

## Hollis T. Houk, CRPS® VP/Financial Consultant

Main Office:  
Stephens Inc.  
111 Center Street  
Little Rock, AR 72201  
501-377-2000

Investment Adviser's Office:  
Stephens Inc.  
3344 Peachtree Road  
Atlanta, GA 30326  
404-461-5173/404-461-5100

*This Brochure Supplement provides information about Mr. Houk that supplements Stephens Inc.'s ("Stephens") Part 2A Appendix 1 of Form ADV ("brochure"). You should have received a copy of that brochure. Please contact the Compliance Department at 877-891-0095 if you did not receive a complete copy of the Stephens' brochure or if you have any questions about the contents of this supplement.*

Additional information about Mr. Houk is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### **Educational Background and Business Experience**

**Year of birth:** 1964

#### **Formal Education after High School**

BBA Finance, University of Georgia - Athens, GA, 1987  
Chartered Retirement Planning Specialist SM (CRPS®),  
1987

#### **Business Experience**

2022 to Present: VP/Financial Consultant - Stephens Inc.  
2014 to 2022: Financial Consultant - Stephens Inc.  
2010 to 2014: Financial Advisor - UBS Financial Services Inc.  
2004 to 2010: Financial Advisor - LPL Financial Corp.  
2001 to 2004: Financial Advisor - Wachovia Securities, Inc.

For definitions and minimum qualifications for professional designations see **Definitions and Professional Designation Qualifications** in the wrap fee program brochure (Part 2A Appendix 1 of Form ADV).

### **Disciplinary Information**

No legal or disciplinary events that would materially impact a client's evaluation of Mr. Houk have been identified.

### **Other Business Activities**

Stephens is dually registered with the Securities and Exchange Commission as a broker dealer and as an investment adviser. Stephens' investment advisory representatives ("advisory representatives") are also registered representatives of the broker dealer and in most cases have brokerage accounts assigned to them in addition to the investment advisory accounts assigned to them. Advisory representatives of Stephens may also be registered with Stephens Insurance which is an affiliated full-service insurance agency. In these capacities Stephens' representatives often receive compensation for services that they provide which may include commissions, mutual fund trailer fees, sales charges, and other payments. Please see the applicable brochure for a disclosure on conflicts of interest that may result from the investment advisory representative having multiple roles.

Mr. Houk engages in outside business activities involving the following business(es) which are not affiliated with Stephens: Advisory Board - Atlanta Mission; Board Member - Fellowship of Christian Athletes

### **Additional Compensation**

Stephens' advisory representatives receive compensation from Stephens based in substantial part on the revenues received by Stephens from the accounts serviced by the advisory representative. Under Stephens' compensation structure, if certain levels of client revenues are received by Stephens, the FC is also eligible to receive bonuses from Stephens based on the level of these client revenues. Stephens' advisory representatives do not receive compensation from outside sources on the advisory accounts that they serve as representatives of Stephens. Financial Consultants are entitled to receive compensation from Stephens for insurance business referred to affiliates.

### **Supervision**

Mr. Houk reports to Mr. Robert Durham, Managing Director /Branch Manager, 404-461-5141. Supervision takes place by Mr. Saul Rousseau, SVP or his designee reviewing activities of Mr. Houk, such as reviewing trade reports, reviewing selected periodic account statements, reviewing sample communications with clients and reviewing the performance of selected accounts. Mr. Houk has responsibility to conform all activities to the Stephens' Compliance Manual, Code of Professional Conduct, Investment Advisory Policies and Procedures Manual and Investment Advisory Code of Ethics.