



Filing ID #10048052

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: 2021
Filing Date: 08/13/2022

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|-----------------------|----------------|-------------------|--------------------------|
| Commercial Bank and Trust Company [BA] | | \$100,001 - \$250,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Congressional Federal Credit Union [BA] | | \$15,001 - \$50,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Gold Bullion [OT] | | \$50,001 - \$100,000 | None | | <input type="checkbox"/> |
| DESCRIPTION: . | | | | | |
| Stephens Advantage Account ⇒ Amgen Inc. (AMGN) [ST] | | \$50,001 - \$100,000 | Dividends | \$2,501 - \$5,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ AT&T Inc. (T) [ST] | | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ AutoZone, Inc. (AZO) [ST] | | \$50,001 - \$100,000 | None | | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Barrick Gold Corporation (ABX) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ | | \$100,001 - | None | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|--------------------------|----------------|----------------------|-------------------------------------|
| Berkshire Hathaway Inc. New (BRK.B) [ST] | | \$250,000 | | | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ CHATTANOOGA TN HLTH EDUCTNL &HSG FACS BRD REV REF-STDNT HSG-CDFI [GS] | | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Cohen & Steers Total Return Realty Fund, Inc. (RFI) [ST] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Comcast Corporation - Class A (CMCSA) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ DAIMLER AG REG SHS I SIN [MF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ DAIMLER TRUCK HLDG AG SPONS ADR [MF] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| DESCRIPTION: This is a spin-off asset | | | | | |
| Stephens Advantage Account ⇒ FedEx Corporation (FDX) [ST] | | \$100,001 - \$250,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ FIRST HORIZON NATIONAL 6.25 SERIES PERP/CALL 4/10/182 25 [CS] | | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| DESCRIPTION: . | | | | | |
| Stephens Advantage Account ⇒ First Trust Institutional Preferred Securities and Income ETF (FPEI) [EF] | | \$100,001 - \$250,000 | Dividends | \$2,501 - \$5,000 | <input checked="" type="checkbox"/> |
| Stephens Advantage Account ⇒ First Trust Preferred Securities and Income ETF ETF (FPE) [EF] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Stephens Advantage Account ⇒ Fluor Corporation (FLR) [ST] | | \$15,001 - \$50,000 | None | | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Franklin Rising Dividends Fund Class A [MF] | | \$1 - \$1,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ FRANKLIN RISING DIVIDENDS FUND CLASS C [MF] | | \$100,001 - \$250,000 | None | | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ | | \$15,001 - \$50,000 | Interest | \$2,501 - | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|----------------------|----------------|-------------------|--------------------------|
| ft unit 9164 pfd income portfolio sr 106 monthly cash [CS] | | | | \$5,000 | <input type="checkbox"/> |
| DESCRIPTION: . | | | | | |
| Stephens Advantage Account ⇒ GlaxoSmithKline PLC (GSK) [ST] | | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Goldman Sachs Group, Inc. (GS) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Goldman Sachs Group, Inc. (GS) [ST] | | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Hendersonville Tenn Util Dist Wtrwks & Swr Rev [GS] | | None | None | | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ International Business Machines Corporation (IBM) [ST] | | \$50,001 - \$100,000 | Dividends | \$2,501 - \$5,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ JOHNSON CITY TENN HLTH & EDL FACS BRD HOSP REV RFG & IMPT MED CTR [GS] | | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ KNOX CNTY TN HLTH EDUCNTNL & HS REF-FACS BRD- UNIVERSITY HEALTH [CS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| DESCRIPTION: . | | | | | |
| Stephens Advantage Account ⇒ KNOX CNTY TN HLTH EDUCNTNL & HSG FACS BRD HOSP REV REF-COVENANT HLTH [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ KNOX CNTY TN HLTH EDUCNTNL & HSG FACS BRD HOSP REV RFDG-COVENANT HLTH SER A OPT ERP [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Kyndryl Holdings, Inc. (KD) [ST] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Marriott International - Class A (MAR) [ST] | | \$50,001 - \$100,000 | None | | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Merck & Company, Inc. Common Stock (MRK) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ | | \$15,001 - \$50,000 | Interest | \$1,001 - | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|----------------------------|----------------|----------------------|--------------------------|
| MET GOVT NASHVILLE & DAVIDSON REF & IMPT-BLAKEFORD AT GREEN [GS] | | | | \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ METROPOLITAN GOVT NASHVILLE & DAVIDSON CNTY TENN HEALTH & ED L FACS BRD 3.750% 03/15/28 B/E DTD 02/2 [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ METROPOLITAN GOVT NASHVILLE & DAVIDSON CNTY TENN SPORTS AUTH REV PUB IMPT 4.000% 08/01/27 B/E DTD 12 [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Mid-America Apartment Communities, Inc. (MAA) [ST] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Northrop Grumman Corporation (NOC) [ST] | | \$100,001 - \$250,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Organon & Co. (OGN) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Pepsico, Inc. (PEP) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ PUTNAM SHORT DURATION INCOME FUNDCLASS A [MF] | | \$100,001 - \$250,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ RUTHERFORD CNTY TN GO UNLT [GS] | | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ SAVANNAH VLY TN UTIL DIST WTRWKS REV REF-SER A [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ SHELBY CNTY TENN HEALTH EDL & HSG FACS BRD REV REV BDS METHODIST LE BONHEUR 4.000% 05/01/27 B/E DTD [GS] | | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ SHELBY CNTY TN HLTH EDUCNTL & HSG FACS BRD REV REF-TREZEVANT MANOR [GS] | | \$15,001 - \$50,000 | None | | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ STEPHENS INS BANKSWEEP PROGRAM [BA] | | \$500,001 - \$1,000,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-------------------------|----------------|----------------------|--------------------------|
| Stephens Advantage Account ⇒ TENN HSG DEV AGY RSDL FING PRG REV NON-AMT-ISSUE 1B REVENUE BONDS [GS] | | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENN HSG DEV AGY RSDL FING PROG REV ISSUE 3 REVENUE BONDS [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENN HSG DEV AGY RSDL FING PROG REV NON ACE-SER 2B REV BDS [GS] | | \$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 4B REV BDS [GS] | | \$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 REV BONDS [BA] DESCRIPTION: , | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENN ST HSG DEV AGY NON-AMT NON-ACE HOMEOWNERSHIP PROG-SER 2C [GS] | | \$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 [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN PROG REV NON-AMT NON ADJUSTED CURRENT [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN ISSUE 3 REVENUE BONDS ERP MANDATORY [GS] DESCRIPTION: . | | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN NON-AMT NON ACE- ISSUE 4B REVENUE BONDS ERP OPT/MAND [CS] DESCRIPTION: , | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN NON-AMT NON ACE- SER 2B REVENUE BONDS [CS] | | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|---------------------|----------------|----------------------|--------------------------|
| DESCRIPTION: . | | | | | |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN NON-AMT NON ADJUSTED CURRENT E REVENUE BONDS ERP OPTIONAL [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN NON-AMT NON-ACE- ISSUE 1B REVENUE BONDS [CS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| DESCRIPTION: , | | | | | |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN NON-AMT NON-ACE- ISSUE 1B REVENUE BONDS [GS] | | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| DESCRIPTION: . | | | | | |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FIN REF-ISSUE 4 REVENUE BONDS ERP OPT/MAND [GS] | | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FING PROG REV NON ACE-SER B2 REV BONDS MDY UNDLY Aa1 ERP OPT/MAND [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FING PROG REV NON- AMT NON ACE-ISSUE 4B REV BDS ERP OPT/MAND [GS] | | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FING PROG REV NON- AMT NON ACE-ISSUE 4B REVENUE ERP OPT/MAN [GS] | | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FING PROG REV NON- AMT NON ACE-SER 2B REV BONDS ERP OPTIONAL [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FING PROGRAM REV ISSUE 3 REV BDS ERP OPT/MAND [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE HSG DEV AGY RSDL FING PROGRAM REV ISSUE 3 REVENUE BONDS ERP MANDATORY [CS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| DESCRIPTION: . | | | | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|--------------|-----------------------|-----------------------|-------------------|--------------------------|
| Stephens Advantage Account ⇒ TENNESSEE ST HSG DEV AGY HOMEOWNERSHIP PROGRAM-SER 2B [GS] | | \$15,001 - \$50,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE ST HSG DEV AGY NON AMT NON ACE HOMEOWNERSHIP [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE ST HSG DEV AGY NON-AMT NON ACE HOMEOWNERSHIP PROGRAM SER 2012-2C OPT/MAND ERP [CS] DESCRIPTION: . | | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ TENNESSEE ST HSG DEV AGY REF-SER A REVENUE BONDS MDY UNDLY AA2 [GS] | | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Advantage Account ⇒ Toyota Motor Corporation (TM) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens Roth IRA ⇒ FEDERATED HERMES TREASRY OB IS [BA] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Stephens Roth IRA ⇒ PUTNAM ULTRA SHORT DURATION INCOME FUND CLASS Y [MF] | | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ AT&T Inc. (T) [ST] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST] | | \$100,001 - \$250,000 | None | | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ BLACKROCK LOW DURATION BOND PORTFOLIO FUND CLASS K [MF] | | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Chevron Corporation (CVX) [ST] | | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Coca-Cola Company (KO) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Cohen & Steers Quality Income Realty Fund Inc Common | | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|--------------|-----------------------|-----------------------|-------------------|--------------------------|
| Shares (RQI) [ST] | | | | | |
| Stephens SEP IRA ⇒ DOUBLELINE ULTRA SHORT BOND FUND CLASS I [MF] | | \$15,001 - \$50,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Eli Lilly and Company (LLY) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Emergent Biosolutions, Inc. (EBS) [ST] | | \$15,001 - \$50,000 | None | | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Exxon Mobil Corporation (XOM) [ST] | | \$50,001 - \$100,000 | Dividends | \$2,501 - \$5,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ FEDERATED HERMES TREASRY OB IS [MF] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ FEDERATED HERMES ULTRASHORT BOND FUND CLASS IS [MF] | | \$50,001 - \$100,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Fidelity Dividend ETF for Rising Rates (FDRR) [EF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ First Horizon National Corporation (FHN) [ST] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ First Trust Enhanced Short Maturity ETF (FTSM) [ST] | | \$15,001 - \$50,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Healthpeak Properties, Inc. (PEAK) [ST] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Host Hotels & Resorts, Inc. (HST) [ST] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ International Business Machines Corporation (IBM) [ST] | | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Kyndryl Holdings, Inc. (KD) [ST] | | \$1 - \$1,000 | None | | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ LORD ABBETT SHORT DURATION INCOME FUND CLASS F | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-------------------------|--------------------------|-------------------|-------------------------------------|
| [MF] | | | | | |
| Stephens SEP IRA ⇒ Microsoft Corporation (MSFT) [ST] | | \$100,001 - \$250,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ PGIM SHORT-TERM CORPORATE BOND FUND CLASS R6 [MF] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ PUTNAM ULTRA SHRT DURATION INCOME FUND CLASS Y [MF] | | \$50,001 - \$100,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Stephens SEP IRA ⇒ Raytheon Company (RTN) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Regions Financial Corporation (RF) [ST] | | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Schlumberger N.V. (SLB) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ SHORT-TERM BOND FUND OF AMERICA CLASS F3 [MF] | | \$50,001 - \$100,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Stephens SEP IRA ⇒ Sony Corporation (SNE) [ST] | | \$15,001 - \$50,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ THORNBURG LIMITED-TERM INCOME FUND CLASS I [MF] | | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Toyota Motor Corporation (TM) [ST] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ Walt Disney Company (DIS) [ST] | | \$50,001 - \$100,000 | None | | <input type="checkbox"/> |
| Stephens SEP IRA ⇒ WESTERN SHORT TERM BOND FUND CLASS IS [MF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| TN 401k ⇒ Tennessee Stable Value Fund [MF] | | \$500,001 - \$1,000,000 | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| TN 457 ⇒ | | \$250,001 - | Interest | \$1,001 - | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|----------------------------------|-------|----------------|----------------|---------|----------------|
| Tennessee Stable Value Fund [MF] | | \$500,000 | | \$2,500 | |

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|-------------|----------------------|-------------------------------------|
| Stephens Advantage Account ⇒ First Trust Institutional Preferred Securities and Income [EF] | | 11/18/2021 | P | \$15,001 - \$50,000 | |
| Stephens Advantage Account ⇒ First Trust Institutional Preferred Securities and Income ETF (FPEI) [EF] | | 09/15/2021 | P | \$50,001 - \$100,000 | |
| Stephens Advantage Account ⇒ First Trust Preferred Securities and Income ETF ETF (FPE) [EF] | | 09/15/2021 | P | \$50,001 - \$100,000 | |
| Stephens Advantage Account ⇒ ft unit 9164 pfd income portfolio sr 106 monthly cash [CS] DESCRIPTION: . | | 03/17/2021 | P | \$50,001 - \$100,000 | |
| Stephens SEP IRA ⇒ PUTNAM ULTRA SHRT DURATION INCOME FUND CLASS Y [MF] | | 12/20/2021 | S (partial) | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| Stephens SEP IRA ⇒ PUTNAM ULTRA SHRT DURATION INCOME FUND CLASS Y [MF] | | 12/22/2021 | S (partial) | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| Stephens SEP IRA ⇒ SHORT-TERM BOND FUND OF AMERICA CLASS F3 [MF] | | 12/20/2021 | S (partial) | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

| Source | Type | Amount |
|--|---------|-------------|
| Tennessee Consolidated Retirement System | Pension | \$27,655.00 |

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

| Position | Name of Organization |
|--------------|---|
| Board Member | Circuit Playhouse / Playhouse on the Square |

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

| |
|---|
| <div><div>◦ Stephens Advantage Account</div><div>LOCATION: US</div><div>◦ Stephens Roth IRA</div><div>◦ Stephens SEP IRA</div><div>◦ TN 401k</div><div>◦ TN 457</div></div> |
|---|

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 , 08/13/2022