

# FORM G-37



**Name of Regulated Entity:** *Piper Jaffray & Co.*

**Report Period:** *Second Quarter of 2017*

## **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 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.
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*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	Payments by each contributor category
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*None*

**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
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*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*

**IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business (list by state)**

**A. Municipal Securities Business**

State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
<i>See Attachment</i>		

**B. Municipal Advisory Business**

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))
<i>None</i>		

**C. Ballot-Approved Offerings**

Full name of the municipal entity and full 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 Municipal Entity	Full Issue Description	Reportable Date of Selection
<i>See Attachment</i>		

## FORM G-37



**Signature:** electronic

**Date:** *Feb 14, 2018*

**Name (must be officer of regulated entity):** *Wendy Smith*

**Address:** *800 Nicollet Mall, Suite 1000, 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)

**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

<b>Saledate</b>	<b>Shortdescription</b>	<b>Issuetype</b>	<b>County</b>	<b>Statecode</b>
6/20/2017	AL Alabama Federal Aid Highway Fin Auth Spec Obliq Rev 17A	Negotiated	State Issuer	AL - Alabama
6/20/2017	AL Alabama Federal Aid Highway Fin Auth Special Obliq Rev Ref 17B	Negotiated	State Authority	AL - Alabama
6/15/2017	AZ Arizona Water Infra Fin Auth Water Defeasance 17	Financial Advisor	All Counties	AZ - Arizona
2/19/2014^	AZ Central Arizona Water Conservation District 14 Fin Adv Agmt	Financial Advisor	State Authority	AZ - Arizona
6/18/2014^	AZ Chandler 14 Fin Adv Agmt	Financial Advisor	Maricopa	AZ - Arizona
4/5/2011^	AZ City of Apache Junction	Financial Advisor	Maricopa	AZ - Arizona
1/1/2009^	AZ City of Apache Junction 2010 Consulting	Financial Advisor	Maricopa	AZ - Arizona
9/4/2013^	AZ City of Scottsdale 13 Fin Adv Agmt	Financial Advisor	Maricopa	AZ - Arizona
3/14/2016^	AZ City of Tucson 16 (151307) Fin Adv Agmt	Financial Advisor	Pima	AZ - Arizona
6/12/2013^	AZ Crane - SAVE 2013 Fin Adv Agmt	Financial Advisor	State Authority	AZ - Arizona
3/1/2017^	AZ Florence 17 Fin Adv Agmt	Financial Advisor	Pinal	AZ - Arizona
4/5/2011^	AZ Maricopa 11 Fin Adv Agmt	Financial Advisor	Pinal	AZ - Arizona
12/1/2015^	AZ Maricopa County Agmt and Renewals 09 Fin Adv Agmt	Financial Advisor	Maricopa	AZ - Arizona
5/17/2017	AZ Phoenix Union High Sch Dist No. 210 Maricopa County Ref 17	Negotiated	Maricopa County, AZ	AZ - Arizona
2/1/2016^	AZ Phoenix, Downtown Phoenix Hotel Corp 16 Consulting-Fin Adv Agmt	Financial Advisor	Maricopa	AZ - Arizona
5/26/2017	AZ Rio Nuevo Multipurpose Fac Dist Lease Rev Greyhound Bus Terminal 17	Financial Advisor	Pima County, Arizona	AZ - Arizona
5/26/2017	AZ Rio Nuevo Multipurpose Fac Dist Tax Lease Rev Greyhound Bus Terminal 17	Financial Advisor	Pima County, AZ	AZ - Arizona
1/6/2016^	AZ Rio Nuevo Multipurpose Facil Dist Excise Tax Rev Ref 16 Fin Adv Agmt	Financial Advisor	Pima	AZ - Arizona
6/20/2017	AZ Santa Cruz County Jail Dist Pledged Rev Ref Oblig 17	Negotiated	Santa Cruz County, AZ	AZ - Arizona
5/3/2017	AZ Scottsdale GO 2004 Project 17B Preserve Acquisition	Financial Advisor	Maricopa County, AZ	AZ - Arizona
5/3/2017	AZ Scottsdale GO Ref 17	Financial Advisor	Maricopa County, AZ	AZ - Arizona
5/9/2017	AZ Scottsdale Muni Property Corp Excise Tax Rev Aviation Imp 17	Financial Advisor	Maricopa County	AZ - Arizona
5/9/2017	AZ Scottsdale Muni Property Corp Excise Tax Rev Water Imp 17	Financial Advisor	Maricopa County	AZ - Arizona
9/11/2014^	AZ State of Arizona 2014 Fin Adv Agmt	Financial Advisor	State Authority	AZ - Arizona
3/16/2017^	AZ Superstition Mountains CFD No. 1 17 Fin Adv Agmt	Financial Advisor	Pinal	AZ - Arizona
6/15/2017	AZ Tucson GO 12-E (2017)	Financial Advisor	Pima County	AZ - Arizona
6/15/2017	AZ Tucson GO Ref 17	Financial Advisor	Pima County	AZ - Arizona
6/15/2017	AZ Tucson Water System Rev Oblig 17	Financial Advisor	Pima County	AZ - Arizona
2/24/2017^	CA Air Force Village West (Altavita) 17 Fin Adv Agmt	Financial Advisor	Riverside	CA - California
6/22/2016^	CA Anaheim Elementary SD 16 Fin Adv Agmt	Financial Advisor	Orange	CA - California
6/30/2014^	CA Apple Valley USD 14 Fin Adv Agmt	Financial Advisor	San Bernardino	CA - California
5/16/2017	CA Baldwin Park Successor Agency CDC Tax Alloc Ref 17	Private Placement	Los Angeles	CA - California
4/28/2016^	CA Barstow USD GO 16 Fin Adv Agmt	Financial Advisor	San Bernardino	CA - California
5/16/2017	CA Beaumont USD GO 2008 Election 17D	Negotiated	Riverside	CA - California
6/6/2017	CA Beaumont USD GO Ref 2008 Election Series B 2019 Crossover 17	Private Placement	Riverside	CA - California
6/7/2017	CA Brawley Elementary Sch Dist GO Ref 17	Negotiated	Imperial	CA - California
6/7/2017	CA Brawley Elementary Sch Dist GO 2016 Election 17A	Negotiated	Imperial	CA - California
6/1/2017	CA Buena Park SD GO 2014 Election 17	Negotiated	Orange	CA - California
4/19/2017	CA Calexico USD GO Ref 17	Negotiated	Imperial	CA - California
6/22/2017	CA California Muni Fin Auth Insured Ref Rev St. John's Well Child 17	Negotiated	Los Angeles	CA - California
6/20/2017	CA California Sch Fin Auth Edu Facil Rev High Tech High 17A	Negotiated	San Diego	CA - California
6/20/2017	CA California Sch Fin Auth Edu Facil Rev High Tech High 17B	Negotiated	San Diego	CA - California
6/20/2017	CA California School Cash Reserve 2017-2018 TRAN Series A	Negotiated	Various	CA - California
6/20/2017	CA California School Cash Reserve 2017-2018 TRAN Series B	Negotiated	Various	CA - California

\* New Financial Advisory Agreements

^Ongoing Financial Advisory Agreements

**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

6/20/2017	CA California School Cash Reserve 2017-2018 TRAN Series C	Negotiated	Various	CA - California
6/28/2017	CA California Statewide Com Dev Auth Ref Rev Com Hosp Monterey Peninsula CHOMP 17A	Private Placement	Monterey	CA - California
6/28/2017	CA California Statewide Com Dev Auth Ref Rev Com Hosp Monterey Peninsula CHOMP 17B	Private Placement	Monterey	CA - California
1/15/2014^	CA Carlsbad USD 14 Fin Adv Agmt	Financial Advisor	San Diego	CA - California
2/11/2014^	CA Carpinteria USD 14 Fin Adv Agmt	Financial Advisor	Santa Barbara	CA - California
5/10/2017	CA Casitas Municipal Water Dist CFD 2013-1 Ojai Special Tax 17A	Negotiated	Ventura	CA - California
5/10/2017	CA Casitas Municipal Water Dist CFD 2013-1 Ojai Special Tax 17B	Negotiated	Ventura	CA - California
3/4/2016^	CA Centralia SD 16 Fin Adv Agmt	Financial Advisor	Orange	CA - California
5/23/2017	CA Claremont USD GO 2016 Election 17A	Negotiated	Los Angeles	CA - California
5/20/2014^	CA Conejo Valley USD 14 Fin Adv Agmt	Financial Advisor	Fresno	CA - California
12/17/2013^	CA Corona-Norco Unified Sch Dist 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
4/20/2017	CA Corona-Norco USD CFD No. 06-1 Special Tax 17	Financial Advisor	Riverside	CA - California
12/16/2013^	CA Covina-Valley Unified Sch Dist 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
5/23/2017	CA Covina-Valley USD GO 2012 Election 17D	Financial Advisor	Los Angeles	CA - California
12/10/2013^	CA Cupertino Union Sch Dist 14 Fin Adv Agmt	Financial Advisor	Santa Clara	CA - California
1/17/2017^	CA Downey USD 17 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
2/27/2014^	CA Duarte Unified School District 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
4/25/2017	CA Duarte USD GO 2010 Election 17D	Financial Advisor	Los Angeles	CA - California
4/5/2017	CA Eden Township Health Care District COP 17	Private Placement	Alameda	CA - California
6/20/2017	CA El Centro Elementary SD GO 2016 Election 17A	Negotiated	Imperial	CA - California
2/14/2017^	CA El Segundo USD 17 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
6/8/2017	CA Elk Grove Ref Lease Rev 17	Private Placement	Sacramento	CA - California
4/28/2014^	CA Escondido Union School District 14 Fin Adv Agmt	Financial Advisor	San Diego	CA - California
3/4/2014^	CA Fullerton School District 14 Fin Adv Agmt	Financial Advisor	Orange	CA - California
12/16/2014^	CA Glendora USD 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
9/24/2014^	CA Hawthorne School District 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
4/13/2017	CA Kaweah Delta Health Care Dist of Tulare County Ref Rev 17A	Private Placement	Tulare	CA - California
4/13/2017	CA Kaweah Delta Health Care Dist of Tulare County Ref Rev 17B	Private Placement	Tulare	CA - California
4/26/2017	CA Kerman Unified School Dist GO 2016 Election 17	Negotiated	Fresno	CA - California
7/25/2016^	CA Lake Elsinore Unified School District 16 Fin Adv Agmt	Financial Advisor	Riverside	CA - California
4/20/2017	CA Lake Elsinore USD GO 2016 Election 17A	Financial Advisor	Riverside	CA - California
12/10/2013^	CA Las Virgenes Unified Sch Dist 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
6/29/2017	CA Lincoln CFD No. 2006-1 Lakeside Special Tax 17	Private Placement	Placer	CA - California
6/29/2017	CA Lincoln Reassessment Foskett Ranch Assess Dist No. 2004-2 17	Private Placement	Placer	CA - California
5/18/2016^	CA Los Alamitos Unified School District 16 Fin Adv Agmt	Financial Advisor	Orange	CA - California
6/6/2017	CA Los Angeles County 2017-2018 TRAN	Negotiated	Los Angeles	CA - California
6/1/2017	CA Lost Hills Union SD GO 2016 Election 17A	Negotiated	Kern	CA - California
4/5/2017	CA Madera Cnty Serv Area 2A-2B Wastewater- Effluent Disposal 16	Private Placement	Madera	CA - California
4/25/2017	CA Merced City SD GO 2014 Election 17	Negotiated	Merced	CA - California
3/16/2016^	CA Monterey Peninsula USD 16 Fin Adv Agmt	Financial Advisor	Monterey	CA - California

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7/24/2017^	CA Moorpark USD GO Bond Election Upgrade Classrooms 17 Fin Adv Agmt	Financial Advisor	Ventura	CA - California
5/7/2014^	CA Mount Pleasant Elementary SD 14 Fin Adv Agmt	Financial Advisor	Cabarrus	CA - California
6/13/2017	CA Mount Pleasant Elementary SD GO 2012 Election 17C	Financial Advisor	Santa Clara	CA - California
8/5/2014^	CA Murrieta Valley USD 14 Fin Adv Agmt	Financial Advisor	Riverside	CA - California
11/17/2015^	CA Murrieta Valley USD 15 Fin Adv Agmt	Financial Advisor	Riverside	CA - California
6/1/2017	CA Murrieta Valley USD GO 2014 Election 17	Financial Advisor	Riverside	CA - California
12/9/2013^	CA Norwalk-La Mirada Unified Sch Dist 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
5/19/2015^	CA Oak Park USD 15 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
2/2/2015^	CA Orcutt Unified School District 15 Fin Adv Agmt	Financial Advisor	Santa Barbara	CA - California
4/11/2017	CA Palomar CCD GO Ref 2020 Crossover 17	Negotiated	San Diego	CA - California
7/24/2014^	CA Palos Verdes Peninsula USD 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
6/13/2017	CA Paramount USD GO 2016 Election 17A	Negotiated	Los Angeles	CA - California
6/27/2017	CA Rancho Cordova CFD 2004-1 Sunridge Park Area Special Tax Ref 17	Negotiated	Sacramento	CA - California
5/17/2017	CA Riverside County CFD 07-2 Clinton Keith Special Tax 17	Negotiated	Riverside	CA - California
5/4/2017	CA Riverside USD GO 2016 Election 17A	Negotiated	Riverside	CA - California
4/7/2015^	CA Ross Valley SD 15 Fin Adv Agmt	Financial Advisor	Marin	CA - California
12/18/2013^	CA Saddleback Valley USD 14 Fin Adv Agmt	Financial Advisor	Orange	CA - California
7/22/2014^	CA San Gabriel USD 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
6/1/2017	CA San Juan Water Dist Water Rev Ref 17	Negotiated	Nevada	CA - California
5/2/2017	CA San Leandro USD GO 2016 Election 17A	Negotiated	Alameda	CA - California
5/2/2017	CA San Leandro USD Refunding GO 17	Negotiated	Alameda	CA - California
4/12/2017	CA Santa Clarita CCD Ref COP 17	Negotiated	Los Angeles	CA - California
4/12/2017	CA Santa Clarita Community College Dist GO 2016 Election 17	Negotiated	Los Angeles	CA - California
4/6/2017	CA Solano CCD GO 2012 Election 17C	Negotiated	Solano and Yolo	CA - California
10/13/2015^	CA South Pasadena USD 15 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
4/20/2017	CA State of California Taxable GO High-Speed Passenger Train Fixed Rate 17A	Negotiated	Various	CA - California
4/20/2017	CA State of California Taxable GO High-Speed Passenger Train Index Floating 17C	Negotiated	Various	CA - California
4/20/2017	CA State of California Taxable GO High-Speed Passenger Train Mandatory Put 17B	Negotiated	various	CA - California
6/13/2017	CA Sulphur Springs Union SD GO 2012 Election 17D	Negotiated	Los Angeles	CA - California
12/9/2013^	CA Union Elementary Sch Dist 14 Fin Adv Agmt	Financial Advisor	Santa Clara	CA - California
5/4/2017	CA University of California Regents General Rev 17 AV Tax-Exempt	Negotiated	Multiple	CA - California
5/4/2017	CA University of California Regents General Rev 17 AW Taxable	Negotiated	Multiple	CA - California
5/4/2017	CA University of California Regents General Rev 17 AX Taxable Fixed Rate	Negotiated	multiple	CA - California
8/7/2014^	CA Valley Center-Pauma USD 14 Fin Adv Agmt	Financial Advisor	San Diego	CA - California
11/6/2013^	CA Victor Elementary Sch Dist 14 Fin Adv Agmt	Financial Advisor	San Joaquin	CA - California
5/1/2014^	CA Walnut Valley USD 14 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
5/19/2016^	CA West Covina Unified School District 16 Fin Adv Agmt	Financial Advisor	Los Angeles	CA - California
2/25/2015^	CO Adams County 2015 Financial Advisory Agreement	Financial Advisor	Adams	CO - Colorado
7/1/2006^	CO Aurora 07 Fin Adv Agmt 4th Ext	Financial Advisor	Adams	CO - Colorado
7/1/2012^	CO Aurora 12 Fin Adv Agmt Addl Exts	Financial Advisor	Adames	CO - Colorado
4/18/2017	CO Aurora COP 17	Financial Advisor	Adams & Arapahoe	CO - Colorado
1/6/2017^	CO Black Creek Capital Sale of Sch Dist Facility 17 Fin Adv Agmt	Financial Advisor	Denver	CO - Colorado
6/22/2017	CO Broomfield City and County Ref COP 17	Negotiated	Broomfield	CO - Colorado
4/17/2017	CO Canon City Ref COP 17	Private Placement	Fremont	CO - Colorado
4/19/2017	CO Centerra Metro Dist No. 1 Special Rev Ref and Impr 17	Financial Advisor	Larimer	CO - Colorado
4/26/2017	CO Centerra Metro Dist No. 1 Swap Advisory 16	Financial Advisor	Centerra	CO - Colorado

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**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

4/4/2017	CO Colorado Dept of Transportation COP 17	Negotiated	State	CO - Colorado
5/10/2017	CO Colorado Health Facil Auth Sr Lvg Rev Ralston Creek at Arvada 17A	Negotiated	Jefferson	CO - Colorado
5/10/2017	CO Colorado Health Facil Auth Subord Sr Lvg Rev Ralston Creek at Arvada 17B Guaranteed	Negotiated	Jefferson	CO - Colorado
6/1/2017	CO Dillon Excise Tax Rev Ref 17	Private Placement	Summit	CO - Colorado
1/1/2016^	CO Dominion Water-Sanitation Dist 16 Fin Adv Agmt	Financial Advisor	Douglas	CO - Colorado
12/31/2015^	CO E 470 Public Highway Authority 15 Fin Adv Agmt	Financial Advisor	State Authority	CO - Colorado
2/9/2017^	CO E-470 Public Highway Auth JP Morgan-Morgan Stanley Swap Advisory 17 Fin Adv Agmt	Financial Advisor	Arapahoe	CO - Colorado
3/16/2017^	CO Eagle Crossing Loveland Metro Dist No. 1-4 17 Fin Adv Agmt	Financial Advisor	Weld	CO - Colorado
3/16/2017^	CO Eagle Crossing Windsor Metro Dist No. 1-4 17 Fin Adv Agmt	Financial Advisor	Weld	CO - Colorado
5/17/2017	CO Eagle River Water and Sanitation Dist Enterprise Water Rev Ref 17	Negotiated	Eagle	CO - Colorado
1/19/2017^	CO Huerfano County Hospital Dist Ref and Imp 17 Fin Adv Agmt	Financial Advisor	Huerfano	CO - Colorado
6/15/2017	CO Huntington Trails Metro Dist LTGO Ref 17	Negotiated	Adams	CO - Colorado
6/28/2017*	CO Meridian Metro Dist 50 17B Fin Adv Agmt	Financial Advisor	Douglas	CO - Colorado
9/21/2016^	CO Pitkin County COP 16 Fin Adv Agmt	Financial Advisor	Pitkin	CO - Colorado
7/7/2016^	CO Pitkin County GO Ref 16 Fin Adv Agmt	Financial Advisor	Pitkin	CO - Colorado
2/8/2017^	CO Prosper Metropolitan Dist 17 Fin Adv Agmt	Financial Advisor	Arapahoe	CO - Colorado
3/16/2017^	CO RainDance Metro Dist No. 1-4 17 Fin Adv Agmt	Financial Advisor	Weld	CO - Colorado
3/27/2017^	CO Rampart Range Metro Dist No. 1 Swap Advisory 17 Fin Adv Agmt	Financial Advisor	Douglas	CO - Colorado
9/15/2016^	CO Rampart Range Metro Dist Rev 17 Fin Adv Agmt	Financial Advisor	Arapahoe	CO - Colorado
1/11/2017^	CO Sterling Ranch Community Auth Board 17 Fin Adv Agmt	Financial Advisor	Douglas	CO - Colorado
6/27/2017*	CO Town of Columbine Valley 17 Fin Adv Agmt	Financial Advisor	Arapahoe	CO - Colorado
9/28/2017^	CO VREI, Inc., 2017 Financial Advisory Agreement	Financial Advisor	Denver	CO - Colorado
7/17/2017^	CO Water's Edge Metro Dist No. 1-5 Fort Collins 17 Fin Adv Agmt	Financial Advisor	Jefferson	CO - Colorado
5/31/2017	CT Connecticut Revolving Fund General Rev 17A	Negotiated	State of Connecticut	CT - Connecticut
5/31/2017	CT Connecticut Revolving Fund Ref General Rev 17B	Negotiated	State of Connecticut	CT - Connecticut
6/21/2017	CT Waterford GO Ref 17	Negotiated	New London	CT - Connecticut
6/27/2017	CT Wethersfield GO Ref 17A	Negotiated	Hartford	CT - Connecticut
6/8/2016^	ID Idaho Falls SD No. 91 16 Fin Adv Agmt	Financial Advisor	Bonneville	ID - Idaho
9/11/2013^	DC Federal Highway Admin Innovative Prog Delivery Office 13 Fin Adv Agmt	Financial Advisor	State Authority	DC - District of Columbia
2/24/2014^	DC Federal Railroad Admin Office of Acquisition Serv 14 Fin Adv Agmt	Financial Advisor	State Authority	DC - District of Columbia
1/27/2016^	GA Brookhaven TAN 16 Fin Adv Agmt	Financial Advisor	DeKalb	GA - Georgia
9/16/2016^	GA City of Brookhaven Dev Auth 2016 Fin Adv Agmt	Financial Advisor	DeKalb	GA - Georgia
12/18/2015^	GA City of Brookhaven Dev Auth GO 16 Fin Adv Agmt	Financial Advisor	DeKalb	GA - Georgia
9/23/2014^	GA City of College Park 14 Fin Adv Agmt	Financial Advisor	Fulton	GA - Georgia
7/6/2017^	GA City of College Park 17 Fin Adv Agmt	Financial Advisor	Fulton	GA - Georgia
5/7/2015^	GA City of Jonesboro 15 Fin Adv Agmt	Financial Advisor	Clayton	GA - Georgia
2/16/2016^	GA Clayton County 16 Fin Adv Agmt	Financial Advisor	Clayton	GA - Georgia
8/23/2016^	GA College Park Business and IDA 16 Fin Adv Agmt	Financial Advisor	Fulton	GA - Georgia
7/12/2017^	GA Development Auth of Clayton County 17 Fin Adv Agmt	Financial Advisor	Clayton	GA - Georgia
4/18/2016^	GA Forest Park 16 Fin Adv Agmt	Financial Advisor	Clayton	GA - Georgia

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**4/1/2017 - 6/30/2017**

7/6/2017^	GA Forest Park Development Authority 17 Fin Adv Agmt	Financial Advisor	Clayton	GA - Georgia
5/18/2017*	GA Forest Park Urban Redevelopment Agency 17 Fin Adv Agmt	Financial Advisor	Clayton	GA - Georgia
2/27/2015^	GA Hapeville 15 Fin Adv Agmt	Financial Advisor	Fulton	GA - Georgia
6/28/2016^	GA Hapeville Dev Auth 16 Fin Adv Agmt	Financial Advisor	Fulton	GA - Georgia
9/26/2014^	GA Hutcheson Medical Ctr Walker Dade RAN 14 Fin Adv Agmt	Financial Advisor	Catoosa	GA - Georgia
4/22/2015^	GA Lovejoy Rev City of Lovejoy Project 15 Fin Adv Agmt	Financial Advisor	Clayton	GA - Georgia
4/22/2015^	GA Lovejoy Urban RDA Rev 15 Fin Adv Agmt	Financial Advisor	Clayton	GA - Georgia
12/5/2016^	GA Norcross Downtown Dev Auth PILOT Structuring 16 Fin Adv Agmt	Financial Advisor	Gwinnett	GA - Georgia
4/13/2017*	GA Norcross Downtown Dev Auth PILOT Structuring 17 Fin Adv Agmt	Financial Advisor	Gwinnett	GA - Georgia
6/15/2017*	GA Stonecrest TAN 17 Fin Adv Agmt	Financial Advisor	DeKalb	GA - Georgia
6/29/2015^	GA Urban RDA of Jonesboro Rev 15 Fin Adv Agmt	Financial Advisor	Clayton	GA - Georgia
2/7/2017^	IA ACT, Inc. Swap Advisory Bank of America 17 Fin Adv Agmt	Financial Advisor	Johnson	IA - Iowa
5/10/2017	IA Arnolds Park GO Capital Loan Notes 17	Negotiated	Dickinson	IA - Iowa
4/11/2017	IA Asbury GO Corporate Purpose 17	Negotiated	Dubuque	IA - Iowa
4/24/2017	IA Bondurant-Farrar CSD GO Sch 17	Financial Advisor	polk, jasper	IA - Iowa
7/18/2016^	IA Bondurant-Farrar CSZD GO School Bonds 16 Fin Adv Agmt	Financial Advisor	Polk	IA - Iowa
6/7/2017*	IA Boone County Run Numbers for Lease Purchase Agmt 17 Fin Adv Agmt	Financial Advisor	Boone	IA - Iowa
5/21/2014^	IA Center Point-Urbana CSD GO Sch 14 Fin Adv Agmt	Financial Advisor	Linn	IA - Iowa
6/20/2017*	IA Centerville CSD School Facility Upgrades 2017-18 Fin Adv Agmt	Financial Advisor	Appanoose	IA - Iowa
4/27/2004^	IA City of Coralville IA Various Projects 2004 Fin Adv Agmt	Financial Advisor	Johnson	IA - Iowa
2/21/2011^	IA City of DeWitt GO Ref 11 Fin Adv Agmt	Financial Advisor	Clinton	IA - Iowa
6/30/2016^	IA City of New Sharon 16 Fin Adv Agmt	Financial Advisor	Mahaska	IA - Iowa
6/27/2017	IA Clinton CSD Sch Infra Sales Serv Use Tax Rev BAN 17	Private Placement	Clinton	IA - Iowa
3/21/2016^	IA College Community Sch Dist GO Sch-GO Ref 16 Fin Adv Agmt	Financial Advisor	Linn	IA - Iowa
4/10/2017	IA College CSD GO Sch 17	Financial Advisor	Linn	IA - Iowa
5/17/2017	IA Coralville Annual Appropriation TIF Rev 17C	Financial Advisor	Johnson	IA - Iowa
5/23/2017	IA Coralville GO Annual Appropriation Ref 17D-1	Financial Advisor	johnson	IA - Iowa
4/27/2011^	IA Coralville GO Rev and Spec Assess 11 Fin Adv Agmt	Financial Advisor	Johnson	IA - Iowa
7/8/2016^	IA Coralville Iowa Arena Dev and Financing 16 Fin Adv Agmt	Financial Advisor	Johnson	IA - Iowa
1/24/2012^	IA Coralville IRL Multi-State Financing 12 Fin Adv Agmt	Financial Advisor	Johnson	IA - Iowa
1/24/2012^	IA Coralville Parking Rev 12 Fin Adv Agmt	Financial Advisor	Johnson	IA - Iowa
8/1/2013^	IA Coralville Tax GO 13B	Financial Advisor	Johnson	IA - Iowa
5/23/2017	IA Coralville Tax GO Annual Appropriation Ref 17D-2	Financial Advisor	johnson	IA - Iowa
1/10/2012^	IA Coralville Various 12 Fin Adv Agmt	Financial Advisor	Johnson	IA - Iowa
2/16/2015^	IA Dallas Center-Grimes CSD 15 Fin Adv Agmt	Financial Advisor	Dallas	IA - Iowa
2/16/2017^	IA Dallas County 17 Fin Adv Agmt	Financial Advisor	Dallas	IA - Iowa
6/6/2017	IA Davis County CSD GO Sch 17	Financial Advisor	davis	IA - Iowa
4/5/2017*	IA Davis County CSD GO Sch 17 Fin Adv Agmt	Financial Advisor	Davis	IA - Iowa
5/31/2017	IA Des Moines County Healthcare Ref Rev Great River Medical Ctr 17	Private Placement	Des Moines	IA - Iowa
4/5/2017	IA Dike-New Hartford CSD GO Sch Ref 17	Private Placement	grundy	IA - Iowa
4/13/2009^	IA Dubuque CSD Sch Infra-Sale-Serv-Use Tax Rev 09 Fin Agmt	Financial Advisor	Dubuque	IA - Iowa
6/20/2017	IA Earlham CSD Sch Infra Sales Serv Use Tax Rev 17	Private Placement	madison	IA - Iowa

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**4/1/2017 - 6/30/2017**

1/9/2017^	IA East Buchanan CSD GO 17 Fin Adv Agmt	Financial Advisor	Buchanan	IA - Iowa
1/13/2016^	IA Fremont-Mills Community SD GO Sch-GO Sch Ref 16A-B Fin Adv Agmt	Financial Advisor	Mahaska	IA - Iowa
9/13/2005^	IA Great Lakes Sanitary District IA GO 2005 Fin Adv Agmt	Financial Advisor	Dickinson	IA - Iowa
1/14/2015^	IA Grinnell-Newburg CSD GO School 15 Fin Adv Agmt	Financial Advisor	Poweshiek	IA - Iowa
7/21/2017^	IA Griswold CSD GO 17 Fin Adv Agmt	Financial Advisor	Cass	IA - Iowa
3/2/2017^	IA Hardin County Current Ref of Issues 05-11 17 Fin Adv Agmt\	Financial Advisor	Hardin	IA - Iowa
4/12/2017	IA Hardin County GO Ref 17	Financial Advisor	Hardin	IA - Iowa
1/4/2017^	IA Indianola CSD GO Ref 17 Fin Adv Agmt	Financial Advisor	Warren	IA - Iowa
6/19/2017	IA Interstate 35 CSD GO Sch 17	Financial Advisor	madison	IA - Iowa
4/5/2017*	IA Interstate 35 CSD GO Sch 17 Fin Adv Agmt	Financial Advisor	Madison	IA - Iowa
6/8/2017	IA Iowa Fin Auth Rfdg Impr Rev Pella Regl Health Center 17A	Private Placement	Marion	IA - Iowa
6/8/2017	IA Iowa Fin Auth Rfdg Impr Rev Pella Regl Health Center 17B	Private Placement	Marion	IA - Iowa
6/8/2017	IA Iowa Fin Auth Rfdg Impr Rev Pella Regl Health Center 17C	Private Placement	Marion	IA - Iowa
2/22/2011^	IA Iowa Great Lakes Sanitary Dist GO Cap 11 Fin Adv Agmt	Financial Advisor	State Authority	IA - Iowa
6/19/2007^	IA Iowa Great Lakes Sanitary District GO 07 Fin Adv Agmt	Financial Advisor	State Authority	IA - Iowa
4/28/2017	IA Iowa Higher Educ Loan Auth Pvt College Facility Rev Cornell College 17	Private Placement	Linn	IA - Iowa
5/9/2017	IA Iowa Higher Educ Loan Auth RAN Univ of Dubuque 17A	Negotiated	Dubuque	IA - Iowa
5/9/2017	IA Iowa Western Community College Dorm Rev Ref 17	Financial Advisor	pottwattamie	IA - Iowa
5/9/2017	IA Iowa Western Community College GO Plant Fund Capital Loan Notes 17	Financial Advisor	pottawattamie	IA - Iowa
5/9/2017	IA Iowa Western Community College GO School 17	Financial Advisor	pottawattamie	IA - Iowa
11/5/2012^	IA Iowa Western Community College Various 12 Fin Adv Agmt	Financial Advisor	Pottawattamie	IA - Iowa
11/5/2012^	IA Johnston CSD SILO and GO 13 Fin Adv Agmt	Financial Advisor	Polk	IA - Iowa
5/10/2017	IA Kirkwood CC Industrial New Jobs Training Certif 17-1B	Financial Advisor	Linn	IA - Iowa
5/10/2017	IA Kirkwood CC Taxable Industrial New Jobs Training Certif 17-1A	Financial Advisor	Linn	IA - Iowa
3/23/2006^	IA Kirkwood Com Col Merged Area 10 IA New Jobs 06 Fin Adv Agmt	Financial Advisor	Linn	IA - Iowa
3/10/2011^	IA Kirkwood Com College GO Rf Plant Fund Cap 11 Fin Adv Agmt	Financial Advisor	Linn	IA - Iowa
8/23/2016^	IA Lacina Meadows Public Wtr Supply Cash Flow 16 Fin Adv Agmt	Financial Advisor	Johnson	IA - Iowa
11/16/2015^	IA Lake View SRF Debt Issuance 15 Fin Adv Agmt	Financial Advisor	Sac	IA - Iowa
7/25/2016^	IA LeGrand Sewer Utility Calculation 16 Fin Adv Agmt	Financial Advisor	Marshall	IA - Iowa
4/28/2017	IA Maquoketa Valley CSD Sch Infra Sales Serv Use Tax Rev 17	Private Placement	delaware	IA - Iowa
6/12/2017	IA Marcus-Meriden-Cleghorn CSD Sch Infra Sales Serv Use Tax Rev 17	Private Placement	cherokee	IA - Iowa
4/10/2017	IA Marion ISD Sch Infra Sales Serv Use Tax Rev 17	Private Placement	linn	IA - Iowa
4/20/2017*	IA Merrill Pioneer Community Hospital Bridge Loan Rock Rapids 17 Fin Adv Agmt	Financial Advisor	Lyon	IA - Iowa
5/8/2017	IA New Hampton Capital Loan Notes 17	Private Placement	chickasaw	IA - Iowa
5/1/2017	IA New Hampton CSD GO Sch 17	Financial Advisor	chickasaw	IA - Iowa
3/23/2017^	IA New Hampton CSD GO Sch Bonds 17 and 18 Fin Adv Agmt	Financial Advisor	Chickasaw	IA - Iowa
5/20/2013^	IA Northeast Iowa Community College 13 Fin Adv Agmt	Financial Advisor	Winneshiek	IA - Iowa
6/9/2017	IA Northeast Iowa Community College Tax Industrial New Jobs Training Certif 17	Financial Advisor	winneshiek	IA - Iowa

\* New Financial Advisory Agreements

^Ongoing Financial Advisory Agreements

**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

5/8/2017	IA Norwalk CSD GO School 17	Financial Advisor	warren	IA - Iowa
3/7/2017^	IA Norwalk CSD GO School 17 Fin Adv Agmt	Financial Advisor	Warren	IA - Iowa
7/14/2017^	IA Ogden CSD GO 17-19 Fin Adv Agmt	Financial Advisor	Boone	IA - Iowa
5/25/2017	IA Okoboji GO Capital Loan Notes 17	Private Placement	dickinson	IA - Iowa
4/26/2017	IA Pekin CSD GO School 17	Financial Advisor	keokuk	IA - Iowa
11/14/2016^	IA Pleasantville CSD GO Sch 16 Fln Adv Agmt	Financial Advisor	Marion	IA - Iowa
4/11/2017	IA Pleasantville CSD GO School 17	Financial Advisor	Marion	IA - Iowa
5/15/2012^	IA Polk County GO Bonds 12 Fin Adv Agmt	Financial Advisor	Polk	IA - Iowa
5/8/2017	IA Polk County GO Ref 17C	Financial Advisor	Polk	IA - Iowa
11/5/2013^	IA Polk County Hotel Evaluation 13 Fin Adv Agmt	Financial Advisor	Polk	IA - Iowa
5/1/2017	IA River Valley CSD Sch Infra Sales Serv Use Tax Rev 17	Private Placement	woodbury	IA - Iowa
4/24/2017	IA Riverside CSD GO School 17	Financial Advisor	pottawattamie	IA - Iowa
10/3/2013^	IA Riverside CSD Various GO Projects 13-14 Fin Adv Agmt	Financial Advisor	Pottawattamie	IA - Iowa
6/19/2015^	IA Rock Rapids USD-Merrill Pioneer Direct Loan-Mortgage 15 Fin Adv Agmt	Financial Advisor	Lyon	IA - Iowa
2/9/2017^	IA Roland Story CSD 17 Fin Adv Agmt	Financial Advisor	Story	IA - Iowa
4/24/2017	IA Roland-Story CSD GO Sch 17	Financial Advisor	Story	IA - Iowa
5/15/2017	IA Saydel CSD Sch Infra Sales Serv Use Tax Rev Ref 17	Private Placement	polk	IA - Iowa
2/28/2017^	IA Sergeant Bluff 17 Fin Adv Agmt	Financial Advisor	Woodbury	IA - Iowa
6/27/2017	IA Sergeant Bluff GO Corp Purp Bonds 17	Financial Advisor	woodbury	IA - Iowa
1/12/2017^	IA Seymour CSD GO School 17 Fin Adv Agmt	Financial Advisor	Wayne	IA - Iowa
4/12/2017	IA Sioux Center CSD Sch Infra Sales Serv Use Tax Rev 17	Private Placement	sioux	IA - Iowa
10/28/2015^	IA Sioux Center Regional Airport Auth Bank Loan 15 Fin Adv Agmt	Financial Advisor	Sioux	IA - Iowa
2/3/2015^	IA Sioux City 15 Fin Adv Agmt	Financial Advisor	Woodbury	IA - Iowa
5/22/2017	IA Sioux City GO 17A	Financial Advisor	woodbury	IA - Iowa
5/22/2017	IA Sioux City Taxable GO 17B	Financial Advisor	woodbury	IA - Iowa
3/8/2017^	IA Solon CSD Advice and Calculation 17 Fin Adv Agmt	Financial Advisor	Johnson	IA - Iowa
4/26/2017	IA Solon CSD Sch Infra Sales Serv Use Tax Rev Ref 17B	Private Placement	johnson	IA - Iowa
4/10/2017	IA South Hamilton CSD GO Sch Capital Loan Notes 17	Financial Advisor	hamilton	IA - Iowa
1/11/2016^	IA South Hamilton CSD GO Sch-GO Sch CLN 16 Fin Adv Agmt	Financial Advisor	Hamilton	IA - Iowa
11/9/2016^	IA Spirit Lake Calculation of Water Rates 16 Fin Adv Agmt	Financial Advisor	Dickinson	IA - Iowa
9/28/2017^	IA Spirit Lake Current Refunding 17 Fin Adv Agmt	Financial Advisor	Dickinson	IA - Iowa
5/9/2017	IA Spirit Lake GO Ref Capital Loan Notes 17	Financial Advisor	dickinson	IA - Iowa
4/18/2017	IA Storm Lake CSD GO Sch Ref 17	Private Placement	buena vista	IA - Iowa
4/18/2017	IA Storm Lake CSD Sch Infra Sales Serv Use Tax Rev Ref 17	Private Placement	buena vista	IA - Iowa
3/15/2017^	IA Tipton CSD GO Sch 17 Fin Adv Agmt	Financial Advisor	Cedar	IA - Iowa
4/11/2017	IA Urbandale GO and Ref 17A	Financial Advisor	Polk	IA - Iowa
4/11/2017	IA Urbandale GO Urban Renewal 17B	Financial Advisor	polk	IA - Iowa
8/31/2004^	IA Urbandale IA Various Issues 2004 Fin Adv Agmt	Financial Advisor	Dallas	IA - Iowa
6/12/2017*	IA Wayland State Revolving Loan Sewer 17 Fin Adv Agmt	Financial Advisor	Henry	IA - Iowa
6/27/2017	IA Winterset CSD Sch Infra Sales Serv Use Tax Rev Ref 17	Private Placement	madison	IA - Iowa
3/2/2017^	ID Ada County Advising on LID No. 1101 17 Fin Adv Agmt	Financial Advisor	Ada	ID - Idaho
9/3/2015^	ID American Falls Joint SD No. 381 15 Fin Adv Agmt	Financial Advisor	Power and Cassia	ID - Idaho
2/24/2015^	ID Blaine County GO Ref 15 Fin Adv Agmt	Financial Advisor	Blaine	ID - Idaho
5/2/2017	ID Boise ISD No. 1 GO 17	Negotiated	Ada and Boise	ID - Idaho
3/5/2015^	ID Boise State University 15 Fin Adv Agmt	Financial Advisor	Ada	ID - Idaho
1/11/2016^	ID Caldwell SD No. 132 16 Fin Adv Agmt	Financial Advisor	Canyon	ID - Idaho
6/10/2015^	ID Canyon County SD No. 135 Notus GO 15 Fin Adv Agmt	Financial Advisor	Canyon	ID - Idaho

\* New Financial Advisory Agreements

^Ongoing Financial Advisory Agreements

**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

10/15/2014^	ID Capital City Development Corp 14 Fin Adv Agmt	Financial Advisor	Ada	ID - Idaho
3/29/2016^	ID City of Boise 16 Fin Adv Agmt	Financial Advisor	Ada	ID - Idaho
3/17/2014^	ID City of Hailey-Idaho Bonk Bank Rev 14C Fin Adv Agmt	Financial Advisor	Blaine	ID - Idaho
10/15/2015^	ID Dormitory Housing Com of North Idaho College 15 Fin Adv Agmt	Financial Advisor	Kootenai	ID - Idaho
12/14/2016^	ID Gooding Joint SD No. 231 Bonds Fin Adv Agmt	Financial Advisor	Gooding	ID - Idaho
3/12/2014^	ID Hayden 14 Fin Adv Agmt	Financial Advisor	Kootenai	ID - Idaho
11/10/2014^	ID Idaho State Building Auth 14 Fin Adv Agmt	Financial Advisor	State Authority	ID - Idaho
6/7/2017	ID Idaho TAN 2017	Financial Advisor	State Authority	ID - Idaho
1/21/2015^	ID Kimberly SD No. 414 15 Fin Adv Agmt	Financial Advisor	Twin Falls	ID - Idaho
7/13/2015^	ID Kootenai Cty SD No. 271 Coeur d'Alene 15 Fin Adv Agmt	Financial Advisor	Kootenai	ID - Idaho
5/25/2017	ID Kootenai SD No. 271 GO 17	Financial Advisor	Kootenai	ID - Idaho
5/17/2017	ID Kuna Joint SD No. 3 GO 17A	Negotiated	Ada and Canyon	ID - Idaho
5/17/2017	ID Kuna Joint SD No. 3 GO 17B	Negotiated	Ada and Canyon	ID - Idaho
1/23/2017^	ID Lakeland Joint SD No. 272 GO Authorized by Election 17 Fin Adv Agmt	Financial Advisor	Kootenai and Bonner	ID - Idaho
5/28/2015^	ID Meridian Free Library Dist GO 2015 Fin Adv Agmt	Financial Advisor	Ada	ID - Idaho
11/1/2016^	ID Moscow GO Approved at Election Prior to 12-31-18 16 Fin Adv Agmt	Financial Advisor	Latah	ID - Idaho
11/3/2016^	ID Nampa 16 Fin Adv Agmt	Financial Advisor	Canyon	ID - Idaho
6/1/2017	ID Nez Perce County ISD No. 1 Lewiston GO 17A	Negotiated	Nez Perce	ID - Idaho
6/1/2017	ID Nez Perce County ISD No. 1 Lewiston GO 17B	Negotiated	Nez Perce	ID - Idaho
4/9/2014^	ID North Idaho College 2014 Fin Adv Agmt	Financial Advisor	Kootenai	ID - Idaho
10/17/2014^	ID Parma SD No. 137 14 Fin Adv Agmt	Financial Advisor	Canyon	ID - Idaho
5/19/2015^	ID Post Falls GO 15 Fin Adv Agmt	Financial Advisor	Kootenai	ID - Idaho
9/16/2016^	ID Sandpoint Ref 07 Sewer Rev Bonds 16 Fin Adv Agmt	Financial Advisor	Bonner	ID - Idaho
4/23/2014^	ID School District No. 401 Teton County GO 14 Fin Adv Agmt	Financial Advisor	Teton	ID - Idaho
3/19/2015^	ID Shelley Joint SD No. 60 15 Fin Adv Agmt	Financial Advisor	Bingham	ID - Idaho
1/17/2017^	ID State of Idaho TAN 17-18 Fin Adv Agmt	Financial Advisor	Ada	ID - Idaho
4/4/2017	IL Galesburg GO Ref 17	Negotiated	Knox	IL - Illinois
4/3/2017	IL Palatine Park Dist Taxable Ltd Park 17A	Private Placement	Cook	IL - Illinois
6/27/2017	IN Frankton-Lapel South High School Bldg Corp Lease Rental Ref 17	Private Placement	Madison	IN - Indiana
5/31/2017	IN Greater Clark Bldg Corp First Mortgage 17	Negotiated	Clark	IN - Indiana
4/18/2017	IN Lawrenceburg Sch Bldg Corp Ad Valorem Property Tax First Mortgage Ref 17	Private Placement	Lawrence	IN - Indiana
6/15/2017	IN Terre Haute Solid Waste Disposal Rev Pyrolyx Carbon 17A	Negotiated	Vigo	IN - Indiana
6/15/2017	IN Terre Haute Solid Waste Disposal Rev Pyrolyx Carbon Taxable 17B	Negotiated	Vigo	IN - Indiana
7/13/2015^	KS Abilene GO 15A and GO Ref 15B Fin Adv Agmt	Financial Advisor	Saline	KS - Kansas
6/12/2017	KS Abilene GO Rfdg 17	Financial Advisor	Sedgwick	KS - Kansas
6/20/2016^	KS Augusta GO Bonds 16-A Fin Adv Agmt	Financial Advisor	Butler	KS - Kansas
5/1/2017	KS Augusta GO Temp Notes 17-1	Financial Advisor	Butler	KS - Kansas
6/20/2017	KS Bel Aire Public Bldg Commission Taxable Ref Rev 17	Negotiated	Sedgwick	KS - Kansas
4/27/2017	KS Chisholm Creek Util Auth Water Wastewater Facil Ref Rev 17	Negotiated	Sedgwick	KS - Kansas
6/1/2017*	KS City of Derby GO 17B Fin Adv Agmt	Financial Advisor	Sedgwick	KS - Kansas
6/6/2017	KS Cloud County Community College Lease Agmt Ref COP 17	Private Placement	Cloud	KS - Kansas
5/3/2017	KS Crawford County USD No. 250 GO 17	Negotiated	Crawford	KS - Kansas
6/8/2017	KS Derby GO 17-A	Financial Advisor	Sedgwick	KS - Kansas
4/11/2017*	KS Derby GO 17A-GO Temp Notes 17-1 Fin Adv Agmt	Financial Advisor	Sedgwick	KS - Kansas
6/8/2017	KS Derby GO Temp Notes 2017-1	Financial Advisor	Sedgwick	KS - Kansas
8/18/2015^	KS Ellsworth GO 15A-B Fin Adv Agmt	Financial Advisor	Ellsworth	KS - Kansas
6/26/2017	KS Ellsworth GO Temp Notes 17	Financial Advisor	Ellsworth	KS - Kansas

\* New Financial Advisory Agreements

^Ongoing Financial Advisory Agreements

**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

1/30/2017^	KS Garnett Defeasance 09-A GO 17 Fin Adv Agmt	Financial Advisor	Anderson	KS - Kansas
4/21/2016^	KS Goodland GO 16 Fin Adv Agmt	Financial Advisor	Sherman	KS - Kansas
5/1/2017	KS Goodland GO 17	Financial Advisor	Sherman	KS - Kansas
6/7/2017*	KS Hillsboro Publ Bldg Comm Rfdg Rev 17 Fin Adv Agmt	Financial Advisor	Marion	KS - Kansas
5/1/2017	KS Jackson County USD No. 336 GO Ref 17	Negotiated	Jackson	KS - Kansas
6/19/2015^	KS Johnson County Community College 15 Fin Adv Agmt	Financial Advisor	Jackson	KS - Kansas
5/3/2017	KS Johnson-Miami County USD No. 230 GO Rfdg 17-B	Negotiated	Johnson/Miami	KS - Kansas
4/20/2017	KS Kansas University Hospital Auth Health Fac Rev KUHA 17A	Negotiated	Douglas	KS - Kansas
6/13/2017	KS Leavenworth GO 2017-B	Financial Advisor	Leavenworth	KS - Kansas
6/13/2017	KS Leavenworth GO Temp Notes A2017	Financial Advisor	Leavenworth	KS - Kansas
6/13/2017	KS Leavenworth GO Temp Notes B2017	Financial Advisor	Leavenworth	KS - Kansas
10/18/2000^	KS Leavenworth KS GO 2000 Fin Adv Agmt	Financial Advisor	Leavenworth	KS - Kansas
11/14/2016^	KS Lyon County USD No. 252 16 Fin Adv Agmt	Financial Advisor	Lyon	KS - Kansas
5/4/2017	KS Lyon County USD No. 253 Emporia GO Ref 17	Negotiated	Lyon	KS - Kansas
6/5/2017*	KS Lyons GO-GO Temp Notes-COP-Rev 17 Fin Adv Agmt	Financial Advisor	Rice	KS - Kansas
4/27/2017	KS Marais Des Cygnes Public Util Auth Water Facil Rev Ref 17	Negotiated	Miami	KS - Kansas
10/12/2016^	KS Marshall County USD No. 380 17, 18 or 19 Voter Bonds 16 Fin Adv Agmt	Financial Advisor	Marshall	KS - Kansas
4/25/2017	KS McPherson County USD No. 418 Lease Purchase Agmt 17	Private Placement	McPherson	KS - Kansas
7/26/2016^	KS Montgomery County USD No. 447 16 Fin Adv Agmt	Financial Advisor	Montgomery	KS - Kansas
6/15/2017	KS Mulvane GO Temp Notes 17B	Financial Advisor	Sedgwick and Sumner	KS - Kansas
5/31/2017*	KS Mulvane GO Temp Notes B 17 Fin Adv Agmt	Financial Advisor	Sedgwick	KS - Kansas
4/12/2017	KS Parsons Rfdg COP 17A	Private Placement	Labette	KS - Kansas
4/12/2017	KS Parsons Rfdg COP 17B	Private Placement	Labette	KS - Kansas
7/14/2016^	KS Reno County USD No. 310 16 Fin Adv Agmt	Financial Advisor	Reno	KS - Kansas
5/24/2017*	KS Reno County USD No.313 Buhler Lease Purchase Agmt 17 Fin Adv Agmt	Financial Advisor	Reno	KS - Kansas
6/20/2017	KS Rice County USD No. 376 GO Rfdg 17	Negotiated	Rice	KS - Kansas
8/21/2002^	KS Riley County KS GO 2002 Fin Adv Agmt	Financial Advisor	Riley	KS - Kansas
6/27/2017	KS Seward County USD No. 480 GO Ref 17	Negotiated	Seward	KS - Kansas
6/28/2017	KS Unified Government of Greeley County GO 17-A	Private Placement	Greeley	KS - Kansas
7/12/2017^	KS United SD No. 363 Finney County Holcomb GO 17 Fin Adv Agmt	Financial Advisor	Finney	KS - Kansas
6/28/2017*	KS USD No. 393 Solomon GO 17 Fin Adv Agmt	Financial Advisor	Dickinson	KS - Kansas
6/5/2017	KS Wabaunsee County USD No. 329 GO Rfdg 17	Private Placement	Wabaunsee	KS - Kansas
1/30/2017^	KS Waconda USD No. 272 Voter Approved Projects 17 Fin Adv Agmt	Financial Advisor	Osborne	KS - Kansas
1/8/2009^	KS WaterOne	Financial Advisor	State Authority	KS - Kansas
5/8/2017	LA Louisiana Local Govern Enron Facil CDA Rev Ref Lake Charles 17	Negotiated	Calcasieu Parish	LA - Louisiana
5/24/2017	MD Mayor and City Council of Baltimore Convention Ctr Hotel Rev Ref 17	Negotiated	County of City of Baltimore Maryland	MD - Maryland
5/10/2017	ME Lower Kennebec Regional School Unit No 1 GO Ref 17	Negotiated	Sagadahoc	ME - Maine
5/4/2017	MN Maple Grove Healthcare Ref Rev Maple Grove Hospital 17	Negotiated	Hennepin	MN - Minnesota
5/10/2017	MN Minnesota HFA Mortgage Backed Securities Pass-Through 17E	Negotiated	Ramsey	MN - Minnesota
6/20/2017	MN Minnesota HFA Residential Housing 17A (AMT)	Negotiated	Ramsey	MN - Minnesota
6/20/2017	MN Minnesota HFA Residential Housing 17B Non-AMT	Negotiated	Ramsey	MN - Minnesota

\* New Financial Advisory Agreements

^Ongoing Financial Advisory Agreements

**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

5/10/2017	MN Minnesota Mortgage Backed Securities Pass-Through 17F Taxable	Negotiated	Ramsey	MN - Minnesota
5/11/2017	MO Pevely Ref COP 17	Private Placement	Jefferson	MO - Missouri
6/21/2017	MO Audrain County COP 17	Private Placement	Audrain	MO - Missouri
2/2/2017^	MO Belton Ref COP-GO Ref 17 Fin Adv Agmt	Financial Advisor	Cass	MO - Missouri
4/25/2017	MO Belton Rfdg COP 17	Financial Advisor	Cass	MO - Missouri
4/20/2017	MO Belton Rfdg GO 17	Financial Advisor	Cass	MO - Missouri
4/26/2016^	MO Belton Tax Incr Ref Rev Belton Gateway 16 Fin Adv Agmt	Financial Advisor	Cass	MO - Missouri
6/15/2017*	MO Calvey Creek Sewer District Fin Adv Agmt	Financial Advisor	Franklin	MO - Missouri
6/1/2017	MO Camden County Public Water Supply District No. 4 COP 17	Negotiated	Camden	MO - Missouri
4/20/2017	MO Cass County Rfdg COP 17	Private Placement	Cass	MO - Missouri
7/5/2016^	MO Christian County 16 Fin Adv Agmt	Financial Advisor	Christian	MO - Missouri
5/4/2015^	MO City of Cape Girardeau 15 Fin Adv Agmt	Financial Advisor	Cape Girardeau	MO - Missouri
7/23/2012^	MO City of Maryville 12 Fin Adv Agmt	Financial Advisor	Nodaway	MO - Missouri
5/3/2017*	MO City of Perryville 17 Fin Adv Agmt	Financial Advisor	Perry	MO - Missouri
7/5/2017^	MO City of St. Joseph GO and Sewer Rev 17 Fin Adv Agmt	Financial Advisor	Buchanan	MO - Missouri
5/3/2017	MO Columbia SD Lease 2017	Financial Advisor	Boone	MO - Missouri
12/2/2016^	MO Columbia SD MO GO 16 Fin Adv Agmt	Financial Advisor	Boone	MO - Missouri
5/17/2017	MO Crawford County E-911 Communications Board of Directors Equip Lease 17	Private Placement	Crawford	MO - Missouri
5/30/2017	MO Dolan and West Dolan Fire Protection Dist GO 17	Private Placement	Cass	MO - Missouri
4/26/2016^	MO Duckett Creek Sanitary Dist COP Treatment Plant 16 Fin Adv Agmt	Financial Advisor	St. Charles	MO-Missouri
2/17/2015^	MO Dunklin R-V SD Jefferson County GO Ref 15 Fin Adv Agmt	Financial Advisor	Jefferson	MO - Missouri
2/6/2015^	MO El Dorado Springs R-II SD 15 Fin Adv Agmt	Financial Advisor	Cedar	MO - Missouri
10/28/2014^	MO Grandview GO 14 Fin Adv Agmt	Financial Advisor	Jackson	MO - Missouri
4/11/2017	MO Grandview GO 17	Financial Advisor	Jackson	MO - Missouri
4/12/2017	MO Hawthorne Dev Transportation Dev Dist Rev 17	Financial Advisor	Johnson	MO - Missouri
5/2/2016^	MO Hollister TIF Project Bonds 16 Fin Adv Agmt	Financial Advisor	Taney	MO - Missouri
4/18/2016^	MO Kearney Fire and Rescue Protect Dist 2010 GO Rfdg Fin Adv Agmt	Financial Advisor	Clay	MO - Missouri
10/6/2014^	MO Kearney GO Ref and Imp 14 Fin Adv Agmt	Financial Advisor	Clay	MO - Missouri
8/30/2016^	MO Kearney Lease Purchase 16 Fin Adv Agmt	Financial Advisor	Clay	MO - Missouri
5/18/2017	MO Kearney R-1 SD GO 17	Financial Advisor	Clay	MO - Missouri
1/15/2015^	MO Kearney R-1 SD GO Ref 15 Fin Adv Agmt	Financial Advisor	Clay	MO - Missouri
2/7/2017^	MO Kearney Sewer System Improvements 17 Fin Adv Agmt	Financial Advisor	Clay	MO
9/15/2014^	MO Kirksville 14 Fin Adv Agmt	Financial Advisor	Adair	MO - Missouri
11/22/2016^	MO Kirkwood IDA Retirement Com Rev Aberdeen Heights 17 Fin Adv Agmt	Financial Advisor	St. Louis	MO - Missouri
2/7/2017^	MO Liberty Ref of 2007 TIF Rev-2010 Special Obliq 17 Fin Adv Agmt	Financial Advisor	Clay	MO - Missouri
3/16/2016^	MO Little Blue Valley Sewer Dist 16 Fin Adv Agmt	Financial Advisor	Jackson	MO - Missouri
10/14/2014^	MO Meramec Valley R-III SD 14 Fin Adv Agmt	Financial Advisor	Franklin	MO - Missouri
6/1/2017	MO Meramec Valley R-III SD GO Ref 17A	Financial Advisor	Franklin, St. Louis, Jefferson	MO - Missouri
6/22/2017	MO Meramec Valley SD R-III GO Rfdg 17B	Financial Advisor	FRANKLIN, ST. LOUIS AND JEFFERSON	MO - Missouri
5/16/2017*	MO Mexico 17 Fin Adv Agmt	Financial Advisor	Audrain	MO - Missouri
6/21/2017	MO Missouri Dev Fin Board Infra Facil Rfdg Rev Independence-Eastland Center 17A	Negotiated	Jackson, Cole	MO - Missouri
6/21/2017	MO Missouri Dev Fin Board Infra Facil Rfdg Rev Independence-Hartman Heritage 17B	Negotiated	Jackson, Cole	MO - Missouri
12/5/2016^	MO Moberly Combined Water Sewer Rev 16 Fin Adv Agmt	Financial Advisor	Christian	MO - Missouri

\* New Financial Advisory Agreements

^Ongoing Financial Advisory Agreements

**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

10/17/2016^	MO Monett Annual Appro Swimming Pool Facil Imp 16 Fin Adv Agmt	Financial Advisor	Barry	MO - Missouri
4/12/2016^	MO North Kansas City Sch Dist 16 Fin Adv Agmt	Financial Advisor	Clay	MO - Missouri
4/5/2017	MO O'Fallon GO 17	Financial Advisor	St. Charles	MO - Missouri
12/9/2016^	MO O'Fallon GO-Special Oblig 17 Fin Adv Agmt	Financial Advisor	St. Charles	MO - Missouri
4/5/2017	MO O'Fallon Special Obligation 17	Financial Advisor	St. Charles	MO - Missouri
5/26/2015^	MO Park Hill School District of Platte Cty 15 Fin Adv Agmt	Financial Advisor	St. Francis	MO - Missouri
1/8/2015^	MO Parkway SD GO Ref 15 Fin Adv Agmt	Financial Advisor	Gwinnett	MO - Missouri
8/17/2016^	MO Pulaski County Justice Center Financing 16 Fin Adv Agmt	Financial Advisor	Pulaski	MO - Missouri
7/16/2015^	MO Purdy R-II School District 15 Fin Adv Agmt	Financial Advisor	Barry	MO - Missouri
4/10/2017	MO Purdy R-II SD GO 17	Financial Advisor	Barry	MO - Missouri
3/1/2017^	MO Raymore 17 Fin Adv Agmt	Financial Advisor	Cass	MO - Missouri
4/10/2017	MO Raymore GO 17	Financial Advisor	Cass	MO - Missouri
10/16/2014^	MO Rockwood R-VI SD 14 Fin Adv Agmt	Financial Advisor	St. Louis	MO - Missouri
7/3/2014^	MO Sikeston Board of Municipal Utilities 14 Fin Adv Agmt	Financial Advisor	Scott	MO - Missouri
7/6/2017^	MO Sikeston Board of Municipal Utilities 17 Fin Adv Agmt	Financial Advisor	Scott	MO - Missouri
5/31/2017	MO Sikeston R-6 School District GO 17	Financial Advisor	Scott/New Madrid	MO - Missouri
4/10/2017*	MO Sikeston SD GO 17 Fin Adv Agmt	Financial Advisor	Scott/New Madrid	MO - Missouri
8/5/2014^	MO Smithville 14 Fin Adv Agmt	Financial Advisor	Clay	MO - Missouri
7/12/2017^	MO South Central Buchanan Cnty Fire Protection District 17 Fin Adv Agmt	Financial Advisor	South Central Buchanan	MO - Missouri
10/19/2016^	MO St. Charles County Special Obligation 16 Fin Adv Agmt	Financial Advisor	St. Charles	MO - Missouri
7/12/2012^	MO St. Joseph 12 Fin Adv Agmt	Financial Advisor	Buchanan	MO - Missouri
1/18/2013^	MO St. Louis County Library COP 13 Fin Adv Agmt	Financial Advisor	St. Louis	MO-Missouri
7/13/2017^	MO Sugar Creek 17 Fin Adv Agmt	Financial Advisor	Jackson	MO - Missouri
8/30/2016^	MO Sunset Hills Ref COP 16 Fin Adv Agmt	Financial Advisor	St. Louis	MO - Missouri
3/15/2016^	MO Warrensburg 16 Fin Adv Agmt	Financial Advisor	Johnson	MO - Missouri
11/3/2014^	MO West County EMS FPD GO Ref Imp 15 Fin Adv Agmt	Financial Advisor	St. Louis	MO - Missouri
5/23/2017	MS D'Iberville Tax Increment Ltd Obligation 17A	Negotiated	Harrison	MS - Mississippi
5/23/2017	MS D'Iberville Taxable Tax Increment Ltd Obligation 17B	Negotiated	Harrison	MS - Mississippi
3/1/2013^	MT State of Montana 2013 Fin Adv Agmt	Financial Advisor	State Authority	MT - Montana
6/7/2017	NC Dare County Utility Systems Rev Ref 17	Negotiated	Dare	NC - North Carolina
4/4/2017	ND North Dakota HFA Home Mortgage Finance 17A	Negotiated	Burleigh	ND - North Dakota
4/4/2017	ND North Dakota HFA Home Mortgage Finance 17B Taxable	Negotiated	Burleigh	ND - North Dakota
7/13/2015^	NE Lake Vista - Nebraska Multisport Complex 15 Fin Adv Agmt	Financial Advisor	Sarpy	NE - Nebraska
11/19/2015^	NE Metropolitan Community College Area 15 Fin Adv Agmt	Financial Advisor	Douglas	NE - Nebraska
6/7/2017	NY Albany Capital Resource Corp Rev Rfdg Albany Law Sch 17A	Negotiated	Albany	NY - New York
4/18/2017	NY Dutchess County Resource Recovery Agency Solid Waste Rev Rfdg 17	Negotiated	Dutchess	NY - New York
1/17/2017^	NY Metropolitan Transportation Authority Spec Muni Agreement 17	Financial Advisor	New York	NY - New York
6/28/2017	NY New York Dorm Auth DASNY Income Tax Rev 17	Negotiated	State	NY - New York
5/10/2017	NY New York Dorm Auth DASNY Sch Dist Financing Proq Rev 17A	Negotiated	State	NY - New York
5/10/2017	NY New York Dorm Auth DASNY Sch Dist Financing Proq Rev 17B	Negotiated	State	NY - New York
5/10/2017	NY New York Dorm Auth DASNY Sch Dist Financing Proq Rev 17C	Negotiated	State	NY - New York
5/10/2017	NY New York Dorm Auth DASNY Sch Dist Financing Proq Rev 17D	Negotiated	State	NY - New York

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**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

5/10/2017	NY New York Dorm Auth DASNY Sch Dist Financing Proq Rev 17E	Negotiated	State	NY - New York
10/8/2015^	OH Ohio Living (formerly known as Presbyterian Retirement Serv) Refinancing Debt 15 Fin Adv Agmt	Financial Advisor	Various	OH - Ohio
4/26/2017	OR Beaverton SD No. 48J GO 17A Taxable	Negotiated	Washington and Multnomah	OR - Oregon
4/26/2017	OR Beaverton SD No. 48J GO 17B DIB	Negotiated	Washington and Multnomah	OR - Oregon
4/26/2017	OR Beaverton SD No. 48J GO 17C CIB	Negotiated	Washington and Multnomah	OR - Oregon
4/26/2017	OR Beaverton SD No. 48J GO 17D Convertible DIB	Negotiated	Washington and Multnomah	OR - Oregon
1/12/2017^	OR Bend Park and Recreation Dist 17 Fin Adv Agmt	Financial Advisor	Deschutes	OR - Oregon
6/15/2017*	OR Bend-La Pine Schools SD No. 1 17 Fin Adv Agmt	Financial Advisor	Deschutes	OR - Oregon
4/4/2017	OR Chemeketa Community College Full Faith Credit Ref Oblig 17	Private Placement	Marion, Linn, Polk, Yamhill	OR - Oregon
3/12/2015^	OR City of Albany 2015 Fin Adv Agmt	Financial Advisor	Linn	OR - Oregon
11/18/2014^	OR City of Gresham 14 Fin Adv Agmt	Financial Advisor	Multnomah	OR - Oregon
5/31/2017	OR Clackamas Community College GO 17A (DIB)	Negotiated	Clackamas	OR - Oregon
5/31/2017	OR Clackamas Community College GO 17B (CIB)	Negotiated	Clackamas	OR - Oregon
9/16/2015^	OR Clackamas County 15 Fin Adv Agmt	Financial Advisor	Clackamas	OR - Oregon
4/16/2016^	OR Clackamas Service District No. 1 16 Fin Adv Agmt	Financial Advisor	Clackamas	OR - Oregon
10/12/2016^	OR Columbia County 16 Fin Adv Agmt	Financial Advisor	Columbia	OR - Oregon
2/11/2015^	OR Eugene Water and Electric Board Amendment to 13 SNW Fin Adv Agmt	Financial Advisor	Lane	OR - Oregon
5/11/2017	OR Eugene Wtr Elec Board Defeasance 01A CAB and 01A Taxable 17	Financial Advisor	Lane	OR - Oregon
4/12/2017	OR Forest Grove Student Housing Ref Rev Oak Tree Foundation 17	Negotiated	Washington	OR - Oregon
8/24/2016^	OR Grants Pass Wastewater Utility Bonds 17 Fin Adv Agmt	Financial Advisor	Josephine	OR - Oregon
12/23/2013^	OR Hermiston Water Sewer Rev 14 Fin Adv Agmt	Financial Advisor	Umatilla	OR - Oregon
1/7/2016^	OR Hillsboro 16 Fin Adv Agmt	Financial Advisor	Washington	OR - Oregon
5/11/2017	OR Hillsboro Full Faith and Credit Ref 17	Financial Advisor	Washington, County	OR - Oregon
10/8/2013^	OR Housing Auth of Washington County 13 Fin Adv Agmt	Financial Advisor	Washington	OR - Oregon
2/24/2016^	OR Independence Full Faith and Credit Olig Rev 16 Fin Adv Agmt	Financial Advisor	Polk	OR - Oregon
4/20/2017	OR Jackson County GO Rfdg 17	Private Placement	Jackson	OR - Oregon
6/1/2012^	OR Lane County 12 SNW Fin Adv Agmt	Financial Advisor	Lane	OR - Oregon
5/17/2017	OR Lane County Full Faith and Credit Ref Obligation 17	Financial Advisor	Lane	OR - Oregon
6/1/2017	OR Lane County SD No. 4J Eugene Public Schools GO 17	Financial Advisor	Lane, Linn	OR - Oregon
5/13/2013^	OR Lane Cty SD 4J Eugene GO 13A-B Fin Adv Agmt	Financial Advisor	Lane	OR - Oregon
11/1/2013^	OR Medford Limited Tax Revenue 13 Fin Adv Agmt	Financial Advisor	Jackson	OR - Oregon
12/5/2016^	OR Metro 17 Fin Adv Agmt	Financial Advisor	Multnomah	OR - Oregon
2/16/2016^	OR Milwaukie Library Expansion and Misc. Projects 16 Fin Adv Agmt	Financial Advisor	Clackamas	OR - Oregon
1/25/2016^	OR Multnomah County 16 Fin Adv Agmt	Financial Advisor	Multnomah	OR - Oregon
11/9/2015^	OR Multnomah Cty Drainage Dist No. 1 15 Fin Adv Agmt	Financial Advisor	Multnomah	OR - Oregon
7/1/2017^	OR Multnomah Cty SD 1J Portland Public Sch 17 Fin Adv Agmt	Financial Advisor	Multnomah	OR - Oregon
5/17/2017	OR Oregon Dept of Transportation Highway User Tax Rev 17A	Negotiated	State	OR - Oregon
5/17/2017	OR Oregon Dept of Transportation Highway User Tax Rev 17B	Negotiated	State	OR - Oregon
5/10/2017	OR Oregon Education Districts Short-Term Borrowing COP 17A Taxable	Negotiated	Clatsop, Coos, Curry, Deschutes, Jefferson, Tillam	OR - Oregon
4/4/2017	OR Oregon GO Article X1-F and XI-G 17-I	Negotiated	State	OR - Oregon
4/4/2017	OR Oregon GO Article X1-F and XI-G 17-J	Negotiated	State	OR - Oregon
4/4/2017	OR Oregon GO Article X1-F and XI-G 17-L	Negotiated	State	OR - Oregon

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**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

5/15/2017	OR Oregon Trail School District No. 46 GO Ref 17	Negotiated	Clackamas	OR - Oregon
6/14/2017	OR Roseburg Full Faith and Credit Ref Obligations 17	Private Placement	Douglas	OR - Oregon
1/3/2017^	OR Salem 17 Fin Adv Agmt	Financial Advisor	Marion	OR - Oregon
6/29/2017	OR Salem Water Sewer Rev Rfdg 17	Financial Advisor	Marion and Polk	OR - Oregon
8/22/2016^	OR Sandy Urban Renewal Agency 16 Fin Adv Agmt	Financial Advisor	Clackamas	OR - Oregon
11/18/2016^	OR Washington County 16 Fin Adv Agmt	Financial Advisor	Washington	OR - Oregon
11/1/2012^	OR Washington County Full Faith Credit Ref Oblig 12 SNW Fin Adv Agmt	Financial Advisor	Washington	OR - Oregon
5/24/2017	PA Borough of Castle Shannon GO 17	Negotiated	Allegheny	PA - Pennsylvania
4/27/2017	PA Bucks County GO 17	Negotiated	Bucks	PA - Pennsylvania
4/25/2017	PA Hampton Township Sch Dist GO 17	Negotiated	Allegheny	PA - Pennsylvania
5/17/2017	PA Municipality of Monroeville GO 17	Negotiated	Allegheny	PA - Pennsylvania
6/28/2017	PA Pitcairn GO 17	Negotiated	Allegheny	PA - Pennsylvania
5/9/2017	SC Spartanburg County SD No. 7 Special Obligation 17	Negotiated	Spartanburg	SC - South Carolina
5/2/2017	SD South Dakota Bldg Auth Rev 17A	Negotiated	State Agency	SD - South Dakota
4/12/2017	TN Poplar Grove Utility Dist of Tipton County Waterworks Ref 17B Taxable	Negotiated	Tipton	TN - Tennessee
4/12/2017	TN Poplar Grove Utility Dist of Tipton County Waterworks Rev Ref 17A	Negotiated	Tipton	TN - Tennessee
5/2/2017	TX Austin Convention Enterprises Conv Ctr Hotel First Tier Rev Rfdg 17A	Negotiated	Travis County, TX	TX - Texas
5/2/2017	TX Austin Convention Enterprises Conv Ctr Hotel Second Tier Rev Rfdg 17B	Negotiated	Travis County, TX	TX - Texas
5/31/2017	TX Austin ISD Ultl Tax Rfdg 17	Negotiated	Travis	TX - Texas
4/10/2017	TX Canutillo ISD Ultl Tax Rfdg 17	Negotiated	El Paso	TX - Texas
4/18/2017	TX Katy ISD Ultl Tax Sch Bldg 17	Negotiated	Fort Bend, Harris, Waller	TX - Texas
4/5/2017	TX New Hope Cultural Educ Facil Fin Corp Sr Lvq Rev Stoney Brook 17A-1	Negotiated	Bell	TX - Texas
4/5/2017	TX New Hope Cultural Educ Facil Fin Corp Sr Lvq Rev Stoney Brook 17A-2	Negotiated	Bell	TX - Texas
4/5/2017	TX New Hope Cultural Educ Facil Fin Corp Sr Lvq Rev Stoney Brook 17A-2	Negotiated	Bell	TX - Texas
4/5/2017	TX New Hope Cultural Educ Facil Fin Corp Sr Lvq Rev Stoney Brook 17C	Negotiated	Bell	TX - Texas
5/23/2017	TX Northwest ISD Ultl Tax Sch Bldg 17	Negotiated	Denton, Tarrant, Wise	TX - Texas
6/6/2017	TX Pearland ISD Ultl Tax Sch Bldg 17	Negotiated	Brazoria, Harris	TX - Texas
4/6/2017	TX Red River Educ Fin Auth Higher Educ Rev St. Edward's Univ 17	Negotiated	Travis	TX - Texas
4/26/2017	TX Round Rock GO 17	Negotiated	Williamson, Travis	TX - Texas
6/14/2017	TX Socorro ISD Ultl Tax Rfdg 17A	Negotiated	El Paso	TX - Texas
6/14/2017	TX Socorro ISD Ultl Tax Rfdg 17B	Negotiated	El Paso	TX - Texas
6/27/2017	TX Sunnyvale ISD Ultl Tax Sch Bldg 17	Negotiated	Dallas	TX - Texas
6/6/2017	TX Texas Board of Regents Texas A and M Univ Rev Fin 17C	Negotiated	Brazos	TX - Texas
6/6/2017	TX Texas Board of Regents Texas A and M Univ Rev Fin Taxable 17B	Negotiated	Brazos	TX - Texas
5/26/2016^	UT Utah Assoc Muni Power Systems UAMPS 16 Fin Adv Agmt	Financial Advisor	State Authority	UT - Utah
10/17/2014^	VT Vermont HFA Multiple Purpose 2015A-E Fin Adv Agmt	Financial Advisor	State Authority	VT - Vermont
8/4/2013^	WA Bellevue 13 Fin Adv Agmt	Financial Advisor	King	WA - Washington
8/31/2013^	WA Bellevue Sch Dist No. 405 13 Fin Adv Agmt	Financial Advisor	King	WA - Washington
10/5/2011^	WA Bellingham 11 SNW Fin Adv Agmt	Financial Advisor	Norfolk	WA - Washington
10/5/2011^	WA Bellingham Water and Sewer Rev 13 Fin Adv Agmt	Financial Advisor	Whatcom	WA - Washington
12/1/2014^	WA Benton PUD 14 Fin Adv Agmt	Financial Advisor	Benton	WA - Washington
5/17/2017	WA Boistfort SD No. 234 UTGO 17	Negotiated	Lewis	WA - Washington
10/15/2014^	WA Central Valley SD No. 356 14 Fin Adv Agmt	Financial Advisor	Kitsap	WA - Washington
4/1/2009^	WA City of Kent 14 SNW Fin Adv Agmt	Financial Advisor	King	WA - Washington
1/1/2014^	WA City of Seattle Fin Adv Agmt	Financial Advisor	King	WA - Washington
10/17/2016^	WA Edmonds Public Fac Dist Ref of 08 PFD Bonds 16 Fin Adv Agmt	Financial Advisor	Snohomish	WA - Washington
6/9/2017*	WA Franklin County Public Utility Dist No. 1 17 Fin Adv Agmt	Financial Advisor	Franklin	WA - Washington

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**Piper Jaffray Issuers List**  
**4/1/2017 - 6/30/2017**

11/10/2015^	WA Jefferson Cty Public Hospt Dist No. 2 Rev-LTGO 17 Fin Adv Agmt	Financial Advisor	Jefferson	WA - Washington
7/12/2013^	WA King County 13 SNW Fin Adv Agmt	Financial Advisor	King	WA - Washington
5/22/2017	WA King County LTGO Green Bonds 17A	Financial Advisor	King	WA - Washington
5/16/2017	WA Lynden LTGO Ref 17	Negotiated	Whatcom	WA - Washington
5/16/2017	WA Lynden UTGO Ref 17	Negotiated	Whatcom	WA - Washington
10/24/2016^	WA Mason County Public Utility Dist No. 1 16 Fin Adv Agmt	Financial Advisor	Mason	WA - Washington
1/19/2001^	WA Mercer Island LTGO 2013 Fin Adv Agmt	Financial Advisor	King	WA - Washington
4/19/2017	WA Ocosta SD No. 172 LGO 17	Private Placement	Grays Harbor	WA - Washington
11/1/2016^	WA Pend Oreille County Public Utility District No. 1 16 Fin Adv Agmt	Financial Advisor	Pend Oreille	WA - Washington
3/23/2017^	WA Port of Seattle 17 Fin Adv Agmt	Financial Advisor	King	WA - Washington
6/20/2017	WA Port of Skagit County LTGO 17 Taxable	Negotiated	Skagit	WA - Washington
3/15/2017^	WA Renton 17 Fin Adv Agmt	Financial Advisor	King	WA - Washington
5/23/2017	WA Richland LTGO and Ref 17	Negotiated	Benton	WA - Washington
6/7/2017	WA Richland Wastewater Ref Rev 17	Negotiated	Benton	WA - Washington
5/3/2017	WA Ridgefield SD No. 122 UTGO 17	Negotiated	Clark	WA - Washington
6/6/2017	WA Seattle Drainage Wastewater Imp Ref Rev 17	Financial Advisor	King	WA - Washington
5/17/2017	WA Seattle LTGO Imp 17B Taxable	Financial Advisor	King	WA - Washington
5/17/2017	WA Seattle LTGO Imp and Ref 17A	Financial Advisor	King	WA - Washington
5/17/2017	WA Seattle UTGO Ref 17	Financial Advisor	King	WA - Washington
1/23/2017^	WA Skagit County SD No. 100 Burlington-Edison 17 Fin Adv Agmt	Financial Advisor	Skagit	WA - Washington
11/1/2013^	WA SoundTransit Central Puget Sound Regl Transit 13 Fin Adv Agmt	Financial Advisor	State Authority	WA - Washington
9/4/2008^	WA Spokane SD No. 81 UTGO 2013 Fin Adv Agmt	Financial Advisor	Spokane	WA - Washington
5/16/2017	WA Stanwood Camano SD No. 401 UTGO 17	Negotiated	Snohomish, Island	WA - Washington
1/27/2016^	WA State of Washington 16 Fin Adv Agmt	Financial Advisor	State Authority	WA - Washington
4/24/2014^	WA Tacoma 14 Fin Adv Agmt	Financial Advisor	Pierce	WA - Washington
7/1/2014^	WA Univ of Washington 14 Fin Adv Agmt	Financial Advisor	King	WA - Washington
4/19/2017	WA Vancouver SD No. 37 UTGO 17	Negotiated	Clark	WA - Washington
6/15/2017	WA Vashon Island SD No. 402 UTGO 17A	Negotiated	King	WA - Washington
6/15/2017	WA Vashon Island SD No. 402 UTGO 17B Taxable	Negotiated	King	WA - Washington
6/6/2017	WI Milwaukee RDA Lease Rev Milwaukee Public Schools 17	Negotiated	Milwaukee	WI - Wisconsin
6/6/2017	WI Milwaukee RDA Ref Rev Milwaukee Public Schools-Neighborhood Initiative 17A	Negotiated	Milwaukee	WI - Wisconsin
5/1/2017	WI Pleasant Prairie GO Prom Notes 17	Negotiated	Kenosha	WI - Wisconsin
6/19/2017	WI Pleasant Prairie GO Prom Notes 17	Negotiated	Kenosha	WI - Wisconsin
6/19/2017	WI Pleasant Prairie Taxable GO Prom Notes 17B	Negotiated	Kenosha	WI - Wisconsin
5/1/2017	WI Pleasant Prairie Taxable Note Anticipation 17	Negotiated	Kenosha	WI - Wisconsin
5/9/2017	WI State of Wisconsin Environ Imp Fund Rev 17A	Negotiated	State Agency	WI - Wisconsin
5/9/2017	WI State of Wisconsin Taxable Environ Imp Fund Rev 17B	Negotiated	State Agency	WI - Wisconsin
5/4/2017	WI Wisconsin HEFA Rev Carroll Univ 17	Private Placement	Waukesha	WI - Wisconsin
11/1/2016^	WV Board of Education Monroe County GO Public Sch 16 Fin Adv Agmt	Financial Advisor	Monroe	WV - West Virginia
5/2/2017	WV Greenbrier Public Serv Dist No. 1 Sewerage System Ref Imp Rev 17	Negotiated	Greenbrier	WV - West Virginia
7/18/2017^	WV West Virginia Housing Dev Fund 17 Fin Adv Agmt	Financial Advisor	State Authority	WV - West Virginia
6/15/2016^	WV Wood County Board of Education 16 Fin Adv Agmt	Financial Advisor	Wood	WV - West Virginia
4/25/2017	WV Wood County Board of Education Public Sch GO 17	Financial Advisor	Wood	WV - West Virginia

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**IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business (list by state)**
**A. Municipal Securities Business**

State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
<i>See Attachment</i>		

**B. Municipal Advisory Business**

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))
<i>None</i>		

**C. Ballot-Approved Offerings**

Full name of the municipal entity and full 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 Municipal Entity	Full Issue Description	Reportable Date of Selection
<i>Sulphur Springs School District, CA</i>	<i>CA Sulphur Springs Union SD GO 2012 Election 17D</i>	<i>02/22/2012</i>
<i>Solano College, CA</i>	<i>CA Solano CCD GO 2012 Election 17C</i>	<i>08/20/2012</i>
<i>Duarte Unified Schools</i>	<i>CA Duarte USD GO 2010 Election 17D</i>	<i>08/03/2010</i>
<i>Covina-Valley School District</i>	<i>CA Covina-Valley USD GO 2012 Election 17D</i>	<i>01/17/2012</i>