### | Example: (S) Spouse and Reporting Individual's Name (C) your spouse, or dependent child. excepted investment fund, any real transactions that resulted in a loss. the transaction exceeded \$1,000. notification of such transaction. by you, your spo within 30 days Richard M. days after such transaction. property, or a transaction any stocks, bonds, commodity futures, may this disclosure be clarify which two assets are not report a transaction involving an any reportable exchange. Report any purchase, 2 10 0.5 w 4 **60** 256 Office of Public Records Hart Building, Suite 232 Washington, DC 20510 This Report Should Be Filed With: Washington, Secretary Spouse ) Dependent Child Corporation (stock) NYSE Bank of New other securities when Joint Identification of Assets of the urchase, sale, or exchange spouse, or dependent child Burr of receiving written (DC) Microsoft (stock) NASDAQ/OTC ІВМ Согр. York Mellon Senate filed more than 45 between <del>the</del> In no event (stock) NYSE involved in Amendment amount of include $\Box$ Senate Office / Agency in Which Employed Transaction **Purchase** PERIODIC Type (x) × Sale Exchange (Mo., Day, Yr.) Transaction 7 11/16/16 3 Date 27 DISCL ---× × ONS $\times$ \$1,001 - \$15,000 × \$15,001 - \$50,000 \$50,001 - \$100,000 Amount 38035 × \$100,001 - \$250,000 g m Ш \$250,001 - \$500,000 으 YRY JASE Transaction (x) × × \$500,001 - \$1,000,000 SCHOOL SOLUTION IN THE STATE OF $\triangleright$ $\triangleright$ Over \$1,000,000\*\*\* 3 3 \$1,000,001 - \$5,000,000 ס ס \$5,000,001 - \$25,000,000 \$25,000,001 - \$50,000,000 Щ Ш Over \$50,000,000

-800-643-9691 501-377-2000

SECURITIES INV PROTECTION CORPORATION

CENTER STREET ROCK. ARKANSAS 72201

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THANK YOU FOR LETTING US SERVE YOU.

### ONFIRMATION

- tween this firm and the customer.

  I transactions are subject to the rules and regulations of the Federa Reserve Board stoms of the Exchange or Market (and its Clearing House if any) where executed securities from time to time camed in the customer's open account, or deposited excurities from time to time camed in the customer's open account, or deposited of the same may be loaned or pledged by the broker either separately or with ecurities of other customers in respect for a sum, not in axcess of the aggregate divers of sucurities sold and payment for securities bought must be received by us a fivery of sucurities sold and payment for securities bought must be received by us a fivery of ster than the "Settlement Date" otherwise interest charges, additional taxes maintained with other securities so purchased until as soon as practicable after receipt
- s agreement shall inure to the benefit of any successors of this firm which result merely drawals from or additions to existing firm personnel, where the customer does not indicate acquiescence in such agreement.

- **S**
- In some cases Stephens receives payment for directing orders to particular broke/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 will be disclosed upon written request.

  Time of execution available upon request.

  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. Arrount will be furnished upon request, in 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 peld securities may be windrawn prior to call unless prohibited by regulations. Optials available upon request. If bonds have been delivered to you, we assume no responsibility for notification of redemption prior to maturity but will make every effort to alert you when call information becomes known. Callable Securities: Call teatures may exist which could affect yield. Complete information available on request. All mystual burds are sold by prospectus. Confirmation is acknowledgement of receipt of prospectus. You may be eligible to breakpoint discounts based on the size of your purchase, current hodings or future purchases. The sales charge you pad may differ slightly from the Prospectus disclosed rate due to rounding calculations. Please rater to the Prospectus. Statement of Additional Information or contact your prohases.

  All mystudies are sold by prospectus, if propered, is available if requested within one year of the final official statement for the fisse, if propered, is available if requested within one year of the date of the transaction.

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- we acted as agent, name of person with whom the transaction was made and a mount of any other remuneration received by us will be furnished upon written nero coupon bonds. No periodic payments—callable below maturity value without prior notice or advisory accounts, written consent for agency cross transactions may be revisaled to us or adviosry affiliate.

  UBJECT TO US TREASURY OR ACENCY DEBT AND AGENCY MBS FAILS CHARGE TRADING. 3—yields are subject to fluctuation depending on the speed in which the underlying note or trable prepays. Specific information is available upon written request. acted as agent, name of person with whom the transaction was made and source and unit of any other remuneration received by us will be furnished upon written request.
- 7 **5** 5 on written request. out prior notice by mail to holder us may be revoked at any time
- PRACTICE PUBLISHED BY
- written notice Products-Falk-Ch to Stephens
- 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
- As Agent for you we have sold or bought this security. If mutuel 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 another we have sold to you or bought from you this security.
  5 As principal for another 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 underwritien distribution in which the Firm is periodating or has a financial interest, and your acceptance of this Confirmation is administration by our recept 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 corporate transactions such as stock dividends or stock splits, the number of shares deliverable upon examples of the option may be adjusted and the option by also be adjusted as a price per share of the shares subject to the option may also be adjusted of corporation. Options, as anxended ("Brochure"). The confirmation to the price and Risks of Standardized Options, as anxended ("Brochure"). The confirmation received to the abbreviation "OEL", the adjusted number of shares deliverable upon exercise of such option, and will disclose edjacent to the abbreviation "EASP", the editmete will disclose, adjusted strike price, expressed as a price per share, for the stores subject to theoption, all calculated in accordance with the descriptions set forth in the Brochure.

Investment securities and products the PACT FORC insured, are NOT obligations of or gueranteed by any bank and are subject to certain neks?

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• MEMBER •

NEW YORK STOCK EXCHANGE

SECURITIES INVESTORS PROTECTION CORPORATION

CENTER STREET • LITTLE ROCK, ARKANSAS 72201

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### ONFIRMATION

- d between this firm and the customer.

  It all transactions are subject to the rules and regulations of the Federa Reserve Board I customs of the Exchange or Market (and its Cleaning House if any) where executed I customs of the Exchange or Market (and its Cleaning House if any) where executed I rotact the same may be loaned or pledged by the broker either separately or with ar securities of other customers in respect for a sum, not in excess of the aggregate estedness of such customers invespect of such securities established and payment for securities bought must be received by us a office not later than the "Settlement Date" otherwise interest charges, additional taxes of premiums are chargeable. Pending full payment on purchases we may hypothecate I commincie with other securities so purchased until as soon as practicable after receipt commincies.

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- ø That this agreement shall inure to the benefit of any successors of this firm which result merely that this agreement shall inure to existing firm personnel, where the customer does not indicate by withdrawals from or additions to existing firm personnel, where the customer does not indicate by withdrawals from or additions to existing firm personnel, where the customer does not indicate by withdrawals from or additions to existing 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 will be disclosed upon written request.

  Time of execution available 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 share. Amount will be furnished upon request, in 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 securities may be writtenswn prior to call unless prohibited by regulations. Details available upon request, be writtenswn prior to call unless prohibited by regulations. Details available upon request. Call bonds have been delivered to you, we assume no responsibility for notification of redemption prior to maturity but will make every effort to all ryou when call information becomes known, prior to maturity. But will make every effort to all ryou when call information becomes known, call but and the prospectus. Complete information available on request.

  All mutual funds are sold by prospectus. Confirmation is acknowledgement of receipt of prospectus. You may be eligible for breakpown discounts based on the size of your purchase, current holdings or future purchase. The safe refer to the Prospectus, Statement of Additional information or contact your funds and prospectus and provided the provided the provided t
- dditional information concerning the security will be provided upon request. If ficial statement for the Issue, if prepared, is available if requested within one e transaction.

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- MOs—yields are subject to fluctuation depending on the speed in which the underlying note or ceivable prepays. Specific information is available upon written request, we acted as agent, name of person with whom the transaction was made and source and mount of any other remuneration received by us will be turnished upon written request. For advisory accounts, written consent for agency cross transactions may be revoked at any time and uson sent to us or adviously affiliate.

  \*\*BUBLICATIONS\*\* TREASURY OR AGENCY DEBT AND AGENCY MBS FAILS CHARGE TRADING PRACTICE PUBLISHED OBJEMA AT TO US TRANSACTION OR AGENCY DEBT AND AGENCY MBS FAILS CHARGE TRADING PRACTICE PUBLISHED OBJEMA AT TO SET AND AGENCY DEBT AND AGENCY MBS FAILS CHARGE TRADING PRACTICE PUBLISHED OBJEMA. :sime org/Services/Standerd-Forms-end-Documentston/Securitized-Prod Cross Transaction consent may be revoked at any time by ucts/Secursized-Products-Fats-Ch written notice to Stephens

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

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## THANK YOU FOR LETTING US SERVE

# CODE EXPLANATION Us, our, we, firm means Stephens Inc. ACCOUNT TYPE IN WHICH YOUR TRANSACTION WAS EXECUTED

Short margin
 Broker Dealer

1 Cash 2 General Margin

- CAPACITY IN WHICH THE FIRM ACTED
- 1 G As Agent for you we have sold or bought this security. It mutual fund, we have purchased or redeemed mutual fund shares. We also receive remuneration from funds under setting agent, distribution, administration or other agreements. See fund prospectus and SAI re applicable commission (load) and other remuneration. Further kidomation 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 tor both buyer and setter, 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 principal with commission field displaying markup or markdown. The 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 underwrition distribution in which the Firm is perfecipating 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.

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

Adjusted Options: When standardzed options are adjusted as a result of corporate transactions such as stock dividends or stock splits, the number of shares deliverable upon exercise of the option may be adjusted and the option exercise price, expressed as a pince per share of the shares starting to the option may also be adjusted, as described in The Options. Clearing Corporation Brochure, arrived Characteristics and Risks of Standardzed Options, as amended ("Brochure, arrived Characteristics and Risks of Standardzed Options, as amended ("Brochure, affected by such adjustments will disclose, adjacent to the option standardzed for ransactions in option, and will disclose adjacent to the abbreviation "EASP", the estimated adjusted who option, and will disclose adjacent to the abbreviation "EASP", the estimated adjusted who produce, expressed as a price per share, for the abbreviation "EASP", the estimated adjusted who accordance with the descriptions as forth in abbreviation "EASP", the estimated adjusted who accordance with the descriptions as forth in the Brochure. In the principal amount invested (except to the guaranteed by any bank and security-subject to certain risks).

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