



# NOT REPORTING

MEMBER.  
NEW YORK STOCK EXCHANGE  
SECURITIES INVESTORS PROTECTION CORPORATION

NEW YORK STOCK EXCHANGE  
SECURITIES INVESTORS PROTECTION CORPORATION

BANK OF NEW YORK MELLON CORP

Stephens Inc Custodian for  
Brooks R Davis and TDA

**SPECIAL DELIVERY INSTRUCTIONS**

THANK YOU FOR LETTING US SERVE YOU.

**Us, our, we, firm means Stephens Inc.**

T: ACCOUNT TYPE IN WHICH YOUR TRANSACTION WAS EXECUTED

- CAP.: CAPACITY IN WHICH THE FIRM ACTED

**16 G** As Agent for you we have sold or bought this security. If mutual fund, we have

- 2 As Principals we have sold to you or bought from you this security.
- 3 As Agent for another we have sold to you or bought from you this security.
- 4 As agent for both buyer and seller, charging a commission to buyer or seller or both. (Commission amounts may differ. (Agency Cross Transaction))
- 5 As principal with commission (ied displaying markup or markdown. The price is "The Trade Price reported, unless it is an average price, see below."
- 6 As Principal, we make a market in this security.

8 Multiple capacities, as some combination of principal, riskless principal,

**"IF TRANSACTION IS CONFIRMED AS AN AVERAGE OF THE REPORTED PRICES, DETAILS AVAILABLE ON REQUEST"**

**Adjusted Options:** When standardized options are requested as a result of corporate transactions such as stock dividends or stock splits, the number of shares deliverable upon

Investment securities and products are NOT FDIC insured, are NOT obligations of or guaranteed by any bank and are subject to LOSS of the principal amount invested (except for certain brokered certificates of deposit, which are also subject to certain risks)

underlying technologies or other financial assets as a prepaid, information concerning factors that affect yield (including an institution's estimated yield, weighted average life, and the prepayment assumptions underlying yield) based upon recent actual

### METHOD: Case Report Literature

Offering Documents for Municipal Government Securities ("GSE") and Federal Agency Securities To obtain recent notices and offering documents, including Official Statement, if available, or other offering information visit the websites:

<b>MultiSpools</b>	<a href="http://www.enrto.msh.org">www.enrto.msh.org</a>	<b>FECB (Federal Farm Credit)</b>	<a href="http://www.farmcslc.fcc.com">www.farmcslc.fcc.com</a>
<b>PHILB (Federal Home Loan Bank)</b>	<a href="http://www.fhlb-fd.com">www.fhlb-fd.com</a>	<b>FHUALC (Fradette Allec)</b>	<a href="http://www.fradetteallec.com">www.fradetteallec.com</a>
<b>PHILB (Economic Affairs)</b>	<a href="http://www.philb-ea.com">www.philb-ea.com</a>	<b>GAMMA (Gammare Allec)</b>	<a href="http://www.gammare.com">www.gammare.com</a>
		<b>PRG (Gammare Allec)</b>	<a href="http://www.prgmone.com">www.prgmone.com</a>



# Stephens Inc.

1-800-643-9691  
501-377-2000

• MEMBER •  
NEW YORK STOCK EXCHANGE  
SECURITIES INVESTORS PROTECTION CORPORATION

111 CENTER STREET • LITTLE ROCK, ARKANSAS 72201

III CENTER SHEET • LITTLE ROCK, ARKANSAS 72201									
		ACCOUNT NO.		CODES		Richard O. Rogers III			
SYMBOL		T	TRANS. NO.	MTHD*	CAP*	TRADE DATE	SETTLE DATE	OFC	AE
BK		1	1QJFH18	FIFO	1	11/16/16	11/21/16	436	687684
SECURITY DESCRIPTION									
BANK OF NEW YORK MELLON CORP									
COUPON/MATURITY									
YOU SLD		QUANTITY		CUSIP NUMBER					
28									

## We Make A Market In This Security Discretionary Order Average Price

DE	PRICE	PRINCIPAL	COMMISSION	INTEREST	Tran Fee	MISC.	HANDLING	NET AMOUNT
	47.0301	1,316 84			0.03			1,316 81

SPECIAL DELIVERY INSTRUCTIONS

Stephens Inc Custodian for  
Richard M Burr IRA

## CONFIRMATION

AGREEMENT  
Us, our, we, firm means Stephens Inc.

It is agreed between this firm and the customer:

1. That all transactions are subject to the rules and regulations of the Federal Reserve Board and customs of the Exchange or Market (and its Clearing House if any) where executed
2. That all securities from time to time carried in the customer's open account, or deposited to protect the same may be loaned or pledged by the broker either separately or with other securities of other customers in respect for a sum, not in excess of the aggregate indebtedness of such customers in respect of such securities
3. That delivery of securities sold and payment for securities bought must be received by us at our office not later than the "Settlement Date" otherwise interest charges, additional taxes and premiums are chargeable. Pending full payment on purchases we may hypothecate and commingle with other securities so purchased until as soon as practicable after receipt of payment.
4. That this agreement shall inure to the benefit of any successors of this firm which result merely by withdrawals from or additions to existing firm personnel, where the customer does not indicate his nonacquiescence in such agreement.
5. In some cases Stephens receives payment for directing orders to particular broker/dealers or market centers for execution. When such payment is received it is considered compensation to Stephens and the source and amount of any such compensation in connection with your transaction will be disclosed upon written request.
6. Time of execution available upon request.
7. There may be, under some circumstances, an additional charge for odd-lot executions in the form of a differential of up to 25 cents per share. Amount will be furnished upon request.
8. In the event of a call of callable bonds or preferred stock held in bulk segregation, imperial lotteries are used by the depository and Stephens to apportion the bonds. Uncalled fully paid securities may be withdrawn prior to call unless prohibited by regulations. Details available upon request.
9. If bonds have been delivered to you, we assume no responsibility for nonliquidation of redemption prior to maturity but will make every effort to alert you when call information becomes known.
10. Callable Securities: Call features may exist which could affect yield. Complete information available on request.
11. All mutual funds are sold by prospectus. Confirmation is acknowledgment of receipt of prospectus. You may be eligible for breakpoint discounts based on the size of your purchase, current holdings or future purchases. The sales charge you paid may differ slightly from the prospectus disclosed rate due to rounding calculations. Please refer to the Prospectus, Statement of Additional Information or contact your financial advisor for further information. We may receive payments as an Exchange Broker from the fund.
12. Additional information concerning the security will be provided upon request. A copy of the final official statement for the issue, if prepared, is available if requested within one year of the date of the transaction.
13. CMOs--yields are subject to fluctuation depending on the speed in which the underlying note or receivable prepay. Specific information is available upon written request.
14. If we acted as agent, name of person with whom the transaction was made and source and amount of any other remuneration received by us will be furnished upon written request.
15. Zero coupon bonds: No periodic payments. Callable below maturity value without prior notice by mail to holder unless registered.
16. For advisory accounts, written consent for agency cross transactions may be revoked at any time by written consent to us or advisory affiliate.
17. SUBJECT TO U.S. TREASURY OR AGENCY DEBT AND AGENCY MBS CHARGE TRADING PRACTICE PUBLISHED BY FINRA AND SIFMA AT <http://www.sifma.org/Service/Standard-Form-and-Documents/Security-Products/Securities-Products-Fee-Charge-Trading-Practices/>
18. Agency Cross Transaction consent may be revoked at any time by written notice to Stephens

### CODE EXPLANATION

Us, our, we, firm means Stephens Inc.

T- ACCOUNT TYPE IN WHICH YOUR TRANSACTION WAS EXECUTED

- 1 Cash  
2 General Margin  
3 Short margin  
0 Broker Dealer

CAP\* CAPACITY IN WHICH THE FIRM ACTED

- 1 G As Agent for you we have sold or bought this security. If mutual fund, we have purchased or redeemed mutual fund shares. We also receive remuneration from funds under selling agent, distribution, administration or other agreements. See fund prospectus and SAI re applicable commission (load) and other remuneration. Further information is available on written request.
- 2 As Principal we have sold to you or bought from you this security.
- 3 As Agent for another we have sold to you or bought from you this security.
- 4 As agent for both buyer and seller, charging a commission to buyer or seller or both. Commission amounts may differ. (Agency Cross Transaction)
- 5 As principal with commission field displaying markup or markdown. The price is "The Trade Price reported, unless it is an average price, see below."
- 6 As Principal; we make a market in this security.
- 7 Riskless Principal
- 8 Multiple capacities, as some combination of principal, riskless principal, agent and/or agency cross.
- A B F As Principal This transaction is part of an underwritten distribution in which the firm is participating or has a financial interest, and your acceptance of this Confirmation is acknowledgment of your receipt of the official offering materials.
- R As Agent for you we have redeemed or loaned your security.
- "IF TRANSACTION IS CONFIRMED AS AN AVERAGE OF THE REPORTED PRICES, DETAILS AVAILABLE ON REQUEST"

Adjusted Options: When standardized options are indicated as a result of corporate transactions such as stock dividends or stock splits, the number of shares derivable upon exercise of the option may be adjusted and the option exercise price, expressed as a price per share of the shares subject to the option may also be adjusted, as described in The Options Clearing Corporation Brochure, entitled Characteristics and Risks of Standardized Options, as amended ("Brochure"). The contributions provided for transactions in standardized options that have been affected by such adjustments will disclose, adjacent to the abbreviation "DEL", the adjusted number of shares deliverable upon exercise of such option, and will disclose adjacent to the abbreviation "EASP", the estimated adjusted strike price, expressed as a price per share, for the shares subject to the option, all calculated in accordance with the descriptions set forth in the Brochure.

Investment securities and products are NOT FDIC insured, are NOT obligations of or guaranteed by any bank and are subject to LOSS of the principal amount invested (except for certain brokered certificates of deposit, which are also subject to certain risks.)

Assets back and security subject continuously to prepayment, actual yield may vary according to the rate at which the underlying receivables or other financial assets are prepaid, prepayment concerning factors that affect yield (including a minimum estimated yield, weighted average life, and the prepayment assumptions underlying yield) furnished upon written request.

THANK YOU FOR LETTING US SERVE YOU.

IF THIS TRANSACTION IS INCORRECT IN ANY PARTICULAR, NOTIFY US IMMEDIATELY. FOR FULL EXPLANATION CONTACT YOUR INVESTMENT REPRESENTATIVE OR THE SALES MANAGER.