# This Report Should Be Filed With:

Secretary of the Senate Office of Public Records Hart Building, Suite 232 Washington, DC 20510

# OF FINANCIAL TRANSACTIONS

SECRETARY OF THE SENA

16 JUNIL PH

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NASDAQ your spouse, Berkley Identification of Assets or dependent child. rchase, sale, or exchange pouse, or dependent child s of receiving written Burr (DC) Microsoft NASDAQ/OTC Corp. IBM Corp. (stock) NYSE assets are involved in Microsoft (stock) (stock) filed more In no event ☐ Amendment NYSE than Include Please 0 Senate Office / Agency in Which Employed Transaction × × **Purchase** Type (x)  $\times$ × × Sale Exchange (Mo., Day, Yr.) Transaction 06/09/16 06/09/16 ~ 06/09/16 27 / 1X -⇉  $\times$ ×  $\times$ \$1,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 **Amount** × \$100,001 - \$250,000 m \$250,001 - \$500,000 앜 Transaction × \$500,001 - \$1,000,000  $\triangleright$ Over \$1,000,000\*\*\* 3 \$1,000,001 - \$5,000,000  $\overline{\mathbf{x}}$ Q \$5,000,001 - \$25,000,000 \$25,000,001 - \$50,000,000 Ш Over \$50,000,000

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• MEMBER •

NEW YORK STOCK EXCHANGE

SECURITIES INVESTORS PROTECTION CORPORATION

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## CONFIRMATION

THANK YOU FOR LETTING US SERVE YOU.

### AGREEMENT

- That all transactions are subject to the rules and regulations of the Fodera Reserve Board and customs of the Exchange or Market (and its Clearing House if any) where executed. 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 axcess of the aggregate indebtedness of such customers inrespect of such securities.

  That delivery of sucurities sold and payment for securities bought must be received by us a 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 commincte with other securities so purchased until as soon as practicable after receipt

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- **.** 5 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 nonacquitescence in such agreement.

  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 transactine will be disclosed upon written request.

  Time of execution available upon vertices, an additional charge for odd-for executions in the form of a differential of up to 25 cents per shale. Amount will be lumished upon request.

  There may be, under some circumstances, an additional charge for odd-for executions in the form of a differential of up to 25 cents per shale. Amount will be turnished upon request.

  The event of a call of callable bonds or preferred stock held in bulk segregation, impartial lotteries are used by the depository and Stephens to apportion the bonds. Uncalled fully paid socurities may be withdrawn prior to call unless prohibited by regulations. Details available upon request. be withdrawn prior to call unless prohibited by regulations. Details available upon request.

  Callable Securities: Call teatures may exist which could affect yeld. Complete information available on request.

  All mutual tunds are safe by prospectus. Confirmation is acknowledgement of receipt of prospectus. You may be eligible to treatypoint discounts based on the size of your purchases, current holdings or future purchases. Please refer to the Prospectus, Statement of Additional holdings or future from the fund. Interesting the form the fund.

  The safe proper of the fund of the provided treatypes as an Exchange Broker from the fund.
- 亞 CMOs—yields are subject to fluctuation depending on the speed in which the underlying note or receivable prepays. Specific information is available upon written request. 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. Zero coupon bonds — No periodic payments — callable below maturity value without prior notice by mail to holder unless For advisory accounts, written consent for agency cross transactions may be revoked at any time by written consent to us or adviosry affiliate.

  SUBJECT TO US. TREASURY OR AGENCY DEBT AND AGENCY MBS FAILS CHARGE TRADING PRACTICE PUBLISHED BY AND SIFMA AT

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

CODE EXPLANATION

Us. our, we, firm means Stephens Inc.

ACCOUNT TYPE IN WHICH YOUR TRANSACTION WAS EXECUTED

Short margin
 Broker Dealer

Cash General Margin

- CAPACITY IN WHICH THE FIRM ACTED
- 1 G As Agent tor 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 SAt 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 to both buyer and seller, changing 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 Muttiple 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 participally or has a financial interest, and your acceptance of this Continuation is acknowledgement of your receipt of the official offering materials.

  R As Agent for you we have redeemed at tendered your security.

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

Adjusted Options: When standardized options are adjusted as a result of corporate transactions such as stock dividends or stock spills, the number of shares deliverable upon exercise of the option may be edjusted and the option exercise price, supressed as a price per share of the shares subject to the option exercise price, supressed as a price options. Clearing Coirporation Brochuse, entitled Characteristrics and Risks of Standardized Options, as amended (Brochuse). The confirmations provided for transactions in standardized options that have have there affected by such adjustments with disclose, edjacent to the adjustments with disclose, edjacent to the abbreviation "EASP", the estimated edjusted in price, or pressed as a price per share, for the subreviation "EASP", the estimated edjusted sinks price, or pressed as a price per share, for the subreviation "EASP", the estimated edjusted sinks price, or pressed as a price per share, for the subress subject to the principal amount invested.

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A printed copy of the Official Statement, which be provided upon request to Statement.

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501-377 -800-64 **-2000** 3-9691

• MEMBER •

NEW YORK STOCK EXCHANGE

SECURITIES INVESTORS PROTECTION CORPORATION

CENTER ROCK. ARKANSAS

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## ONFIRMATION

THANK YOU FOR LETTING US SERVE YOU.

### AGREEMENT

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- ğ customs of the Exchange or Market (and its Clearing House if any) where executed, it all securities from time to time carried in the customer's open account, or deposited rotect the same may be loaned or pledged by the broker either separately or with as securities of other customers in respect for a sum, not in axcess of the aggregate obtedness of such customers inrespect of such securities.

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- 4. That this agreement shall insure 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 transactino with 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. In the event of a call of callable bonds or preferred stock held in bulk segregation, importat totteries 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, by withdrawn prior to maturity but will make every effort to alert you when call information becomes known.

  10. Callable Securities: Call teatures may exist which could after yeld. Complete information available on request. It may be eligible for breakpoint discounts based on the size of your purchase, current hoddings or future purchases. The sales charge your paid may differ slightly from the Prospectus disclosed rate due to rounding calculations. Please refer to the Prospectus, Statement of 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 Innal official statement for the issue, if prepared, is available if requested within one year of the date of the Innal official statement for the issue, if prepared, is available if requested within one year of the date of the Innal official sta
- IOs--yields are subject to fluctuation depending on the speed in which the underlying note or eivable prepays. Specific information is available upon written request. In a specific information is available upon written request. In a specific information is available upon written request. In any other remuneration received by us will be furnished upon written request. In coupon bonds -- No periodic payments -- callable below maturity value without prior notice by mail to holder a advisory accounts, written consent for agency cross transactions may be revoked at any time
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- 6 As Principal; we make a market in this security.
  7 Riskless Principal
  8 Mutitple 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 acknowledgement of your receipt of the official offering materials.
  R As Agent for you we have redeemed or tendered your security.
  "IF TRANSACTION IS CONFIRMED AS AN AVERAGE OF THE REPORTED PRICES, DETAILS AVAILABLE ON REQUEST." > ®

Adjusted Options: When standardized options are adjusted as a result of exporate transactions such as stock dividends or stock spills, the number of shares deliverable upon exercise of the option may be adjusted and the option exercise price, expressed as a price per share of the spains subject to the option exercise price, as described in The Options Charing Coirporation Brochure, entitled Characteristics and Risks of Standardized Options, as an entitled (Brochure). The confirmations provided for transactions in stanklardized options trained at a price per site of shares deliverable upon exercise of such option, and will disclose adjacent to the abbreviation "EASP", the estimated either price, enterstand as a price per share, for the shares subject to theoption, all calculated in accordance with the descriptions set fonth in the Brochure.

Investment securities and products are NOT FDIC traused, are NOT obligations of or guaranteed by any bank and are subject to Certain risks.)

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Asset-backed security-subject continuously to prepayment, actually led may vary according to the rine at which the funderlying receivables or other functial assets are prepaid, information concerning factors that affect yield (nabiding it a maintain request.)

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-800-643-9691 501-377-2000

• MEMBER •

NEW YORK STOCK EXCHANGE

SECURITIES INVESTORS PROTECTION CORPORATION

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### ONFIRMATION

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- we acted as agent, name of person with whom the transaction was made and s nount of any other remuneration received by us will be furnished upon written on coupon bonds No periodic payments cattable below maturity value without prior notion advisory accounts, written consent for agency cross transactions may be reviewed written consent to us or adviosry affiliate.

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- <del>5</del> 5 liable below maturity value without prior notice by mail to holder agency cross transactions may be revoked at any time
- <u>.</u> sitms.org/Services/Standard-Forms-and-Documentation/Securi Cross Transaction consent may be revoked at any time by written notice to Stephens
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Investment securities and products are NOT field insured, are NOT obligations of or guaranteed by any beat and site subject to certain risks.)

Asset-backed security-subject continuously to prepayment acqual yield may vary according to the rime at which the disclore without estimated yield, weighted average its, and the prepayment assumptions underlying yield including at a minimum estimated yield, weighted average its, and the prepayment assumptions underlying yield functions.