

## TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

ETAS ID: TM560355

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	MERGER AND CHANGE OF NAME
<b>EFFECTIVE DATE:</b>	01/03/2020

**CONVEYING PARTY DATA**

Name	Formerly	Execution Date	Entity Type
PIPER JAFFRAY & CO.		01/03/2020	Corporation: DELAWARE

**NEWLY MERGED ENTITY DATA**

Name	Execution Date	Entity Type
PIPER SANDLER & CO.	01/03/2020	Corporation: DELAWARE

**MERGED ENTITY'S NEW NAME (RECEIVING PARTY)**

<b>Name:</b>	PIPER SANDLER & CO.
<b>Street Address:</b>	800 Nicollet Mall, J12N05
<b>City:</b>	Minneapolis
<b>State/Country:</b>	MINNESOTA
<b>Postal Code:</b>	55402
<b>Entity Type:</b>	Corporation: DELAWARE

**PROPERTY NUMBERS Total: 18**

Property Type	Number	Word Mark
<b>Serial Number:</b>	75101594	PIPER JAFFRAY
<b>Serial Number:</b>	75735859	SIMMONS & COMPANY INTERNATIONAL
<b>Serial Number:</b>	75942533	SIMMONSCO-INTL
<b>Serial Number:</b>	76217033	GUIDES FOR THE JOURNEY
<b>Serial Number:</b>	78306250	PIPER JAFFRAY
<b>Serial Number:</b>	85084080	TAKING STOCK WITH TEENS
<b>Serial Number:</b>	85903187	HEALTHY ACTIVE AND SUSTAINABLE LIVING
<b>Serial Number:</b>	86209363	PIPER JAFFRAY INVESTMENT MANAGEMENT
<b>Serial Number:</b>	86209374	PJIM
<b>Serial Number:</b>	86619990	REALIZE THE POWER OF PARTNERSHIP
<b>Serial Number:</b>	86620000	PIPER JAFFRAY REALIZE THE POWER OF PARTN
<b>Serial Number:</b>	87607275	SIMMONS ENERGY
<b>Serial Number:</b>	87607280	SIMMONS ENERGY A DIVISION OF PIPER JAFFR
<b>Serial Number:</b>	88157314	PIPER JAFFRAY BIOINSIGHTS

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Property Type	Number	Word Mark
Serial Number:	88157320	BIOINSIGHTS
Serial Number:	88289409	PIPER JAFFRAY FINANCE
Serial Number:	88503354	PIPER SANDLER
Serial Number:	88731643	SIMMONS ENERGY A DIVISION OF PIPER SANDL

**CORRESPONDENCE DATA**

Fax Number: 6123212288

*Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.*

Phone: 6123212800

Email: MPLSBrandsTeam02@nortonrosefulbright.com

Correspondent Name: Norton Rose Fulbright US LLP

Address Line 1: 60 South Sixth Street, Suite 3100

Address Line 4: Minneapolis, MINNESOTA 55402

ATTORNEY DOCKET NUMBER:	1001109803
NAME OF SUBMITTER:	Kerry R Thompson - Paralegal
SIGNATURE:	/Kerry R Thompson - Paralegal/
DATE SIGNED:	02/04/2020

**Total Attachments: 3**

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# Delaware

The First State

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I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF MERGER, WHICH MERGES:

"SANDLER O'NEILL & PARTNERS LLC", A DELAWARE LIMITED LIABILITY COMPANY,

WITH AND INTO "PIPER JAFFRAY & CO." UNDER THE NAME OF "PIPER SANDLER & CO.", A CORPORATION ORGANIZED AND EXISTING UNDER THE LAWS OF THE STATE OF DELAWARE, AS RECEIVED AND FILED IN THIS OFFICE ON THE THIRD DAY OF JANUARY, A.D. 2020, AT 2:02 O'CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID CERTIFICATE OF MERGER IS THE THIRD DAY OF JANUARY, A.D. 2020 AT 11:55 O'CLOCK P.M.



  
Jeffrey W. Bullock, Secretary of State

722312 8100M  
SR# 20200071170

You may verify this certificate online at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)

Authentication: 202122613  
Date: 01-06-20

**TRADEMARK**  
**REEL: 006855 FRAME: 0796**

State of Delaware  
 Secretary of State  
 Division of Corporations  
 Delivered 01:59 PM 01/03/2020  
 FILED 02:02 PM 01/03/2020  
 SR 20200048265 - File Number 722312

**CERTIFICATE OF MERGER**

**OF**

**SANDLER O'NEILL & PARTNERS LLC**  
 (a Delaware limited liability company)

**WITH AND INTO**

**PIPER JAFFRAY & CO.**  
 (a Delaware corporation)

Pursuant to Section 264 of the Delaware General Corporation Law and Section 18-209 of the Delaware Limited Liability Company Act, Piper Jaffray & Co., a Delaware corporation (the "Company"), has executed this Certificate of Merger:

**FIRST:** The name and state of incorporation or formation of each of the constituent entities are as follows:

<u>Name</u>	<u>State of Incorporation/Formation</u>
Piper Jaffray & Co.	Delaware
Sandler O'Neill & Partners LLC	Delaware

**SECOND:** An Agreement and Plan of Merger, dated as of January 3, 2020 (the "Merger Agreement"), between the Company and Sandler O'Neill & Partners LLC, a Delaware limited liability company ("Sandler BD"), setting forth the terms and conditions of the merger of Sandler BD with and into the Company (the "Merger"), has been approved, adopted, certified, executed and acknowledged by each of the constituent entities in accordance with Section 264 of the Delaware General Corporation Law and Section 18-209 of the Delaware Limited Liability Company Act.

**THIRD:** Piper Jaffray & Co. is the surviving corporation in the Merger (the "Surviving Corporation"), and the name of the Surviving Corporation shall be changed to "Piper Sandler & Co."

**FOURTH:** The Certificate of Incorporation of the Company as in effect immediately prior to the Merger shall be the Certificate of Incorporation of the Surviving Entity except that references therein to "Piper Jaffray & Co." shall be replaced by references to "Piper Sandler & Co".

**FIFTH:** An executed copy of the Merger Agreement is on file at the office of the Surviving Corporation, located at 800 Nicollet Mall, Suite 1000, Minneapolis, Minnesota 55402.

**SIXTH:** An executed copy of the Merger Agreement will be furnished by the Surviving Corporation, on request and without cost, to any stockholder of the constituent corporation or any member of the constituent limited partnership.

**SEVENTH:** The Merger shall become effective at 11:55 p.m. on January 3, 2020.

*[Signature page follows]*

IN WITNESS WHEREOF, the Surviving Corporation has caused this Certificate of Merger to be executed by an authorized officer this 3rd day of January, 2020.

PIPER JAFFRAY & CO.

By:



Name: Chad Abraham

Title: Chairman and Chief Executive Officer

*[Signature Page to Certificate of Merger – Broker-Dealer Merger]*