

Name of Regulated Entity: Piper Sandler & Co.

Report Period: Fourth Quarter of 2019

I. CONTRIBUTIONS made to officials of a municipal entity (list by state)

State Complete name, title

(including any

city/county/state or other political subdivision) of municipal entity official Contributions by each contributor category (i.e., for purposes of this form, dealer, dealer controlled PAC, municipal finance professional, municipal finance professional controlled PAC, non-MFP executive officer, municipal advisor, municipal advisor controlled PAC, municipal advisor professional, municipal advisor professional, municipal advisor professional controlled PAC, and non-MAP executive officer). For each contribution, list contribution amount and contributor category (disclose all applicable categories for each contributor). (For example, \$500 contribution by non-MFP executive officer)

If any contribution is the subject of an automatic exemption pursuant to Rule

G-37(j), list amount of contribution and date

of such automatic exemption.

None

II. PAYMENTS made to political parties of states or political subdivisions (list by state)

State Complete name (including

any city/county/state or other political subdivision) of

political party

None

Payments by each contributor category



III. CONTRIBUTIONS made to bond ballot campaigns (list by state)

A. Contributions

State Official name of bond ballot

campaign and jurisdiction (including city/county/state or other political subdivision) for which municipal securities would be issued and the name of the entity issuing the municipal securities Contributions, including the specific date the contributions were made, by each contributor category

None

B. Reimbursement for Contributions

List below any payments or reimbursements, related to any disclosed bond ballot contribution, received by each dealer, municipal finance professional, non-MFP executive officer, municipal advisor, municipal advisor professional, or non-MAP executive officer from any third party, including the amount paid and the name of the third party making such payments or reimbursements.

None



${\bf IV.\ MUNICIPAL\ ENTITIES\ with\ which\ the\ regulated\ entity\ has\ engaged\ in\ municipal\ securities\ business\ or\ municipal\ advisory\ business\ (list\ by\ state)}$

State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
AL	City of Brewton, AL, Brewton, Escambia	Negotiated underwriting
AL	City of Brewton, AL, Brewton, Escambia	Negotiated underwriting
AL	Pickens County Water Authority, AL, Pickens	Negotiated underwriting
AL	Water Works Board of the City of Birmingham, AL, Jefferson	Negotiated underwriting
AZ	City of Chandler, AZ, Chandler, Maricopa	Financial advisor
AZ	City of Chandler, AZ, Chandler, Maricopa	Financial advisor
AZ	City of Coolidge, AZ, Coolidge, Pinal	Financial advisor
AZ	City of Scottsdale Municipal Property Corporation, AZ, Maricopa	Financial advisor
AZ	City of Scottsdale Municipal Property Corporation, AZ, Maricopa	Financial advisor
AZ	Flagstaff Unified School District No. 1 of Coconino County, AZ, Coconino	Financial advisor
AZ	Industrial Development Authority of the County of Pima, AZ, Maricopa	Negotiated underwriting
AZ	Scottsdale Waterfront Commercial Community Facilities Distrcit (Scottsdale, Arizona), Maricopa	Financial advisor
AZ	Verrado Western Overlay Community Facilites District, AZ, Maricopa	Private placement
CA	California Health Facilities Financing Authority, CA, Various	Negotiated underwriting
CA	California Municipal Finance	Private placement



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
	Authority, CA, Merced	
CA	City of Carson, CA, Carson, Los Angeles	Negotiated underwriting
CA	Casitas Municipal Water District Community Facilities District 2013-1 (Ojai), CA, Ventura	Negotiated underwriting
CA	Eastern Municipal Water District, CA, Riverside	Negotiated underwriting
CA	Riverside Unified School District, CA, Riverside	Negotiated underwriting
CA	Chino Hills Financing Authority, CA, Chino Hills, San Bernardino	Negotiated underwriting
CA	City of Dixon, CA, Dixon, Sacramento	Negotiated underwriting
CA	Coast Community College District, CA, Orange	Negotiated underwriting
CA	Coast Community College District, CA, Orange	Negotiated underwriting
CA	Corona-Norco Unified School District, CA, Riverside	Financial advisor
CA	Corona-Norco Unified School District, CA, Riverside	Financial advisor
CA	Cupertino Union School District, CA, Santa Clara	Financial advisor
CA	Eskaton, CA, Sacramento	Financial advisor
CA	City of Folsom, CA, Folsom, Sacramento	Negotiated underwriting
CA	City of Tracy, CA, Tracy, San Joaquin	Negotiated underwriting
CA	Imperial Community College District, CA, Imperial	Negotiated underwriting
CA	La Habra Utility Authority, CA, Orange	Negotiated underwriting
CA	La Habra Utility Authority, CA, Orange	Negotiated underwriting
CA	Lake Elsinore Unified School District, CA, Riverside	Financial advisor
CA	Lancaster Financing Authority, CA, Los Angeles	Negotiated underwriting
CA	Long Beach Community	Negotiated underwriting



A. Wumcipai Sc	curities Business	
State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
	College District, CA, Los Angeles	
CA	Long Beach Community College District, CA, Los Angeles	Negotiated underwriting
CA	Los Angeles Community College District, CA, Los Angeles	Negotiated underwriting
CA	Los Angeles Community College District, CA, Los Angeles	Negotiated underwriting
CA	Mount Pleasant Elementary School District, CA, Santa Clara	Financial advisor
CA	Orange Unified School District, CA, Orange	Financial advisor
CA	City of Rancho Cordova, CA, Sacramento	Negotiated underwriting
CA	Riverside Community College District, CA, Riverside & San Bernardino	Negotiated underwriting
CA	Riverside Community College District, CA, Riverside & San Bernardino	Negotiated underwriting
CA	Riverside Unified School District, CA, Riverside	Negotiated underwriting
CA	Riverside Unified School District, CA, Riverside	Negotiated underwriting
CA	City of Roseville, CA, Roseville, Placer	Negotiated underwriting
CA	Saddleback Valley Unified School District, CA, Orange	Financial advisor
CA	San Bernardino Community College District, CA, San Bernardino/Riverside	Negotiated underwriting
CA	San Bernardino Community College District, CA, San Bernardino/Riverside	Negotiated underwriting
CA	San Bernardino Community College District, CA, San Bernardino/Riverside	Negotiated underwriting
CA	Santa Clarita Community	Negotiated underwriting



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
	College District, CA, Los Angeles	
CA	Santa Paula Utility Authority, CA, Ventura	Negotiated underwriting
CA	Solano Community College District, CA, Solano and Yolo	Negotiated underwriting
CA	Sonoma County Junior College District, CA, Sonoma, Marin, Mendocino	Negotiated underwriting
CA	Sonoma County Junior College District, CA, Sonoma, Marin, Mendocino	Negotiated underwriting
CA	South Pasadena Unified School District, CA, Los Angeles	Financial advisor
CA	Sulphur Springs Union School District, CA, Los Angeles	Negotiated underwriting
CA	Walnut Valley Unified School District, CA, Los Angeles	Financial advisor
CA	Weaver Union School Distrct, CA, Merced	Negotiated underwriting
CO	BNC Metropolitan District No. 2, Adams County, CO, Adams	Financial advisor
CO	BNC Metropolitan District No. 2, Adams County, CO, Adams	Financial advisor
CO	City of Colorado Springs, CO, Colorado Springs, Larimer	Private placement
CO	Colorado Health Facilities Authority, CO, Mesa	Negotiated underwriting
CO	City of Colorado Springs, CO, Colorado Springs, El Paso	Negotiated underwriting
CO	Eagle River Water and Sanitation District, CO, Eagle	Negotiated underwriting
СО	Erie Commons Metropolitan District No. 1, No. 2 and No. 3, CO, Weld County	Financial advisor
CO	Erie Commons Metropolitan District No. 1, No. 2 and No. 3, CO, Weld	Financial advisor
CO	Iron Mountain Metropolitan	Financial advisor



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	District, No. 1, Weld County, CO, Weld	
CO	Iron Mountain Metropolitan District, No. 1, Weld County, CO, Weld	Financial advisor
CO	Metro Wastewater Reclamation District, CO, State	Negotiated underwriting
CO	Morgan County School District No. RE-3, CO, Morgan	Private placement
CO	Park Creek Metropolitan District, CO, Denver	Negotiated underwriting
CO	Park Creek Metropolitan District, CO, Denver	Negotiated underwriting
CO	Raindance Metropolitan District No. 2, CO, Weld	Financial advisor
CO	Raindance Metropolitan District No. 2, CO, Weld	Financial advisor
CO	Regents of the University of Colorado, CO, Boulder	Negotiated underwriting
СО	Sky Ranch Community Authority Board, CO, Arapahoe	Financial advisor
CO	Sky Ranch Community Authority Board, CO, Arapahoe	Financial advisor
СО	Sterling Ranch Community Authority Board, Douglas County, CO, Douglas	Financial advisor
CO	Vauxmont Metropolitan District, CO, Jefferson	Financial advisor
CO	Vauxmont Metropolitan District, CO, Jefferson	Financial advisor
CO	City of Westminster, CO, Westminster, Adams and Jefferson	Negotiated underwriting
CT	State of Connecticut, CT, State	Negotiated underwriting
CT	State of Connecticut, CT, State	Negotiated underwriting
CT	Town of Monroe, CT, Monroe,	Negotiated underwriting



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	Fairfield	
CT	Town of Monroe, CT, Monroe, Fairfield	Negotiated underwriting
CT	Town of North Branford, CT, Bnorth Branford, New Haven	Negotiated underwriting
CT	Town of Oxford, CT, Oxford, New Haven	Negotiated underwriting
CT	Town of Oxford, CT, Oxford, New Haven	Negotiated underwriting
CT	Town of Oxford, CT, Oxford, New Haven	Negotiated underwriting
CT	Town of Plymouth, CT, Plymouth, Litchfield	Negotiated underwriting
CT	Town of Stonington, CT, Stonington, New London	Negotiated underwriting
CT	Town of Waterford, CT, Waterford, New London	Negotiated underwriting
GA	Clayton County Urban Redevelopment Agency, GA, Clayton	Financial advisor
GA	College Park Business and Industrial Development Authority, GA, Clayton/ Fulton	Financial advisor
GA	College Park Business and Industrial Development Authority, GA, Clayton/Fulton	Financial advisor
GA	College Park Business and Industrial Development Authority, GA, Clayton/ Fulton	Financial advisor
GA	Downtown Development Authority of the City of Forest Park, GA, Clayton County	Financial advisor
GA	Downtown Development Authority of the City of Forest Park, GA, Clayton County	Financial advisor
GA	Downtown Development Authority of the City of Forest Park, GA, Clayton County	Financial advisor
GA	Downtown Development Authority of the City of Forest	Financial advisor



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GA	Park, GA, Clayton County Downtown Development Authority of the City of Forest Park, GA, Clayton County	Financial advisor
GA	Hapeville Development Authority, GA, Fulton	Financial advisor
GA	Hapeville Development Authority, GA, Fulton County	Financial advisor
GA	City of South Fulton Urban Redevelopment Agency, GA, South Fulton, Fulton	Financial advisor
GA	Urban Redevelopment Agency of the City of Jonesboro, GA, Jonesboro, Clayton	Financial advisor
HI	City and County of Honolulu, HI, Honolulu, Honolulu	Negotiated underwriting
HI	City and County of Honolulu, HI, Honolulu, Honolulu	Negotiated underwriting
HI	City and County of Honolulu, HI, Honolulu, Honolulu	Negotiated underwriting
HI	City and County of Honolulu, HI, Honolulu, Honolulu	Negotiated underwriting
HI	City and County of Honolulu, HI, Honolulu, Honolulu	Negotiated underwriting
IA	Adel-DeSoto-Minburn Community School District, IA, dallas	Financial advisor
IA	City of Ames, IA, Ames, Story	Private placement
IA	Boone Community School District, IA, boone	Private placement
IA	Cedar Rapids Community School District, IA, Linn	Private placement
IA	Centerville Community School District, IA, appanoose	Private placement
IA	City of Burlington, IA, Burlington, des moines	Private placement
IA	City of DeWitt, IA, DeWitt, clinton	Financial advisor
IA	Denver Community School District, IA, bremer	Private placement
IA	Dubuque Community School District, IA, dubuque	Financial advisor



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IA	East Union Community School District, IA, Union	Private placement
IA	Fayette County, IA, fayette	Private placement
IA	Gilbert Community School District, IA, story	Private placement
IA	Humboldt Community School District, IA, humboldt	Private placement
IA	Indianola Community School District, IA, warren	Financial advisor
IA	Indianola Community School District, IA, warren	Private placement
IA	Iowa Finance Authority, IA, Dubuque	Private placement
IA	Iowa Finance Authority, IA, Dubuque	Private placement
IA	Knoxville Community School District, IA, marion	Private placement
IA	Marshalltown Community School District, IA, marshall Mid Parinia Community	Private placement
IA	Mid-Prairie Community School District, IA, washington	Private placement
IA	Odebolt Arthur Battle Creek Ida Grove Community School District (OABCIG Community School District), IA, Ida	Private placement
IA	Odebolt Arthur Battle Creek Ida Grove Community School District (OABCIG Community School District), IA, Ida	Financial advisor
IA	Ogden Community School District, IA, boone	Private placement
IA	Remsen-Union Community School District, IA, plymouth	Private placement
IA	Shenandoah Community School District, IA, page	Private placement
IA	City of Sioux Center, IA, Sioux Center, sioux	Private placement
IA	Storm Lake Community School District, IA, buena vista	Private placement
IA	Wayne Community School	Private placement



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IA	District, IA, wayne Winfield-Mount Union Community School District, IA, henry	Private placement
IA	Winfield-Mount Union Community School District, IA, henry	Private placement
IA	Woodward-Granger Community School District, IA, polk	Private placement
ID	City of Chubbuck, ID, Chubbuck, Bannock	Negotiated underwriting
ID	Idaho State Building Authority, ID, State Authority	Financial advisor
ID	Idaho State University, ID, Bannock	Negotiated underwriting
IL	Bolingbrook Park District, IL, Will	Private placement
IL	Chicago Heights Park District, IL, Cook	Private placement
IL	Glenview Park District, IL, Cook	Financial advisor
IL	Henry Hospital District, IL, Henry County	Private placement
IL	Illinois State Toll Highway Authority, IL, State Agency	Negotiated underwriting
IL	Lisle Park District, IL, DuPage	Private placement
IL	Lisle Park District, IL, Dupage	Private placement
IL	Lisle Park District, IL, DuPage	Private placement
IL	Lockport Township Fire Protection District, IL, Will	Private placement
IL .	Lockport Township Fire Protection District, IL, Will	Private placement
IL	Northern Moraine Wastewater Reclamation District, IL, Lake & McHenry	Financial advisor
IL	Village of Lincolnwood, Cook County, IL, Lincolnwood, Cook	Financial advisor



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IL	Village of South Elgin, IL, South Elgin, Kane	Private placement
IL	Woodridge Park District, IL, DuPage and Will	Private placement
IN	Greater Clark Building Corporation, IN, Clark	Negotiated underwriting
IN	Patoka Lake Regional Water and Sewer District, IN, Crawford, Duboid, Orange	Negotiated underwriting
KS	City of Abilene, KS, Abilene, Dickinson	Financial advisor
KS	City of Andover, KS, Andover, Butler	Financial advisor
KS	City of Andover, KS, Andover, Butler	Financial advisor
KS	City of Andover, KS, Andover, Butler	Financial advisor
KS	City of Columbus, KS, Columbus, Cherokee	Negotiated underwriting
KS	City of Erie, KS, Erie, Neosho	Private placement
KS	City of Dodge City, KS, Dodge City, Ford	Financial advisor
KS	City of Dodge City, KS, Dodge City, Ford	Financial advisor
KS	City of Dodge City, KS, Dodge City, Ford	Financial advisor
KS	City of Ellsworth, KS, Ellsworth, Ellsworth	Financial advisor
KS	Hutchinson Community College, KS, Reno	Private placement
KS	City of Hutchinson, KS, Hutchinson, Reno	Financial advisor
KS	City of Hutchinson, KS, Hutchinson, Reno	Financial advisor
KS	Johnson County Community College, KS, Johnson	Financial advisor
KS	City of Olathe, KS, Olathe, Johnson	Private placement
KS	University of Kansas Hospital Authority, KS, Douglas	Negotiated underwriting
KS	Unified School District No. 253, Lyon County (Emporia),	Negotiated underwriting



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KS	KS, Emporia, Lyon Unified School District No. 266, Sedgwick County (Maize), KS, Maize, Sedgwick	Negotiated underwriting
KS	Unified School District No. 266, Sedgwick County (Maize), KS, Maize, Sedgwick	Negotiated underwriting
KS	Unified School District No. 266, Sedgwick County (Maize), KS, Maize, Sedgwick	Negotiated underwriting
KS	Unified School District No. 290, Franklin County (Ottawa), KS, Ottawa,	Private placement
KS	Franklin Unified School District No. 333, Cloud County (Concordia), KS, Concordia,	Private placement
KS	Cloud Unified School District No. 345 Shawnee County (Seaman), KS, Seaman,	Private placement
KS	Shawnee Unified School District No. 378 Riley County (Riley), KS,	Financial advisor
KS	Riley, Riley Unified School District No. 389, Greenwood County (Eureka), KS, Eureka,	Negotiated underwriting
KS	Greenwood Unified School District No. 413, Neosho County (Chanute), KS, Chanute,	Negotiated underwriting
KS	Neosho Unified School District No. 418, McPherson County (McPherson), KS, McPherson,	Private placement
KS	McPherson Unified School District No. 444, Rice County (Little River-Windom), KS, Little	Financial advisor
KS	River-Windom, Rice Unified School District No. 449, Leavenworth County	Private placement



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
KS	(Easton), KS, Easton, Leavenworth Unified School District No.	Private placement
	464, Leavenworth County (Tonganoxie), KS, Tonganoxie, Leavenworth	
KS	Unified School District No. 471 Cowley County (Dexter), KS, Dexter, Cowley	Financial advisor
KS	Unified School District No. 492, Butler County (Flint Hills), KS, Flint Hills, Butler	Negotiated underwriting
KS	Public Water District No. 1 of Johnson County, KS, Johnson	Financial advisor
LA	Caddo Parrish, LA, Caddo Parrish, Caddo Parish	Negotiated underwriting
MA	Massachusetts Development Finance Agency, MA, Suffolk	Private placement
MA	Massachusetts Clean Water Trust, MA, Various	Negotiated underwriting
MD	City of Baltimore, MD, Baltimore, Baltimore County	Negotiated underwriting
MD	City of Baltimore, MD, Baltimore, Baltimore County	Negotiated underwriting
MI	Advanced Technology Academy, Wayne	Negotiated underwriting
MI	Lansing Board of Water & Light, MI, Ingham	Negotiated underwriting
MI	Michigan Finance Authority, MI, Wayne	Negotiated underwriting
MN	City of Chatfield, MN, Chatfield, Filmore	Negotiated underwriting
MN	City of Columbia Heights, MN, Columbia Heights, Hennepin	Negotiated underwriting
MN	City of Columbia Heights, MN, Columbia Heights, Hennepin	Negotiated underwriting
MN	Minnesota Housing Finance Agency, MN, State Authority	Negotiated underwriting
MN	Minnesota Housing Finance Agency, MN, State Authority	Negotiated underwriting



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MN	City of Minneapolis, MN, Minneapolis, Hennepin & Ramsey	Negotiated underwriting
MN	Housing and Redevelopment Authority of the City of Saint Paul, MN, Saint Paul, Hennepin & Ramsey	Negotiated underwriting
MN	Housing and Redevelopment Authority of the City of Saint Paul, MN, Saint Paul, Ramsey	Private placement
MO	Bayless Consolidated School District, St. Louis County, St. Louis	Financial advisor
MO	City of Jefferson City, MO, Jefferson City, Cole, Callaway	Financial advisor
MO	City of Liberty, MO, Liberty, Clay	Financial advisor
MO	City of Maryville, MO, Maryville, Nodaway	Financial advisor
MO	Clayton School District, MO, St. Louis	Financial advisor
МО	Johnson County Fire Protection District No. 2, MO, Johnson	Private placement
MO	City of Lake Winnebago, MO, Lake Winnebago, Cass	Private placement
MO	City of Liberty, MO, Liberty, Clay	Financial advisor
MO	Public Water Supply District No. 1 of Lincoln County, MO, Lincoln	Negotiated underwriting
MO	Pleasant Hill Fire Protection District, MO, Cass	Private placement
MO	City of Raymore, MO, Raymore, Cass	Financial advisor
MO	Rockwood R-VI School District, MO, St. Louis	Financial advisor
MO	School District of Webster Groves, MO, St. Louis	Financial advisor
MO	City of Warrensburg, MO, Warrensburg, Johnson	Financial advisor
MO	Warrensburg R-VI School	Negotiated underwriting



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	District of Johnson County, MO, Johnson	
МО	West County EMS and Fire Protection District, MO, St. Louis	Financial advisor
NE	City of Ashland, NE, Ashland, Saunders	Negotiated underwriting
NE	Buffalo County School District 0105 (Pleasanton Public Schools), NE, Buffalo	Negotiated underwriting
NE	City of Beatrice, NE, Beatrice, Gage	Negotiated underwriting
NE	City of Elgin, NE, Elgin, Antelope	Negotiated underwriting
NE	City of Minden, NE, Minden, Kearney	Negotiated underwriting
NE	City of Osmond, NE, Osmond, Pierce	Negotiated underwriting
NE	The County of Furnas, NE, Furnas	Negotiated underwriting
NE	The County of Seward, NE, Seward	Negotiated underwriting
NE	City of Dakota City, NE, Dakota City, Dakota	Negotiated underwriting
NE	Deuel County School District 0095 (South Platte Public Schools), NE, Deuel	Negotiated underwriting
NE	City of Falls City, NE, Falls City, Richardson	Negotiated underwriting
NE	City of Friend, NE, Friend, Saline	Negotiated underwriting
NE	Hickman Rural Fire Protection District, NE, Lancaster	Negotiated underwriting
NE	Howard Greeley Rural Public Power District, NE, Howard	Negotiated underwriting
NE	City of Imperial, NE, Imperial, Chase	Negotiated underwriting
NE	City of Kearney, NE, Kearney, Buffalo	Negotiated underwriting
NE	Loup Valleys Rural Public Power District, NE, Valley	Negotiated underwriting



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NE	NE Nuckolls County School District 0011 (Superior Public Schools), Nuckolls	Negotiated underwriting
NE	Omaha Public Power District, NE, Douglas	Negotiated underwriting
NE	Polk County Rural Public Power District, NE, Polk	Negotiated underwriting
NE	Ponca Hills Fire District No 9, NE, Douglas	Negotiated underwriting
NE	Saline County School District 0002 (Crete Public Schools), NE, Saline	Negotiated underwriting
NE	Saline County School District 0002 (Crete Public Schools), NE, Saline	Negotiated underwriting
NE	Sanitary and Improvement District No. 573 of Douglas County, NE, Douglas	Negotiated underwriting
NE	Sarpy County Leasing Corporation, NE, Sarpy	Negotiated underwriting
NE	State of Nebraska, NE, Lancaster	Negotiated underwriting
NE	University of Nebraska Facilities Corporation, NE, Lancaster, Douglas, Buffalo	Negotiated underwriting
NE	University of Nebraska Facilities Corporation, NE, ancaster, Douglas, Buffalo	Negotiated underwriting
NE	Village of Big Springs, NE, Big Springs, Deuel	Negotiated underwriting
NE	Village of Dorchester, NE, Dorchester, Saline	Negotiated underwriting
NE	Village of Elm Creek, NE, Elm Creek, Buffalo	Negotiated underwriting
NE	Haymarket Joint Public Agency, NE, Lancaster	Financial advisor
NE	Wheat Belt Public Power District, NE, Cheyenne	Negotiated underwriting
NE	Wynot Rural Fire District, NE, Cedar	Negotiated underwriting
NH	New Hampshire Municipal Bond Bank, NH, Merrimack	Negotiated underwriting



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NJ	New Jersey Health Care Facilities Financing Authority, NJ, Hudson	Negotiated underwriting
NY	Dormitory Authority of the State of New York, NY, State	Negotiated underwriting
NY	Dormitory Authority of the State of New York, NY, State	Negotiated underwriting
NY	Dormitory Authority of the State of New York, NY, State	Negotiated underwriting
NY	Dormitory Authority of the State of New York, NY, State	Negotiated underwriting
NY	Dormitory Authority of the State of New York, NY, State	Negotiated underwriting
ОН	Franklin County Convention Facilities Authority, CA, Franklin	Negotiated underwriting
ОН	Franklin County Convention Facilities Authority, CA, Franklin	Negotiated underwriting
ОН	State of Ohio (Treasurer of State), OH, State Agency	Negotiated underwriting
ОН	State of Ohio (Treasurer of State), OH, State Agency	Negotiated underwriting
ОН	State of Ohio (Treasurer of State), OH, State Agency	Negotiated underwriting
ОН	Warren County Port Authority, OH, Warren	Private placement
ОН	Warren County Port Authority, OH, Warren	Private placement
ОН	Warren County Port Authority, OH, Warren	Private placement
OR	Bethel School District No. 52, OR, Lane	Negotiated underwriting
OR	City of Sherwood, OR, Sherwood, Washington	Private placement
OR	City of Hillsboro, OR, Hillsboro, Washington	Financial advisor
OR	Hospital Facility Authority of the City of Salem, OR, Marion	Negotiated underwriting
OR	Lebanon Community School District No. 9, OR, Linn	Negotiated underwriting
OR	Multnomah County Drainage	Financial advisor



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	District No. 1, OR, Multnomah	
OR	State of Oregon Department of Transportation, OR, State	Negotiated underwriting
OR	State of Oregon Department of Transportation, OR, State	Negotiated underwriting
OR	Oregon Facilities Authority, OR, Multnomah	Negotiated underwriting
OR	Oregon Facilities Authority, OR, Multnomah	Negotiated underwriting
OR	Pendleton School District No. 16R, OR, Umatilla	Negotiated underwriting
OR	State of Oregon, OR, State	Negotiated underwriting
OR	State of Oregon, OR, State	Negotiated underwriting
OR	State of Oregon, OR, State Authority	Negotiated underwriting
OR	State of Oregon, OR, State	Negotiated underwriting
OR	State of Oregon, OR, State	Negotiated underwriting
OR	State of Oregon, OR, State	Negotiated underwriting
OR	State of Oregon, OR, State	Negotiated underwriting
PA	Carlisle, PA, Carlisle, Bradford	Negotiated underwriting
PA	Carlisle, PA, Carlisle, Bradford	Negotiated underwriting
PA	Carlisle, PA, Carlisle, Bradford	Negotiated underwriting
PA	Carlisle, PA, Carlisle, Bradford	Negotiated underwriting
PA	Bellwood-Antis School District, PA, Blair	Negotiated underwriting
PA	Bethel Park Municipal Authority, PA, Allegheny	Negotiated underwriting
PA	Borough of Plum, PA, Plum, Allegheny	Negotiated underwriting
PA	Borough of Plum, PA, Plum, Allegheny	Negotiated underwriting
PA	Carlisle Area School District, PA, Allegheny	Negotiated underwriting
PA	Chester County Health and Education Facilities Authority, PA, Montgomery	Negotiated underwriting
PA	Interboro School District, PA,	Negotiated underwriting



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	Delaware	
PA	Meyersdale Area School District, PA, Somerset	Negotiated underwriting
PA	Municipality of Bethel Park, PA, Bethel Park, Allegheny	Negotiated underwriting
PA	Northampton County Industrial Development Authority, PA, Northampton	Negotiated underwriting
PA	Pennsylvania Housing Finance Agency, PA, State Authority	Negotiated underwriting
PA	Pennsylvania Housing Finance Agency, PA, State Authority	Negotiated underwriting
PA	Pennsylvania Turnpike Commission, PA, Dauphin	Negotiated underwriting
PA	Pennsylvania Turnpike Commission, PA, Dauphin	Negotiated underwriting
PA	Spring Cove School District, PA, Blair County	Negotiated underwriting
PA	Spring Cove School District, PA, Blair County	Negotiated underwriting
PA	Township of Hampton, PA, Hampton, Allegheny County	Negotiated underwriting
PA	Troy Borough Municipal Authority, PA, Troy, Bradford	Private placement
PA	Upper Allegheny Joint Sanitary Authority, PA, Allegheny	Negotiated underwriting
PA	Upper Allegheny Joint Sanitary Authority, PA, Allegheny	Negotiated underwriting
PA	Wayne Highlands School District, PA, Wayne	Negotiated underwriting
RI	Rhode Island Infrastructure Bank, State	Negotiated underwriting
SC	Chester Sewer District, SC, Chester	Negotiated underwriting
SD	South Dakota Board of Regents, SD, State Agency	Negotiated underwriting
SD	South Dakota Board of Regents, SD, State Agency	Negotiated underwriting



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
SD	South Dakota Building Authority, SD, State Agency	Negotiated underwriting
TN	Blountville Utility Distict of Sullivan County TN, Sullivan	Negotiated underwriting
TN	City of Memphis, TN, Memphis, Shelby	Negotiated underwriting
TX	Anna Independent School District, TX, Collin	Negotiated underwriting
TX	Barbers Hill Independent School District, TX, Chambers	Negotiated underwriting
TX	Barbers Hill Independent School District, TX, Chambers	Negotiated underwriting
TX	Board of Regents, Texas State University System, TX, Travis	Negotiated underwriting
TX	Board of Regents, Texas State University System, TX, Travis	Negotiated underwriting
TX	Boerne Independent School District, TX, Kendall, Bexar, Comal	Negotiated underwriting
TX	Conroe Independent School District, TX, Montgomery	Negotiated underwriting
TX	Cypress-Fairbanks Independent School District, TX, Harris	Negotiated underwriting
TX	City of Irving, TX, Irving, Dallas	Negotiated underwriting
TX	Killeen Independent School District, TX, Bell, Coryell	Negotiated underwriting
TX	Lubbock-Cooper Independent School District, TX, Lubbock	Negotiated underwriting
TX	Midlothian Independent School District, TX, Ellis	Negotiated underwriting
TX	New Caney Independent School District, TX, Montgomery, Harris	Negotiated underwriting
TX	Northside Independent School District, TX, Bexar	Negotiated underwriting
TX	Northwest Independent School District, TX, Denton, Tarrant, Wise	Negotiated underwriting
TX	Prosper Independent School District, TX, Collin, Denton	Negotiated underwriting



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
TX	Red Oak Economic Development Corporation, TX, Ellis	Negotiated underwriting
TX	Red Oak Economic Development Corporation, TX, Ellis	Negotiated underwriting
TX	Rockwall Independent School District, TX, Rockwall, Collin, Kaufman	Negotiated underwriting
TX	City of San Antonio, TX, San Antonio, Bexar	Negotiated underwriting
TX	County of Titus, TX, Titus	Negotiated underwriting
TX	Weslaco Housing Opportunities Corporation, TX, Hildago	Negotiated underwriting
UT	Salt Lake County, UT, Salt Lake	Private placement
UT	Salt Lake County, UT, Salt Lake	Negotiated underwriting
UT	State Board of Regents of the State of Utah, UT, Sanpete	Negotiated underwriting
VT	Vermont Housing Finance Agency, VT, State Authority	Financial advisor
VT	Vermont Housing Finance Agency, VT, State Authority	Financial advisor
WA	City of Bainbridge Island, WA, Bainbridge Island, Kitsap	Negotiated underwriting
WA	City of Bainbridge Island, WA, Bainbridge Island, Kitsap	Negotiated underwriting
WA	Clallam County Public Hospital District No. 1, WA, Clallam	Private placement
WA	Highline School District No. 401, WA, King	Negotiated underwriting
WA	City of Kennewick, WA, Kennewick, Benton	Negotiated underwriting
WA	Kent School District No. 415, WA, King	Negotiated underwriting
WA	County of King, WA, King	Financial advisor
WA	County of King, WA, King	Financial advisor
WA	Methow Valley School District No. 350, WA, Okanogan	Private placement



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
WA	Northshore School District No. 417, WA, King	Negotiated underwriting
WA	Public Hospital District No. 2, Skagit County, WA, Skagit	Private placement
WA	Public Hospital District No. 2, Skagit County, WA, Skagit	Private placement
WA	Mason County Public Hospital District, No. 1, WA, Mason	Private placement
WA	Public Hospital District No. 1, Skagit County, WA, Skagit	Private placement
WA	City of Richland, WA, Richland, Benton	Negotiated underwriting
WA	City of Richland, WA, Richland, Benton	Negotiated underwriting
WA	City of Seattle, WA, Seattle, King	Financial advisor
WA	City of Seattle, WA, Seattle, King	Financial advisor
WA	Snohomish County Public Hospital District No. 1, WA, Snohomish	Private placement
WA	Central Puget Sound Regional Transit Authority (SoundTransit), WA, King	Financial advisor
WA	South Correctional Entity Facility, WA, King	Negotiated underwriting
WA	City of Tacoma, WA, Tacoma, Pierce	Financial advisor
WA	Washington Higher Education Facilities Authority, WA, Spokane	Negotiated underwriting
WA	State of Washington, WA, State Authority	Financial advisor
WV	The City of Huntington, Huntington, Cabell	Private placement
WV	County Commission of Cabell County, WV, Cabell County	Private placement
WV	The County Commission of Marion County, Marion	Private placement
WV	City of South Charleston Municipal Building	Private placement



A. Municipal Securities Business

State Complete name of municipal Type of municipal securities business

entity and city/county (negotiated underwriting, private placement,

financial advisor, or remarketing agent)

Commission, WV, South

Charleston, Kanawha

AZ City of Apache Junction, AZ, Financial advisor

Apache Junction, Pinal

B. Municipal Advisory Business

State Complete name of municipal Type of municipal advisory business (advice entity and city/county or solicitation) (and in the case of municipal

advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment

advisory services))

UT Utah Associated Municipal Advice

Power Systems (UAMPS),

State Authority

CA Escondido Union School Advice

District, San Diego

CO Black Creek Capital, Denver Advice MO City of Jefferson City, Advice

Jefferson City, Cole

IA Iowa Great Lakes Sanitary Advice

District, State Authority

MN Science Museum of Advice

Minnesota, Ramsey

IA City of Coralville, Iowa, Advice

Coralville, Johnson

KS City of Concordia, Concordia, Advice

Cloud

IA Baxter Community School Advice

District, Jasper

MO City of Kearney, Kearney, Advice

Clay

CO Eagle Cross Development, Advice

Inc., Weld

MO Duckett Creek Sanitary Advice

District, Saint Charles

CA Barstow Unifed School Advice

District, San Bernardino

CA Valley Center-Pauma Unified Advice



State	Complete name of municipal entity and city/county	Type of municipal advisory business (advice or solicitation) (and in the case of municipal advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment advisory services))
	School District, San Diego	
MO	Chesterfield Valley Transportation Development District, Saint Louis	Advice
KS	City of Hutchinson, Hutchinson, Reno	Advice
OR	City of Medford, Medford, Jackson	Advice
CO	Broe Infrastructure Development, LLC, Denver	Advice
GA	City of South Fulton, South Fulton, Fulton	Advice
CO	Spring Valley Metropolitan District No. 2, Jefferson	Advice
IA	County of Boone, Boone	Advice
IA	City of Sioux Center, Sioux Center, Sioux	Advice
KS	City of Dodge City, Dodge City, Ford	Advice
MO	North Kansas City School District, Clay	Advice
IA	Hardin County, Hardin	Advice
CA	Corona-Norco Unified School District,, Los Angeles	Advice
IA	City of Coralville, Iowa, Coralville, Johnson	Advice
CA	Norwalk-La Mirada Unified School District, Los Angeles	Advice
GA	DeKalb County, DeKalb	Advice
MO	City of Lebanon, Lebanon, Laclede	Advice
KS	City of Mulvane Public Building Commission, Mulvane, Sedgwick	Advice
KS	City of Abilene, Abilene, Saline	Advice
MO	City of Cape Girardeau, Cape	Advice



State	Complete name of municipal entity and city/county	Type of municipal advisory business (advice or solicitation) (and in the case of municipal advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment advisory services))
	Girardeau, Cape Girardeau	
KS	Unified School District No. 477 (Gray County), Grays Harbor	Advice
IA	Kirkwood Community College, Linn	Advice
AZ	Arizona Department of Adminiswtration (ADOA), State Authority	Advice
KS	City of Kechi, Kechi, Sedgwick	Advice
WA	City of Renton, Renton, King	Advice
NY	Nebraska Multisport Complex, Lake Vista, Sarpy	Advice
KS	City of Leavenworth, Leavenworth, Leavenworth	Advice
CO	E-470 Public Highway Authority, Arapahoe	Advice
WA	State of Washington, State Authority	Advice
IA	City of LeGrand, LeGrand, Marshall	Advice
IA	Polk County, Iowa, Polk	Advice
GA	City of College Park, College Park, Fulton	Advice
IA	Roland Story Community School District, Story	Advice
МО	Middle Big Creek Sewer Sub-District of Little Blue Valley Sewer District, Jackson	Advice
GA	South Fulton Development Authority, Fulton	Advice
WA	Public Utility District No. 1 of Franklin County, Franklin	Advice
GA	City of Thomaston, Thomaston, Upson	Advice
GA	City of Hampton, Hampton,	Advice



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State	Complete name of municipal entity and city/county	Type of municipal advisory business (advice or solicitation) (and in the case of municipal advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment advisory services))
	Henry	
IA	Iowa Great Lakes Sanitary District, Dickinson	Advice
MO	City of Maryville, Maryville, Nodaway	Advice
ID	Meridian Free Library District, Ada	Advice
KS	Water One, State Authority	Advice
OR	Lane County, Lane	Advice
OR	Housing Authority of Washington County, Washington	Advice
OR	Bend Park and Recreation District, Deschutes	Advice
MO	Dunklin R-V School District of Jefferson County, Jefferson	Advice
MO	Webster County, Webster	Advice
WA	Port of Seattle, King	Advice
KS	Unified School District No. 501, Shawnee	Advice
ID	Joint School District No. 231 (Gooding), Gooding	Advice
IA	Iowa Great Lakes Sanitary District, State Authority	Advice
CA	Monterey Peninsula Unified School District, Monterey	Advice
GA	Dougherty County, Dougherty	Advice
IA	Storm Lake Community School District, Buena Vista	Advice
IA	City of Rock Rapids, Rock Rapids, Lyon	Advice
CA	Mount Pleasant Elementary School District, Cabarrus	Advice
KS	Unified School District No. 493 Cherokee County, Cherokee	Advice
CA	Tustin Unified School District,	Advice



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	Orange	
CO	Erie Land Company, LLC, Denver	Advice
IA	City of Coralville, Iowa, Coralville, Johnson	Advice
GA	Dougherty County, Dougherty	Advice
MO	City of Camdenton, Camdenton, Camden	Advice
CO	Rampart Range Metropolitan District No. 1, Douglas	Advice
WA	University of Washington, King	Advice
GA	Clayton County, Clayton	Advice
KS	Unified School District No. 274 Logan County, Logan	Advice
CO	Erie Commons Metropolitan District No. 1, No. 2 and No. 3, Boulder	Advice
IA	Greene County Community School District, Greene	Advice
NY	Metropolitan Transportation Authority, New York	Advice
MO	Kirkwood School District, Saint Louis	Advice
IA	Grinnell-Newburg Community School District, Poweshiek	Advice
IA	Bondurant-Farrar Community School District, Polk	Advice
AZ	City of Coolidge, Coolidge, Pinal	Advice
IA	Carlisle Community School District, Warren	Advice
IA	College Community School District, Linn	Advice
OR	Hillsboro School District No.	Advice



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	1J, Washington	
IA	Lacina Meadows Public Water Supply District, Johnson	Advice
GA	City of Norcross, Norcross, Gwinnett	Advice
WA	Central Puget Sound Regional Transit Authority, King	Advice
AZ	Electrical District No. 3 of Pinal County, Pinal	Advice
IA	Council Bluffs Community School District, Pottawattamie	Advice
IA	Polk County, Iowa, Polk	Advice
KS	Riley County, Kansas, Riley	Advice
WV	Board of Education of Monroe County, Monroe	Advice
МО	South Central Buchanan County Fire Protection District, South Central Buchanan	Advice
CA	Lake Elsinore Unified School District, Riverside	Advice
CA	Conejo Valley Unified School District, Fresno	Advice
IA	City of Wayland, Wayland, Henry	Advice
MO	City of Raymore, Raymore, Cass	Advice
CO	Adams County, Adams	Advice
MO	Industrial Development Authority of the City of Kirkwood, Kirkwood, Saint Louis	Advice
IA	North Mahaska Community School District, Mahaska	Advice
MO	City of Forsyth, Forsyth,	Advice



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	Taney	
IA	City of Sioux City, Sioux City, Woodbury	Advice
KS	Unified School District No. 252, Lyon County, Lyon	Advice
IA	Northeast Iowa Community College, Winneshiek	Advice
IA	Easton Valley Community School District, Jackson	Advice
WA	King County, King	Advice
IA	City of Urbandale, Urbandale, Dallas	Advice
CO	The Brands East Metropolitan Districts No. 1-4, Larimer	Advice
IA	City of Grimes, Grimes, Polk	Advice
CA	Fullerton School District, Orange	Advice
AZ	Casa Grande Elementary School District No. 4 of Pinal County, Pinal	Advice
IA	Central Community School District, Clayton	Advice
WA	Central Valley School District No. 356, Spokane	Advice
WA	Bellingham School District No. 501, Whatcom	Advice
MO	Creve Coeur Fire Protection District, Saint Louis	Advice
MO	Parkway School District, Gwinnett	Advice
MO	St. Charles City-County Library District, Saint Charles	Advice
WV	West Virginia Housing Development Fund, State Authority	Advice
MO	Little Blue Valley Sewer	Advice



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	District, Jackson	
IA	City of Spirit Lake, Spirit Lake, Dickinson	Advice
MO	Rockwood R-VI School District, Saint Louis	Advice
IA	City of Jefferson, Jefferson, Greene	Advice
IA	Dallas Center-Grimes Community School District, Dallas	Advice
IA	Ames Community School District, Story	Advice
CA	Orcutt Unified School District, Santa Barbara	Advice
ID	City of Moscow, Moscow, Latah	Advice
OR	Washington County, Washington	Advice
AZ	City of Chander, Arizona, Chandler, Maricopa	Advice
WA	City of Bellevue, Bellevue, King	Advice
CO	Pinery Commercial Metropolitan District, Arapahoe	Advice
MO	City of Clayton, Clayton, Saint Louis	Advice
CA	Los Alamitos Unified School District, Orange	Advice
ID	Blaine County, Blaine	Advice
CA	San Gabriel Unified School District, Los Angeles	Advice
IA	Kirkwood Community College, Linn	Advice
IL	Village of Lincolnwood, Lincolnwood, Cook	Advice
OR	City of Milwaukie, Milwaukie,	Advice



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	Clackamas	
IA	Atlantic Community School District, Cass	Advice
NE	Douglas County School District 001 (Omaha Public Schools), Douglas	Advice
CA	Daly City, Daly City, San Mateo	Advice
MO	City of Liberty, Liberty, Clay	Advice
CO	Poudre Tech Metropolitan District, Weld	Advice
CO	Lorson Ranch Metropolitan District, El Paso	Advice
GA	Downtown Development Authority of the City of Norcross, Norcross, Gwinnett	Advice
KS	City of Valley Center, Valley Center, Sedgwick	Advice
IA	MOC-Floyd Valley Community School District, Sioux	Advice
KS	City of Sterling, Sterling, Rice	Advice
ID	City of Nampa, Nampa, Canyon	Advice
KS	Kansas City Kansas Community College, Wyandotte	Advice
MO	Christian County, Christian	Advice
GA	City of Stockbridge, Stockbridge, Henry	Advice
IA	City of Storm Lake, Storm Lake, Buena Vista	Advice
ID	Kimberly School District No. 414, Twin Falls	Advice
MO	School District of Columbia, Boone	Advice
KS	Unified School District No.	Advice



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	423, McPherson	
IA	Story County Medical Center, Story	Advice
IA	Waterloo Community School District, Black Hawk	Advice
KS	City of Andover, Andover, Butler	Advice
IA	Seymour Community School District, Wayne	Advice
IA	Okoboji Community School District, Dickinson	Advice
MO	City of Richmond Heights, Richmond Heights, Saint Louis	Advice
CO	Summit County Government, Summit	Advice
MO	Bayless School District, Saint Louis	Advice
KS	City of Valley Center, Valley Center, Sedgwick	Advice
IA	Griswold Community School District, Cass	Advice
MO	West County EMS & Fire Protection District, Saint Louis	Advice
IA	Solon Community School District, Johnson	Advice
IN	Major Hospital, Shelby	Advice
MO	Clayton School District, Saint Louis	Advice
AZ	Scottsdale Unified School District No. 48 of Maricopa County, Maricopa	Advice
OR	City of Albany, Albany, Linn	Advice
IA	City of Sioux Center, Sioux Center, Sioux	Advice
OR	City of Hillsboro, Hillsboro,	Advice



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	Washington	
CO	Spring Valley Metropolitan District No. 3, Jefferson	Advice
AZ	Town of Florence, Florence, Pinal	Advice
ID	Teton SD 401, Teton	Advice
OH	Ohio Living, Various	Advice
WA	Edmonds Public Facilities District, Snohomish	Advice
MO	Lindbergh Schools, Saint Louis	Advice
MO	Kearney Fire and Rescue Protection District, Clay	Advice
WA	Central Valley School District No. 356, Kitsap	Advice
WA	City of Bellingham, Bellingham, Whatcom	Advice
KS	Unified School District No. Pottawatomie County (Onaga-Havensville-Wheaton) Pottawattamie	Advice
CA	Tustin Unified School District, Orange	Advice
WV	West Virginia Housing Development Fund, State Authority	Advice
IA	Galva-Holstein Community School District, Ida	Advice
IA	Clear Creek Amana Community School District, Johnson	Advice
OR	City of Milwaukie, Milwaukie, Clackamas	Advice
CO	VREI, Inc., Denver	Advice
WV	Jefferson County Board of Education, Jefferson	Advice
MO	Park Hill School District of	Advice



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	Platte County, Missouri, St. Francis	
KS	Unified School District, No. 378 Riley County, Riley	Advice
MO	City of Osage Beach, Osage Beach, Camden	Advice
CO	Jefferson Center Metropolitan District No. 1, Jefferson	Advice
AZ	City of Apache Junction, Apache Junction, Maricopa	Advice
KS	Johnson County Community College, Johnson	Advice
IA	City of Keokuk, Keokuk, Lee	Advice
MO	Excelsior Springs Hospital, Clay	Advice
GA	Downtown Development Authority of the City of Forest Park, Forest Park, Clayton	Advice
KS	City of Abilene, Abilene, Saline	Advice
KS	Unified School District No. 205 (Butler County), Butler	Advice
OR	School District No. 1J, Multnomah County, Multnomah	Advice
CA	Orange Unified School District, Orange	Advice
IA	Riverside Community School District, Pottawattamie	Advice
MO	City of Perryville, Perryville, Perry	Advice
CA	Escondido Union High School District, San Diego	Advice
AL	City of Jemison, Jemison, Chilton	Advice
ID	SD No. 271 Coeur d'Alene, Kootenai	Advice



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MO	City of Urbana, Urbana, Dallas	Advice
KS	Unified School District No. 286 Chautauqua County, Chautauqua	Advice
IA	New Hampton Community School District, Chickasaw	Advice
WV	Hampshire County Board of Education, Hampshire	Advice
CA	Victor Elementary School District, San Joaquin	Advice
MO	City of Centralia, Centralia, Boone	Advice
CA	Huntington Beach Union High School District, Orange	Advice
WA	Okanogan County Public Utility District, Okanogan	Advice
KS	City of Hillsboro, Hillsboro, Marion	Advice
NE	West Haymarket Joint Public Agency, Lancaster	Advice
WA	City of Mercer Island, Mercer Island, King	Advice
MA	Massachusetts Bay Transportation Authority, State Authority	Advice
ID	City of Moscow, Moscow, Latah	Advice
AZ	Central Arizona Water Conservation District, Maricopa	Advice
MO	City of O'Fallon, O'Fallon, St. Charles	Advice
IA	Mount Vernon Community School District, Linn	Advice
VT	Vermont Housing Finance Agency, State Authority	Advice



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IA	Sidney Community School District, Fremont	Advice
AZ	City of Apache Junction 2010 Consulting, Apache Junction, Maricopa	Advice
DC	Federal Railroad Administration, Office of Acquisition Services, State Authority	Advice
CA	Las Virgenes Unified School District, Los Angeles	Advice
CA	Glendora Unified School District, Los Angeles	Advice
IL	Golum Real Estate Corp., Cook	Advice
IA	City of Spirit Lake, Spirit Lake, Dickinson	Advice
KS	Osborne County, Osborne	Advice
IL	City of Chicago, Chicago, Cook	Advice
KS	City of Lyons, Lyons, Rice	Advice
ID	State of Idaho, Ada	Advice
KS	Unified School District No 363, Finney County (Holcomb), Finney	Advice
CO	North Park Metropolitan Districts, Broomfield	Advice
CO	Crystal Valley Metropolitan District No. 2, Douglas	Advice
MO	City of Washington, Washington, Franklin	Advice
KS	Unified School District No. 471, Cowley	Advice
CO	Centerra Metropolitan District No. 1, Loveland, Larimer	Advice
WV	Ohio County Board of	Advice



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	Education, Ohio	
CA	Palos Verdes Peninsula Unified School District, Los Angeles	Advice
OR	Sandy Urban Renewal Agency, Sandy, Clackamas	Advice
KS	Reno County Unified School District No. 310 (Fairfield), Reno	Advice
OR	Metro, Oregon, Multnomah	Advice
IA	Linn-Mar Community School District, Linn	Advice
WV	West Virginia Housing Development Fund, State Authority	Advice
WV	Roane County Board of Education, Roane	Advice
CO	Dominion Water and Sanitation District, Douglas	Advice
MO	Pulaski County, Pulaski	Advice
IL	Village of Glenview, Glenview, Cook	Advice
IA	Northeast Iowa Community College, Winneshiek	Advice
MO	Drury University, Greene	Advice
MO	City of Moberly, Moberly, Christian	Advice
CO	Sky Ranch Community Authority Board, Adams	Advice
WA	City of Bellingham, Bellingham, Norfolk	Advice
CA	West Covina Unified School District, Los Angeles	Advice
CO	BNC Metropolitan District No. 2, Adams	Advice
IA	City of Mount Pleasant, Mount Pleasant, Henry	Advice



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GA	Development Authority of the City of Hapeville, Hapeville, Fulton	Advice
GA	Urban Redevelopment Agency of the City of Jonesboro, Clayton	Advice
OR	Multnomah County, Multnomah	Advice
GA	Urban Redevelopment Agency of the City of Jonesboro, Clayton	Advice
OR	City of Grants Pass, Grants Pass, Josephine	Advice
OR	Tualatin Valley Fire and Rescue, Washington	Advice
CA	Vista Unified School District, San Diego	Advice
CA	Salida Area Public Facilities Financing Authority, Stanislaus	Advice
CA	Duarte Unified School District, Los Angeles	Advice
IA	Danville Community School District, Des Moines	Advice
ID	Shelley Joint School District No. 60, Bingham	Advice
KS	City of Wichita, Wichita, Sedgwick	Advice
MO	City of Liberty, Liberty, Clay	Advice
CA	Union Elementary School District, Santa Clara	Advice
IA	East Buchanan Community School District, Buchanan	Advice
MO	City of Warrensburg, Warrenburg, Johnson	Advice
OR	Columbia County, Columbia	Advice
NM	Winrock Town Center Tax	Advice



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	Increment Development District, Bernalillo	
IA	Highland Community School District, Washington	Advice
CA	ABC Unified School District, Los Angeles	Advice
IA	Ogden Community School District, Boone	Advice
IA	Odebolt Arthur Battle Creek Ida Grove Community School District, Ida	Advice
PA	Abington School District, Montgomery	Advice
MO	City of Rolla, Rolla, Buchanan	Advice
ID	Boise State University, Ada	Advice
OR	Eugene Water and Electric Board, Lane	Advice
IA	City of Lake View, Iowa, Lake View, Sac	Advice
CO	Heritage Ridge Metropolitan District, Larimer	Advice
MO	City of Belton, Belton, Cass	Advice
WA	City of Seattle, Seattle, King	Advice
KS	Unified School District No. 444 (Rice County), Rice	Advice
WA	Benton Public Utility District, Benton	Advice
KS	Unified School District No. 215 Kearney County, Kearny	Advice
ID	Idaho State Building Authority, Ada	Advice
IA	Pleasantville Community School District, Marion	Advice
KS	City of Dodge City, Dodge City, Ford	Advice
GA	City of Norcross Downtown	Advice



State	Complete name of municipal entity and city/county	Type of municipal advisory business (advice or solicitation) (and in the case of municipal advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment advisory services))
	Development Authority, Norcross, Gwinnett	
AZ	City of Phoenix, Phoenix, Maricopa	Advice
KS	City of Mulvane, Mulvane, Sedgwick	Advice
AZ	City of Tucson, Tucson, Pima	Advice
GA	Urban Redevelopment Agency of the City of Forest Park, Forest Park, Clayton	Advice
AZ	Flagstaff Unified School District No. 1 of Coconino County, Coconino	Advice
CA	Hawthorne School District, Los Angeles	Advice
AZ	Crane Elementary School District No. 13, Yuma	Advice
IL	Glenview Park District, Cook	Advice
IA	TEG Property I, LLC, Linn	Advice
IL	Cantata Adult Life Services, Cook	Advice
SD	Wakonda Heritage Manor Avera, Clay	Advice
IA	College Community School District, Linn	Advice
WV	West Liberty University, Ohio	Advice
CA	Oak Park Unified School District, Los Angeles	Advice
IA	Sioux Center Community School District, Sioux	Advice
MO	Meridian Metropolitan District, Douglas	Advice
IA	Ballard Community School District, Story	Advice
IA	Clarke Community School District, Clarke	Advice
MO	City of Monett, Monett, Barry	Advice



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IA	City of Keokuk, Keokuk, Lee	Advice
MO	Platte City, Platte City, Platte	Advice
OR	City of Gresham, Gresham, Multnomah	Advice
IA	North Iowa Area Community College, Cerro Gordo	Advice
CO	Southshore Metropolitan District No. 2, Arapahoe	Advice
IA	City of DeWitt, Iowa, DeWitt, Clinton	Advice
CA	Covina-Valley Unified School District, Los Angeles	Advice
AZ	City of Scottsdale, Scottsdale, Maricopa	Advice
MO	Village of Centertown, Centertown, Cole	Advice
AZ	Maricopa County Municipal Water Conservation District No. 1, Maricopa	Advice
KS	City of Leavenworth, KS, Leavenworth, Leavenworth	Advice
IA	Dallas Center-Grimes Community School District, Dallas	Advice
ID	City of Post Falls, Post Falls, Kootenai	Advice
GA	City of Hapeville, Hapeville, Fulton	Advice
CO	Raindance Metropolitan District No. 3, Weld	Advice
ID	State of Idaho, State Authority	Advice
GA	City of Forest Park, Forest Park, Clayton	Advice
CA	Murrieta Valley Unified School District,, Riverside	Advice
WA	Grays Harbor PUD, Grays Harbor	Advice



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KS	Water District No. 1 of Johnson County, Johnson	Advice
CO	Aspen Street Metropolitan District, Broomfield	Advice
WV	Cabell County Board of Education, Cabell	Advice
MO	City of Kirksville, Kirksville, Adair	Advice
CA	Centralia Elementary School District, Orange	Advice
GA	Stockbridge Public Facilities Authority, Henry	Advice
IA	Johnston Community School District, Polk	Advice
МО	City of Hollister, Hollister, Taney	Advice
KS	City of Hutchinson, Hutchinson, Reno	Advice
CA	El Segundo Unified School District, Los Angeles	Advice
CA	Cupertino Union School District, Santa Clara	Advice
CA	Moorpark Unified School District, Ventura	Advice
MO	Calvey Creek Sewer District, Franklin	Advice
CO	2000 Holly Metropolitan District, Denver	Advice
CA	Walnut Valley Unified School District, Los Angeles	Advice
IA	City of New Sharon, New Sharon, Mahaska	Advice
OR	Bend-La Pine Schools School District No. 1, Deschutes	Advice
OR	Clackamas County, Clackamas	Advice
MO	Little Blue Valley Sewer	Advice



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	District, Missouri, Jackson	
CO	Cimarron and Vauxmont Metropolitan Districts, Jefferson	Advice
OR	Lane County School District No. 4J (Eugene Public Schools), Lane	Advice
OR	City of Milwaukie, Milwaukie, Clackamas	Advice
CA	Carpinteria Unified School District, Santa Barbara	Advice
CA	Downey Unified School District, Los Angeles	Advice
WA	Public Utility District No. 1 of Pend Oreille County, Pend Oreille	Advice
MO	St. Louis County Library, Saint Louis	Advice
IA	Sergeant Bluff, Sergeant Bluff, Woodbury	Advice
CO	Great Western Metropolitan District No. 5, Weld	Advice
WA	Bellevue School District No. 405, King	Advice
CO	Iron Mountain Metropolitan District No. 1, Weld	Advice
AZ	Superstition Mountains Community Facilities District No. 1, Pinal	Advice
ОН	The Children's Home of Concinnati, Hamilton	Advice
KS	City of Ellsworth, Ellsworth, Ellsworth	Advice
IA	Council Bluffs Community School District, Pottawattamie	Advice
IA	College Community School	Advice



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	District, Linn	
ID	Meridian Free Library District, Ada	Advice
MT	Flathead Valley Community College, Flathead	Advice
KS	City of Kechi, Kechi, Sedgwick	Advice
ID	Capital City Development Corporation (CCDC), Ada	Advice
IA	Iowa Western Community College, Pottawattamie	Advice
IA	City of Coralville, Iowa, Coralville, Johnson	Advice
KS	City of Sterling, Sterling, Rice	Advice
VT	Vermont Housing Finance Agency, State Authority	Advice
CO	Aurora Highlands Community Authority Board, Adams	Advice
CO	Raindance Metropolitan District No. 3, Weld	Advice
AZ	Washington Elementary School District No. 6, Maricopa	Advice
GA	City of South Fulton Urban Redevelopment Agency, South Fulton, Fulton	Advice
IA	City of Coralville, Iowa, Coralville, Johnson	Advice
IA	Merrill Pioneer Community Hospital, Lyon	Advice
KS	City of Augusta, Augusta, Butler	Advice
ID	JSD No 381 American Falls, Power and Cassia	Advice
MO	City of St. Joseph, St. Joseph, Buchanan	Advice
KS	City of Derby, Derby,	Advice



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7.4	Sedgwick	Alice
IA	Urbandale Community School District, Iowa, Polk	Advice
KS	City of Abilene, Abilene, Saline	Advice
IA	City of Riverdale, Riverdale, Scott	Advice
MO	City of Lee's Summit, Lee's Summit, Jackson	Advice
KS	City of Andover, Andover, Butler	Advice
KS	City of Edwardsville, Edwardsville, Wyandotte	Advice
CA	Anaheim Elementary School District, Orange	Advice
IA	Colfax-Mingo Community School District, Jasper	Advice
WA	City of Tacoma, Tacoma, Pierce	Advice
GA	Forest Park Development Authority, Clayton	Advice
OR	City of Independence, Independence, Polk	Advice
MO	City of Jackson, Jackson, Cape Girardeau	Advice
WA	City of Kent, Kent, King	Advice
MO	Sikeston Board of Municipal Utilities, Scott	Advice
CO	Iron Mountain Metropolitan District, Weld	Advice
AZ	Rio Nuevo Multipurpose Facility District, Pima	Advice
ID	School District No. 91 (Idaho Falls), Bonneville	Advice
KS	City of Columbus, Columbus, Cherokee	Advice
OR	City of Monmouth,	Advice



D. Municipai Au	ivisory Dusiness	
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	Monmouth, Polk	
AZ	Gilbert Unified School District No. 41 of Maricopa County, Maricopa	Advice
GA	Clayton County Urban Redevelopment Agency, Clayton	Advice
ID	Shelley JSD 60, Bingham	Advice
IA	Dubuque CSD, Dubuque	Advice
OR	City of Salem, Salem, Marion	Advice
IA	IEC Hotel Corporation, Polk	Advice
CA	Saddleback Valley Unified School District, Orange	Advice
MO	City of Hazelwood, Hazelwood, Saint Louis	Advice
IA	West Branch Community School District, Cedar	Advice
CA	Ross Valley School District, Marin	Advice
WV	West Virginia Housing Development Fund, State Authority	Advice
OR	Multnomah County Drainage District No. 1 for Peninsula Drainage District No. 1, Multnomah	Advice
WA	Skagit County School District No. 100, Skagit	Advice
KS	City of Augusta, Augusta, Butler	Advice
MO	School District of Webster Groves, Saint Louis	Advice
MO	City of Willard, Willard, Greene	Advice
MO	City of Mexico, Mexico, Audrain	Advice
IA	City of Coralville, Iowa,	Advice



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	Coralville, Johnson	
CA	Murrieta Valley Unified School District., Riverside	Advice
MO	City of Lee's Summit, Lee's Summit, Jackson	Advice
IA	Adel-DeSoto-Minburn Community School District, Dallas	Advice
MO	City of Smithville, Smithville, Clay	Advice
IA	City of Keokuk, Keokuk, Lee	Advice
ID	SD No. 132 Caldwell, Canyon	Advice
IA	Pleasant Valley Community School District, Scott	Advice
CA	South Pasadena Unified School District, CA, Los Angeles	Advice
CA	Carlsbad Unified School District, San Diego	Advice
CO	Football Stadium Metropolitan District, City and County of Denver, Denver	Advice
GA	College Park Business and Industrial Development Authority, Fulton	Advice
IA	Sioux Center Regional Airport Authority, Sioux	Advice
NE	Lancaster County School District 0001 (Lincoln Public Schools), Lancaster	Advice
CO	Serratoga Falls Metropolitan District No. 2, Larimer	Advice
ID	Bosie State University, Ada	Advice
KS	City of Abilene, Abilene, Saline	Advice
KS	City of Derby, Derby, Sedgwick	Advice



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CA	Apple Valley Unified School District, San Bernardino	Advice
MT	State of Montana, State Authority	Advice
WA	Spokane School District No. 81, Spokane	Advice
OR	City of Cottage Grove, Cottage Grove, Lane	Advice
ID	Kimberly SD 414, Twin Falls	Advice
GA	Hapeville Development Authority, Hapeville, Fulton	Advice
IA	City of Waukon, Waukon, Allamakee	Advice
AZ	Casa Grande Elementary School District No. 4 of Pinal County, Pinal	Advice
IA	Central Lee Community School District, Lee	Advice
AZ	Murphy Elementary School District No. 21 of Maricopa County, Maricopa	Advice
ID	School District No. 71 (Garden Valley), Boise	Advice
IA	Kirkwood Community College, Linn	Advice
IA	Dallas County, Dallas	Advice
CO	E-470 Public Highway Authority, Arapahoe	Advice
WA	City of Kenmore, Kenmore, King	Advice
KS	City of Derby, Derby, Sedgwick	Advice
KS	City of Clay Center, Clay Center, Clay	Advice
IA	City of DeWitt, DeWitt, Clinton	Advice
CO	Sterling Ranch Community	Advice



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	Authority Board, Douglas	
MO	Kauffman Center for the Performing Arts, Jackson	Advice
CO	Poudre Tech Metropolitan District and its Affiliate, Weld	Advice
IA	City of DeWitt, DeWitt, Clinton	Advice
IA	Norwalk Community School District, Warren	Advice
MO	Dunklin R-V School District, Jefferson	Advice
MO	City of Monett, Monett, Barry	Advice
CA	Escondido Union High School District, San Diego	Advice
AZ	Maricopa County, Maricopa	Advice
IA	Northeast Iowa Community College, Winneshiek	Advice
MO	City of St. Paul, St. Paul, Saint Charles	Advice
ID	Notus School District No. 135, Canyon	Advice
CO	The Brands Metropolitan Districts No. 1-4, Larimer	Advice
KS	City of Lansing, Lansing, Leavenworth	Advice
ID	Nampa Development Corporation, Canyon	Advice
IA	Ballard Community School District, Story	Advice
MO	Clayton School District, Saint Louis	Advice
MO	Sikeston School District, Scott	Advice
GA	Urban Redevelopment Agency of the City of Jonesboro, Jonesboro, Clayton	Advice
AZ	Town of Florence, Florence, Pinal	Advice



B. Municipal Advisory Business

State Complete name of municipal Type of municipal advisory business (advice

entity and city/county or so

or solicitation) (and in the case of municipal advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment

advisory services))

KS Unified School District No. Advice

428, Barton County, Barton

IA Red Oak Community School Advice

District, Montgomery

C. Ballot-Approved Offerings

Full name of the municipal entity and issue description of any primary offering resulting from the bond ballot campaign to which each contributor category has made a contribution and the reportable date of selection on which the regulated entity was selected to engage in the municipal securities business or municipal advisory business.

Full Name of Issue Description Reportable Date of Selection

Municipal Entity

Sulphur General Obligation Bonds 02/22/2012

Springs Union (Election 2012) Series 2019E

School District (Los Angeles County, California)

Coast General Obligation Bonds 02/23/2012

Community (Election of 2012) Series

College 2019F (Federally District Tax-Exempt)

(Orange County, California)

Weaver Union General Obligation Bonds 09/13/2012 School District (Election of 2012) Series

(Merced 2019B

County, California)



Signature: electronic Date: Feb 6, 2020

Name (must be officer of regulated entity): Wendy Smith Address: 800 Nicollet Mall, Suite 900, Minneapolis, MN 55402

Phone: 612-303-6609

Submit to the Municipal Securities Rulemaking Board a completed form quarterly by due date (specified by the MSRB)