



Filing ID #10015393

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Steve Cohen  
**Status:** Member  
**State/District:** TN09

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2016  
**Filing Date:** 05/12/2017

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Gold Bullion		\$15,001 - \$50,000	None	<input type="checkbox"/>
DESCRIPTION: Gold Bullion				
Stephens Advantage Account ⇒ Aetna Inc. (AET)		\$50,001 - \$100,000	Dividends	\$201 - \$1,000 <input type="checkbox"/>
Stephens Advantage Account ⇒ Amgen Inc. (AMGN)		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000 <input type="checkbox"/>
Stephens Advantage Account ⇒ AT&T Inc. (T)		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500 <input type="checkbox"/>
Stephens Advantage Account ⇒ AutoZone, Inc. (AZO)		\$15,001 - \$50,000	None	<input type="checkbox"/>
Stephens Advantage Account ⇒ Barrick Gold Corporation (ABX)		\$1,001 - \$15,000	Dividends	\$1 - \$200 <input type="checkbox"/>
Stephens Advantage Account ⇒ Berkshire Hathaway Inc. New (BRK.B)		\$50,001 - \$100,000	None	<input type="checkbox"/>
Stephens Advantage Account ⇒		\$15,001 - \$50,000	Dividends	\$1,001 - <input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Boeing Company (BA)				\$2,500	
Stephens Advantage Account ⇒ CHATTANOOGA TENN ELEC REV SER A		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ CHATTANOOGA TENN ELEC REV SER A OID		None	None		<input type="checkbox"/>
DESCRIPTION: Full call on bond Asset # CNO					
Stephens Advantage Account ⇒ CHATTANOOGA TN HLTH EDUCTNL &HSG FACS BRD REV REF-STDNT HSG-CDFI		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: ASSET # DL5					
Stephens Advantage Account ⇒ CHATTANOOGA-HAMILTON CNTY TN HOSP AUTH H REV REF-ERLANGER-HLTH-REMK 11/24		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ CHATTANOOGA-HAMILTON CNTY TN HOSP AUTH H REV REF-ERLANGER-HLTH-REMK 11/24/09		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ Cohen & Steers Total Return Realty Fund, Inc. (RFI)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ Comcast Corporation - Class A (CMCSA)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ Daimler AG (DDAIF)		\$50,001 - \$100,000	Dividends	None	<input type="checkbox"/>
Stephens Advantage Account ⇒ DDR Corp. (DDR)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ DREYFUS SHORT-INTERMEDIATE MUNICIPAL BOND FUND CLASS D		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ Federated Treasury Obligations AS		\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: This is not a security. This is just a cash account. There was no transaction. This is just cash.					
Stephens Advantage Account ⇒ FedEx Corporation (FDX)		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stephens Advantage Account ⇒ Fluor Corporation (FLR)		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ FRANKLIN RISING DIVIDENDS FUND CLASS C		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ General Electric Company (GE)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ GlaxoSmithKline PLC (GSK)		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens Advantage Account ⇒ HAMBLEN CNTY TENN GEN OBLIG UNLTD BANK QUALIFIED  DESCRIPTION: BOND MATURITY ASSET # QE7		None	None		<input type="checkbox"/>
Stephens Advantage Account ⇒ HENDERSONVILLE TENN UTIL DIST WTRWKS & SWR REV		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ International Business Machines Corporation (IBM)		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ JOHNSON CITY TENN HLTH & EDL FACS BRD HOSP REV RFG & IMPT MED CTR		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens Advantage Account ⇒ KNOX CNTY TN HLTH EDUCNTNL & HSG FACS BRD HOSP REV REF-COVENANT HLTH  DESCRIPTION: ASSET # CJ6		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stephens Advantage Account ⇒ Marriott International - Class A (MAR)		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens Advantage Account ⇒ MAURY CNTY TENN SCH & PUB IMPT GEN OBLIG UNLTD AA2 MDU		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ MEMPHIS TENN ELEC SYS REV SUB SER A OID  DESCRIPTION: FULL CALL ON BOND ASSET # LD7		None	None		<input type="checkbox"/>
Stephens Advantage Account ⇒ MEMPHIS TN ELEC SYS REV REF-SUB MAND ERP		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stephens Advantage Account ⇒ MEMPHIS TN GEN IMPT GO UNLT UNDLY AA2/AA/AA-		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ Merck & Company, Inc. Common Stock (MRK)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ MET GOVT NASHVILLE & DAVIDSON CNTY TN ELEC REV CAP APPREC SER A		\$15,001 - \$50,000	None		<input type="checkbox"/>
Stephens Advantage Account ⇒ MET GOVT NASHVILLE & DAVIDSON CNTY TN H&E FACS BRD REV HOSP CHARITY		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ MET GOVT NASHVILLE & DAVIDSON CNTY TN HLTH & EDL HSG-WILLOW POINTE APTS PROJ REV BDS MAND ERP  DESCRIPTION: Asset AV6		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ MET GOVT NASHVILLE & DAVIDSON CNTY TN SPRTS UTH PUB IMPT-BALL PARK PJ SER		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ MET GOVT NASHVILLE & DAVIDSON REF & IMPT- BLAKEFORD AT GREEN		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Stephens Advantage Account ⇒ Mid-America Apartment Communities, Inc. (MAA)		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Stephens Advantage Account ⇒ MURFREESBORO TENN REF ELEC SYS MDU AA2  DESCRIPTION: FULL CALL ON BOND ASSET # D82		None	None		<input type="checkbox"/>
Stephens Advantage Account ⇒ Northrop Grumman Corporation (NOC)		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens Advantage Account ⇒ Pepsico, Inc. (PEP)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ ROBERTSON CNTY TENN SCH & PUB IMPT GEN OBLIG UNLTD		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒		\$15,001 - \$50,000	Interest	\$201 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
ROBERTSON CNTY TENN SCH & PUB IMPT GEN OBLIG UNLTD				\$1,000	
Stephens Advantage Account ⇒ RUTHERFORD CNTY TN GO UNLT		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens Advantage Account ⇒ SAVANNAH VLY TN UTIL DIST WTRWKS REV REF-SER A		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ SHELBY CNTY TENN HEALTH EDL 7 HSG FACS BRD REV ST JUDES  DESCRIPTION: FULL CALL ON BOND ASSET # XG9		None	None		<input type="checkbox"/>
Stephens Advantage Account ⇒ SHELBY CNTY TN HEALTH EDL & HSG FAC BD REV BAPT MEM HLTH SER 2004A		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ SHELBY CNTY TN HLTH EDL & HSG FACS BRD REV ST JUDES CHILDREN  DESCRIPTION: FULL CALL ON BOND ASSET # XF1		None	None		<input type="checkbox"/>
Stephens Advantage Account ⇒ SHELBY CO TN HLTH EDUCTNL & HSG FACS BRD REV METHODIST LE BONHEUR		\$50,001 - \$100,000	Interest	\$2,501 - \$5,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENN HSG DEV AGY RSDL FING PRG REV NON-AMT-ISSUE 1B REVENUE BONDS		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENN HSG DEV AGY RSDL FING PROG REV NON-AMT NON-ACE-ISSUE 1B REVENUE BONDS  DESCRIPTION: ASSET # JL3		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stephens Advantage Account ⇒ TENN ST HSG DEV AGY NON-AMT NON-ACE HOMEOWNERSHIP PROG-SER 2C		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE ENERGY ACQUISITION CORP GAS REV SER A MAND ERP M-W CALL		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE HOUSING DEV AGENCY HSG FIN PROG		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
BDS SERV 2009 A-1					
Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY FIN PROG SER A-1 XRDNRY RDM PROV		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY HOMEOWNER-SHIP PROG 1-A-NON AMT NON ACE		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY HSG FIN PROG-SER A-1 ERP		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN PROG REV NON- AMT NON ADJUSTED CURRENT		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN NON-AMT NON- ACE-ISSUE 1B REVENUE BONDS		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: ASSET # JK5					
Stephens Advantage Account ⇒ TENNESSEE ST HSG DEV AGY HOMEOWNERSHIP PROGRAM-SER 2B		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE ST HSG DEV AGY NON AMT NON ACE HOMEOWNERSHIP		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE ST HSG DEV AGY NON-AMT NON ACE HOMEOWNERSHIP PROGRAM		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE ST HSG DEV AGY REF-SER A REVENUE BONDS MDY UNDLY AA2		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TENNESSEE ST HSG DEV AGY REF-SER A REVENUE BONDS MDY UNDLY AA2		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Stephens Advantage Account ⇒ TN HSG DEV AGY AMT HOMEOWNERSHIP PG ISSUE 1 ERP GO OF AGY SBJ AMT		None	None		<input type="checkbox"/>
DESCRIPTION: FULL CALL ON BOND ASSET # 5C2					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stephens Advantage Account ⇒ TN HSG DEV AGY HOMEOWNERSHIP PRO SER 1B OPT ERP GO OF AGY MDUAa1  DESCRIPTION: FULL CALL ON BOND Asset # 3C4		None	None		<input type="checkbox"/>
Stephens Advantage Account ⇒ Toyota Motor Corporation (TM)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ TULLAHOMA TENN BROADBAND NETWORK GEN OBLIG UNLTD		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stephens Advantage Account ⇒ Western Union Company (WU)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stephens Roth IRA ⇒ Berkshire Hathaway Inc. New (BRK.B)		\$15,001 - \$50,000	None		<input type="checkbox"/>
Stephens Roth IRA ⇒ Boeing Company (BA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stephens Roth IRA ⇒ Eli Lilly and Company (LLY)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens Roth IRA ⇒ Federated Treasury Obligations AS-115  DESCRIPTION: This is not a security. This is just a cash account. There was no transaction. This is just cash.		\$1,001 - \$15,000	None		<input type="checkbox"/>
Stephens SEP IRA ⇒ American Airlines Group, Inc. (AAL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stephens SEP IRA ⇒ AT&T Inc. (T)		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens SEP IRA ⇒ Berkshire Hathaway Inc. New (BRK.B)		\$100,001 - \$250,000	None		<input type="checkbox"/>
Stephens SEP IRA ⇒ Carnival Corporation (CCL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stephens SEP IRA ⇒ Charter Communications, Inc. - Class A (CHTR)		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Stephens SEP IRA ⇒ Chevron Corporation (CVX)		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stephens SEP IRA ⇒ Coca-Cola Company (KO)		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens SEP IRA ⇒ Cohen & Steers Quality Income Realty Fund Inc Common Shares (RQI)		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens SEP IRA ⇒ Duke Energy Corporation (DUK)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Eli Lilly and Company (LLY)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Emergent Biosolutions, Inc. (EBS)		\$15,001 - \$50,000	None		<input type="checkbox"/>
Stephens SEP IRA ⇒ Exxon Mobil Corporation (XOM)		\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Federated Treasury Oblig AS		\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
Stephens SEP IRA ⇒ First Horizon National Corporation (FHN)		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens SEP IRA ⇒ General Electric Company (GE)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ HCP, Inc. (HCP)		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Host Hotels & Resorts, Inc. (HST)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Ingram Micro Inc. (IM)		None	Cash buyout	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Stephens SEP IRA ⇒ International Business Machines Corporation (IBM)		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Microsoft Corporation (MSFT)		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stephens SEP IRA ⇒		\$1,001 - \$15,000	None		<input type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Quality Care Properties, Inc. (QCP)					
Stephens SEP IRA ⇒ Raytheon Company (RTN)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Regions Financial Corporation (RF)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Schlumberger N.V. (SLB)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Sony Corporation (SNE)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stephens SEP IRA ⇒ Spectra Energy Corp (SE)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stephens SEP IRA ⇒ Time Inc. (TIME)		\$1 - \$1,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stephens SEP IRA ⇒ Time Warner Inc. New (TWX)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Toyota Motor Corporation (TM)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Transocean Ltd (RIG)		\$1 - \$1,000	None		<input type="checkbox"/>
Stephens SEP IRA ⇒ Walt Disney Company (DIS)		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stephens SEP IRA ⇒ Weyerhaeuser Company (WY)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
TN 401k ⇒ FIDELITY CONTRAFUND		\$15,001 - \$50,000	None		<input type="checkbox"/>
TN 401k ⇒ FIDELITY OTC PORTFOLIO		\$15,001 - \$50,000	None		<input type="checkbox"/>
TN 401k ⇒ FIDELITY PURITAN FUND		\$250,001 - \$500,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
TN 401k ⇒ NATIONWIDE BANK ACCOUNT		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
TN 401k ⇒ Western Asset Core Plus Bond IS		\$15,001 - \$50,000	None		<input type="checkbox"/>
TN 457 ⇒ FIDELITY CONTRAFUND		\$250,001 - \$500,000	None		<input type="checkbox"/>
TN 457 ⇒ NATIONWIDE BANK ACCOUNT		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
TN 457 ⇒ Western Asset Core Plus Bond IS		\$1,001 - \$15,000	None		<input type="checkbox"/>

\* Asset class details available at the bottom of this form.

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Stephens Advantage Account ⇒ CHATTANOOGA TN HLTH EDUCTNL & HSG FACS BRD REV REF-STDNT HSG-CDFI		12/12/2016	P	\$50,001 - \$100,000	
Stephens Advantage Account ⇒ KNOX CNTY TN HLTH EDUCTNL & HSG FACS BRD HOSPREFREF-COVENANT HLTH		11/16/2016	P	\$15,001 - \$50,000	
Stephens Advantage Account ⇒ MET GOVT NASHVILLE & DAVIDSONC REF & IMPT- BLAKEFORD AT GREEN		08/10/2016	P	\$15,001 - \$50,000	
Stephens Advantage Account ⇒ Mid-America Apartment Communities, Inc. (MAA)		08/16/2016	P	\$15,001 - \$50,000	
Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN NON-AMT NON-ACE- ISSUE 1B REVENUE BONDS		04/19/2016	P	\$50,001 - \$100,000	
Stephens Advantage Account ⇒ TENN HSG DEV AGY RSDL FING PROG REV NON-AMT NON-ACE-ISSUE 1B REVENUE BONDS		06/30/2016	P	\$15,001 - \$50,000	
Stephens SEP IRA ⇒		12/6/2016	E	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Ingram Micro Inc. (IM)					
DESCRIPTION: HNA Group bought out stock Ingram Macro, Inc. at \$38.90/share in an all cash transaction on 12/6/16					
Stephens SEP IRA ⇒ Time Warner Cable Inc (TWC)		05/20/2016	E	\$1,001 - \$15,000	
DESCRIPTION: Time Warner Cable, Inc. exchanged for Charter Communications, Inc.					

\* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
State of Tennessee	Tennessee Consolidated Retirement System	\$25,147.00

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

Position	Name of Organization
Board Member	Circuit Playhouse

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
German Marshall Fund of the U.S. and Robert Bosch Stiftung	02/26/2016	02/29/2016	Washington, DC - West Point, NY - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- Stephens Advantage Account  
LOCATION: US
- Stephens Roth IRA
- Stephens SEP IRA
- TN 401k
- TN 457

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

**IPO:** Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

**Trusts:** Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

**Exemption:** Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

## CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Hon. Steve Cohen , 05/12/2017