

QUARTERLY PERSONAL TRANSACTION REPORT BROOKSTONE FINANCIAL ("BROOKSTONE")

Employee Name: _____ For the Quarter Ending: _____

I am reporting below all transactions required to be reported for the quarter pursuant to Brookstone's Personal Trading Policy. I have completed and returned this report by the 30th calendar day following quarter-end.

Required Transactions to Report

I am required to report all transactions of securities in which I have a direct or indirect beneficial ownership interest. Securities include stocks, bonds, closed-end mutual funds and exchange-traded funds. I am also required to report any transaction executed within an automatic investment plan that overrides a pre-determined schedule.

Transactions Not Required to be Reported

I am not required to report shares of registered open-end investment companies, securities issued by the United States Government, bankers' acceptances, bank certificates of deposit, commercial paper, money market mutual funds and other money market instruments and transactions effected through an automatic investment plan as described in Brookstone's Personal Trading Policy.

TRANSACTION REPORTING

Check one or more applicable boxes:

- ☐ I had no reportable transactions during the period.
- ☐ I had reportable transactions, as disclosed below.
- ☐ I had reportable transactions, as disclosed on the attached brokerage statements.
- ☐ Brookstone is in receipt of brokerage statements reflecting my reportable personal securities transactions.

REPORTABLE TRANSACTIONS

Trade Date	Security Name and Ticker/CUSIP	Number of Shares/Par Int. Rate/Maturity	Purchase Sale Other	Price	Principal Amount	Broker Name	Account Number

Employee Signature: _____ Date: _____

Reviewed by: _____ Title: _____ Date: _____

Attach additional sheets as necessary.