

In addition to the above mentioned services, RHS will provide cashing services, safeguarding of funds and securities while in our possession, monitoring compliance with applicable credit Regulation T and RHS internal policies, preparing and making accessible your account records (including transaction confirmations and periodic statements of your account).

The dividend totals reflected in the Income and Expense Summary are inclusive of both taxable and non-taxable dividends.

Interest charges to your account may be based on the size and net debit balance during the interest period. These rates are subject to revision with appropriate notice. For more complete information regarding interest charges to customers, consult the RHF Fee Schedule, available at <https://rbnhd.co/fees>.

Robinhood Gold Card is offered by Robinhood Credit, Inc. ("RCT") and is issued by Coastal Community Bank, Member FDIC, pursuant to a license from Visa U.S.A. Inc. RCT is a financial technology company, not a bank.

In case of errors or questions about your electronic transfers, including your debit card transactions, or if you think your statement or receipt is wrong or if you need more information about a transaction listed on the statement or receipt, email RHF or RHS at help@robinhood.com. RHF must hear from you no later than sixty (60) days after you were sent the FIRST statement on which the problem or error appeared.

- A. Tell RHF your name and account number.
- B. Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- C. Tell RHF the dollar amount of the suspected error.

RHF will investigate your complaint and will correct any error promptly. If we take more than ten (10) business days to do this, RHF will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes RHF to complete our investigation.

Please see the Robinhood Securities, LLC & Robinhood Financial LLC Insured Network Deposit Sweep Program Disclosures, available at <https://rbnhd.co/ind-disclosure>, for the terms and conditions of the sweep program, including information regarding FDIC insurance coverage.

RHF and RHS are members of the Financial Industry Regulatory Authority, Inc. ("FINRA"), and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or via their website [www.finra.org](http://www.finra.org). RHS carries your account and acts as your custodian for funds and securities deposited with us directly by you, through RHF as a result of transactions we process to your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to RHF. In order to protect your rights, please confirm any oral communications in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to: help@robinhood.com.

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealers relationship with such venues. In addition, the Rule (SEC Rule 606) requires broker-dealers to disclose, upon customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact RHF.

All trade confirmations are transmitted on or about the transaction date.

Statement of Financial Condition  
Robinhood Securities, LLC. Unaudited Statement of Financial Condition as of December 31, 2023 is available on the Company's website at [www.robinhood.com/legal](http://www.robinhood.com/legal). A paper copy may be requested at no cost by calling 1-(800)-282-1327. On December 31, 2023, Robinhood Securities, LLC. had a net capital of \$2,277,081,068, which was \$2,202,427,865 in excess of its required net capital of \$74,653,203.

Please retain this statement as it will be helpful in preparing your income tax returns and may be needed along with subsequent statements to verify interest charges in your account. This statement shall be deemed conclusive unless objected to in writing within ten (10) days.

**Please Read: Important Account Notices and Updates**

Beginning on or after May 6, 2024, the same margin rate(s) available to Gold customers will become available to non-Gold customers. Gold customers will continue to have exclusive access to a specified amount of interest-free margin. Please note that the rate(s) and amount of interest-free margin available at that time may differ from the rates and amount of interest-free margin currently available. You are consenting to these terms by using or continuing to use margin and/or by subscribing or continuing to subscribe to Gold.

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Activity Date	Process Date	Settle Date	Instrument	Description	Trans Code	Quantity	Price	Amount
1/30/2024	1/30/2024	2/1/2024	NVIVQ	INVIVO THERAPEUTICS HLDGS CORP CUSIP: 46186M605	Buy	1	\$0.66	-\$0.66
5/16/2022	5/16/2022	5/18/2022	NVIVQ	INVIVO THERAPEUTICS HLDGS CORP CUSIP: 46186M605	Buy	3	\$4.08	-\$12.24
5/13/2022	5/13/2022	5/17/2022	NVIVQ	INVIVO THERAPEUTICS HLDGS CORP CUSIP: 46186M605	Buy	10	\$3.82	-\$38.15
3/21/2022	3/21/2022	3/23/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	2	\$0.34	-\$0.68
2/22/2022	2/22/2022	2/24/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1	\$0.30	-\$0.30
2/15/2022	2/15/2022	2/17/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1	\$0.34	-\$0.34
2/2/2022	2/2/2022	2/4/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	50	\$0.38	-\$19.20
1/27/2022	1/27/2022	1/31/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	100	\$0.41	-\$40.98
1/27/2022	1/27/2022	1/31/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	2300	\$0.41	-\$943.00
1/24/2022	1/24/2022	1/26/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	100	\$0.43	-\$42.99
1/24/2022	1/24/2022	1/26/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	2220	\$0.43	-\$953.93
1/21/2022	1/21/2022	1/25/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	30	\$0.49	-\$14.77
1/18/2022	1/18/2022	1/20/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	350	\$0.51	-\$178.50
1/18/2022	1/18/2022	1/20/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1587	\$0.51	-\$804.69
12/30/2021	12/30/2021	1/3/2022	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1	\$0.49	-\$0.49
12/29/2021	12/29/2021	12/31/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	12	\$0.46	-\$5.51
12/28/2021	12/28/2021	12/30/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	400	\$0.47	-\$188.80
12/28/2021	12/28/2021	12/30/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	500	\$0.51	-\$254.45
12/28/2021	12/28/2021	12/30/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	80	\$0.51	-\$40.62
12/28/2021	12/28/2021	12/30/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1010	\$0.51	-\$514.09
12/6/2021	12/6/2021	12/8/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.51	-\$5.07
12/1/2021	12/1/2021	12/3/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	20	\$0.56	-\$11.22
12/1/2021	12/1/2021	12/3/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	100	\$0.56	-\$56.11
12/1/2021	12/1/2021	12/3/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	100	\$0.56	-\$56.11
12/1/2021	12/1/2021	12/3/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	40	\$0.56	-\$22.44
12/1/2021	12/1/2021	12/3/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	100	\$0.56	-\$56.11
12/1/2021	12/1/2021	12/3/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	100	\$0.56	-\$56.11
12/1/2021	12/1/2021	12/3/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	100	\$0.56	-\$56.11
12/1/2021	12/1/2021	12/3/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	200	\$0.56	-\$112.22
11/30/2021	11/30/2021	12/2/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	15	\$0.59	-\$8.79
11/30/2021	11/30/2021	12/2/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.57	-\$5.70
11/29/2021	11/29/2021	12/1/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.55	-\$5.55
11/29/2021	11/29/2021	12/1/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	5	\$0.54	-\$2.72
11/29/2021	11/29/2021	12/1/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	104	\$0.54	-\$56.48
11/29/2021	11/29/2021	12/1/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1	\$0.54	-\$0.54
11/29/2021	11/29/2021	12/1/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	900	\$0.54	-\$484.92
11/26/2021	11/26/2021	11/30/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	2	\$0.57	-\$1.14
11/26/2021	11/26/2021	11/30/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.54	-\$5.40
11/26/2021	11/26/2021	11/30/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.54	-\$5.40
11/26/2021	11/26/2021	11/30/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.54	-\$5.40

11/24/2021	11/24/2021	11/29/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	2	\$0.54	-\$1.08
11/24/2021	11/24/2021	11/29/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	20	\$0.57	-\$11.38
11/24/2021	11/24/2021	11/29/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.56	-\$5.65
11/24/2021	11/24/2021	11/29/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.56	-\$5.60
11/24/2021	11/24/2021	11/29/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.57	-\$5.70
11/24/2021	11/24/2021	11/29/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.57	-\$5.66
11/24/2021	11/24/2021	11/29/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1830	\$0.52	-\$951.60
11/23/2021	11/23/2021	11/26/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	30	\$0.51	-\$15.17
11/22/2021	11/22/2021	11/24/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	40	\$0.51	-\$20.35
11/18/2021	11/18/2021	11/22/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	35	\$0.52	-\$18.32
11/18/2021	11/18/2021	11/22/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1796	\$0.52	-\$942.54
10/29/2021	10/29/2021	11/2/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	32	\$0.59	-\$19.03
10/28/2021	10/28/2021	11/1/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	99	\$0.58	-\$57.11
10/28/2021	10/28/2021	11/1/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	2523	\$0.58	-\$1,454.25
10/22/2021	10/22/2021	10/26/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	31	\$0.61	-\$18.90
10/22/2021	10/22/2021	10/26/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1562	\$0.61	-\$950.01
6/28/2021	6/28/2021	6/30/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1	\$0.78	-\$0.78
6/2/2021	6/2/2021	6/4/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	23	\$0.71	-\$16.28
5/7/2021	5/7/2021	5/11/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	10	\$0.70	-\$6.97
5/7/2021	5/7/2021	5/11/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	684	\$0.70	-\$475.38
4/13/2021	4/13/2021	4/15/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	0.083446	\$0.81	-\$0.07
4/13/2021	4/13/2021	4/15/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	1234.633905	\$0.81	-\$999.93
3/23/2021	3/23/2021	3/25/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	953.016296	\$1.05	-\$1,000.00
3/8/2021	3/8/2021	3/10/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	47.893301	\$0.99	-\$47.40
3/8/2021	3/8/2021	3/10/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	0.217541	\$0.99	-\$0.21
3/5/2021	3/5/2021	3/9/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	936	\$1.02	-\$954.72
3/4/2021	3/4/2021	3/8/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	44	\$0.97	-\$42.67
3/3/2021	3/3/2021	3/5/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	840	\$1.14	-\$955.00
2/22/2021	2/22/2021	2/24/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	640.942307	\$1.56	-\$999.87
2/22/2021	2/22/2021	2/24/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	0.086816	\$1.56	-\$0.13
2/17/2021	2/17/2021	2/19/2021	NVIV	InVivo Therapeutics CUSIP: 46186M506	Buy	609.066298	\$1.81	-\$1,102.41

The data provided is for informational purposes only. Please consult a professional tax service or personal tax advisor if you need instructions on how to calculate cost basis or questions regard