



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: 2016

1. Corporate ID No. 000146301

2. Name of Corporation Piper Jaffray & Co.

3. Street Address Principal Business Office:

No. and Street: 800 NICOLLET MALL

City or Town: MINNEAPOLIS

State: MN

Zip: 55402

Country: USA

4. Business Phone No.

5. State of Incorporation

State: DE

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

FULL-SERVICE SECURITIES BROKER-DEALER AND INVESTMENT BANKING FIRM

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
SECRETARY	JOHN W GEELAN	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
CFO	DEBBRA L SCHONEMAN	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
PRESIDENT	ANDREW S DUFF	800 NICOLLET MALL MINNEAPOLIS, MN 55402- USA
ASSISTANT SECRETARY	JOHN W GEELAN	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
DIRECTOR	DUFF S ANDREW	800 NICOLLET MALL

		MINNEAPOLIS, MN 55402 USA
DIRECTOR	JEFFREY P KLINEFELTER	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
DIRECTOR	R SCOTT LARUE	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
DIRECTOR	MARTIN BRADLEY WINGES	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
DIRECTOR	FRANK E FAIRMAN	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
DIRECTOR	CHAD ABRAHAM	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
DIRECTOR	TIMOTHY L CARTER	800 NICOLLET MALL MINNEAPOLIS, MN 55402 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>
PWP		\$1,000.0000	3,000.00	0
CWP		\$2,500.0000	1,000.00	459

**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 29 Day of March, 2016 at 12:58:15 PM.** *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 JOHN W. GEELAN, SECRETARY  
Signature of Authorized Representative of the Corporation

Form No. 630  
Revised 09/07

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