



**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: 2017

1. Corporate ID No. 000792223

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

3. Street Address Principal Business Office:

No. and Street: 2 PERIMETER PARK S, STE 100 W
City or Town: BIRMINGHAM

State: AL Zip: 35243 Country: USA

4. Business Phone No.

5. State of Incorporation

State: DE

ARTICLE III

Using the following NAICS codes, please select the code that best describes your business.

NAICS Code 52

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
CEO	CHARLES M LYON	2 PERIMETER PARK S, STE 100 W BIRMINGHAM, AL 35243 USA
CFO	CONNER FRED WAGSTAFF III	2 PERIMETER PARK S, STE 100 W BIRMINGHAM, AL 35243 USA

CCO	RON TROUT	2 PERIMETER PARK S, STE 100 W BIRMINGHAM, AL 35243 USA
DIRECTOR	SEAN M O'CONNOR	2 PERIMETER PARK S, STE 100 W BIRMINGHAM, AL 35243 USA
DIRECTOR	WILLIAM J DUNAWAY	2 PERIMETER PARK S, STE 100 W BIRMINGHAM, AL 35243 USA
DIRECTOR	BRIAN T SEPHTON	2 PERIMETER PARK S, STE 100 W BIRMINGHAM, AL 35243 USA
DIRECTOR	XUONG NGUYEN	2 PERIMETER PARK S, STE 100 W BIRMINGHAM, AL 35243 USA
DIRECTOR	CHARLES M LYON	2 PERIMETER PARK S, STE 100 W BIRMINGHAM, AL 35243 USA
DIRECTOR	TRICIA HARROD	2 PERIMETER PARK S, STE 100 W BIRMINGHAM, AL 35243 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 20 Day of February, 2017 at 2:18:43 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 CONNOR FRED WAGSTAFF III
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07