



**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: 2018

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

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

523120

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
PRESIDENT	DEBBRA L SCHONEMAN	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
SECRETARY	JOHN W GEELAN	800 NICOLLET MALL

		MINNEAPOLIS, MN 55402 USA
CFO	TIMOTHY L CARTER	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
DIRECTOR	ANDREW S DUFF	800 NICOLLET MALL MINNEAPOLIS, MN 55402 USA
DIRECTOR	DUFF S ANDREW	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 2 Day of March, 2018 at 10:45:35 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 JOHN W. GEELAN
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07