



**State of Rhode Island and Providence Plantations
Office of the Secretary of State**

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

**Foreign Business Corporation
Annual Report**

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501 (c&d)) is subject to a penalty fee of \$25.00.

ANNUAL REPORT YEAR: 2014

1. Corporate ID No. 000792223

2. Name of Corporation STERNE AGEE & LEACH, INC.

3. Street Address Principal Business Office:

No. and Street: 800 SHADES CREEK PARKWAY, SUITE 550

City or Town: BIRMINGHAM

State: AL Zip: 35209 Country: USA

4. Business Phone No.

205-380-1714

5. State of Incorporation

State: DE

6. Brief Description of the Character of Business Conducted in Rhode Island

STOCK BROKER/DEALER

7. Names and Addresses of the Officers and Directors:

All officers and directors must be listed.

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
TREASURER	JON B SANDERSON	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
SECRETARY	WILLIAM K HOLBROOK	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
CFO	ROBERT C CORNE	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
CEO, CHAIRMAN	JAMES S HOLBROOK JR	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
PRESIDENT, COO	WALTER S ROBERTSON III	800 SHADES CREEK PKWY STE 700

		BIRMINGHAM, AL 35209 USA
DIRECTOR	JAMES S HOLBROOK JR	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	ADAM J ASPES	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	J CARY COOPER	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	ROBERT C CORNE	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	RYAN C MEDO	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	CHAPPELL H HILL	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	BRANTLEY T MCDUFFIE	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	THOMAS P TAYLOR	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	BRIAN M SEPE	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	JAMES F DIXON III	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	WALTER S ROBERTSON III	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA
DIRECTOR	CHARLES R WHITE JR	800 SHADES CREEK PKWY STE 700 BIRMINGHAM, AL 35209 USA

8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CWP		\$1.0000	2,500.00	2500

9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.

Signed this 17 Day of February, 2014 at 9:33:20 AM. This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.

By WILLIAM K HOLBROOK

Signature of Authorized Representative of the Corporation

SECRETARY

Title

This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.

Form No. 630
Revised 09/07

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