

Form **990-PF****Return of Private Foundation**

OMB No 1545-0052

2016

Open to Public Inspection

Department of the Treasury
Internal Revenue Service

Do not enter social security numbers on this form as it may be made public.

Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

For calendar year 2016 or tax year beginning , 2016, and ending , 20

Name of foundation

PIPER JAFFRAY FOUNDATION

A Employer identification number

41-1734808

Number and street (or P O box number if mail is not delivered to street address)

Room/suite

B Telephone number (see instructions)

800 NICOLLET MALL, J09SFA

(612) 303-0447

City or town, state or province, country, and ZIP or foreign postal code

MINNEAPOLIS, MN 55402

G Check all that apply.

☐ Initial return☐ Initial return of a former public charity☐ Final return☐ Amended return☐ Address change☐ Name changeH Check type of organization: ☒ Section 501(c)(3) exempt private foundation☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundationFair market value of all assets at
end of year (from Part II, col (c), line
16) \$ 406,473.J Accounting method ☐ Cash ☒ Accrual
☐ Other (specify)
(Part I, column (d) must be on cash basis)C If exemption application is
pending, check here. ☐D 1 Foreign organizations, check here. ☐2 Foreign organizations meeting the
85% test, check here and attach
computation ☐E If private foundation status was terminated
under section 507(b)(1)(A), check here. ☐F If the foundation is in a 60-month termination
under section 507(b)(1)(B), check here. ☐**Part I Analysis of Revenue and Expenses** (The
total of amounts in columns (b), (c), and (d)
may not necessarily equal the amounts in
column (a) (see instructions))(a) Revenue and
expenses per
books(b) Net investment
income(c) Adjusted net
income(d) Disbursements
for charitable
purposes
(cash basis only)

1 Contributions, gifts, grants, etc., received (attach schedule)

1,182,771.

2 Check ☒ if the foundation is not required to
attach Sch. B.

3 Interest on savings and temporary cash investments.

4 Dividends and interest from securities

3,676.

3,676.

ATCH 1

5a Gross rents

b Net rental income or (loss)

6a Net gain or (loss) from sale of assets not on line 10

b Gross sales price for all
assets on line 6a

7 Capital gain net income (from Part IV, line 2)

0.

8 Net short-term capital gain

9 Income modifications

10a Gross sales less returns
and allowances

b Less Cost of goods sold

c Gross profit or (loss) (attach schedule)

11 Other income (attach schedule)

12 Total. Add lines 1 through 11

1,186,447.

3,676.

13 Compensation of officers, directors, trustees, etc.

0.

14 Other employee salaries and wages

15 Pension plans, employee benefits

16a Legal fees (attach schedule)

b Accounting fees (attach schedule)

c Other professional fees (attach schedule)

17 Interest

18 Taxes (attach schedule) (see instructions)

19 Depreciation (attach schedule) and depletion

20 Occupancy

21 Travel, conferences, and meetings

22 Printing and publications

23 Other expenses (attach schedule)

24 Total operating and administrative expenses

Add lines 13 through 23.

1,705,740.

25 Contributions, gifts, grants paid

1,705,740.

1,705,740.

26 Total expenses and disbursements Add lines 24 and 25

1,705,740.

1,705,740.

27 Subtract line 26 from line 12

a Excess of revenue over expenses and disbursements

-519,293.

b Net investment income (if negative, enter -0-)

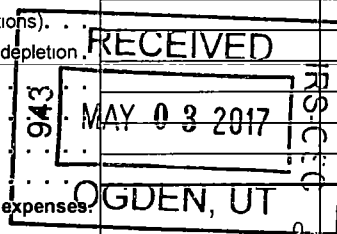
3,676.

c Adjusted net income (if negative, enter -0-)

SCANNED MAY 23 2017

Revenue

Operating and Administrative Expenses



21

Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash - non-interest-bearing			
	2	Savings and temporary cash investments	925,766.	406,473.	406,473.
	3	Accounts receivable ▶			
		Less allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments - U S and state government obligations (attach schedule)			
	b	Investments - corporate stock (attach schedule)			
	c	Investments - corporate bonds (attach schedule)			
	Liabilities	11	Investments - land, buildings, and equipment basis ▶		
		Less accumulated depreciation ▶ (attach schedule)			
12		Investments - mortgage loans			
13		Investments - other (attach schedule)			
14		Land, buildings, and equipment basis ▶			
		Less accumulated depreciation ▶ (attach schedule)			
15		Other assets (describe ▶)			
16		Total assets (to be completed by all filers - see the instructions Also, see page 1, item I)	925,766.	406,473.	406,473.
17		Accounts payable and accrued expenses			
18		Grants payable			
Net Assets or Fund Balances	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons			
	21	Mortgages and other notes payable (attach schedule)			
	22	Other liabilities (describe ▶)			
	23	Total liabilities (add lines 17 through 22)	0.	0.	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ ☒ and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted	925,766.	406,473.	
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ ☐ and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds			
	28	Paid-in or capital surplus, or land, bldg, and equipment fund			
	29	Retained earnings, accumulated income, endowment, or other funds			
	30	Total net assets or fund balances (see instructions)	925,766.	406,473.	
31	Total liabilities and net assets/fund balances (see instructions)	925,766.	406,473.		

Part III Analysis of Changes in Net Assets or Fund Balances

1	Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	925,766.
2	Enter amount from Part I, line 27a	2	-519,293.
3	Other increases not included in line 2 (itemize) ▶	3	
4	Add lines 1, 2, and 3	4	406,473.
5	Decreases not included in line 2 (itemize) ▶	5	
6	Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30	6	406,473.

Form 990-PF (2016)

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co.)			(b) How acquired P - Purchase D - Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1 a					
b					
c					
d					
e					
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)		
a					
b					
c					
d					
e					
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69					
(i) F M V as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	(l) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))		
a					
b					
c					
d					
e					
2 Capital gain net income or (net capital loss)	If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7		2		
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6) If gain, also enter in Part I, line 8, column (c) (see instructions) If (loss), enter -0- in Part I, line 8			3		

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period?

☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	1,385,151.	1,068,000.	1.296958
2014	914,943.	866,109.	1.056383
2013	826,053.	1,003,348.	0.823297
2012	368,170.	944,979.	0.389607
2011	935,228.	1,471,669.	0.635488
2 Total of line 1, column (d)			4.201733
3 Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years.			0.840347
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5			1,257,523.
5 Multiply line 4 by line 3.			1,056,756.
6 Enter 1% of net investment income (1% of Part I, line 27b).			37.
7 Add lines 5 and 6.			1,056,793.
8 Enter qualifying distributions from Part XII, line 4. If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions			1,705,740.

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948- see instructions)

1a Exempt operating foundations described in section 4940(d)(2), check here ☐ and enter "N/A" on line 1 Date of ruling or determination letter _____ (attach copy of letter if necessary - see instructions)		1	37.
b Domestic foundations that meet the section 4940(e) requirements in Part V, check here ☒ and enter 1% of Part I, line 27b			
c All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b)			
2 Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		2	
3 Add lines 1 and 2		3	37.
4 Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)		4	0.
5 Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-		5	37.
6 Credits/Payments			
a 2016 estimated tax payments and 2015 overpayment credited to 2016	6a	21.	
b Exempt foreign organizations - tax withheld at source	6b		
c Tax paid with application for extension of time to file (Form 8868)	6c		
d Backup withholding erroneously withheld	6d		
7 Total credits and payments. Add lines 6a through 6d	7	21.	
8 Enter any penalty for underpayment of estimated tax. Check here ☐ if Form 2220 is attached	8		
9 Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9	16.	
10 Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11 Enter the amount of line 10 to be Credited to 2017 estimated tax ☐ Refunded ☐	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		X
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities		X
c Did the foundation file Form 1120-POL for this year?		X
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation ☐ \$ _____ (2) On foundation managers ☐ \$ _____		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers ☐ \$ _____		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? If "Yes," attach a detailed description of the activities		X
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? If "Yes," attach a conformed copy of the changes		X
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		X
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? If "Yes," attach the statement required by General Instruction T		X
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	X	
7 Did the foundation have at least \$5,000 in assets at any time during the year? If "Yes," complete Part II, col. (c), and Part XV	X	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ☐ MN,		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by General Instruction G? If "No," attach explanation	X	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? If "Yes," complete Part XIV		X
10 Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses	X	

Part VII-A Statements Regarding Activities (continued)

	Yes	No
11 At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions).	11	X
12 Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)	12	X
13 Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► <u>WWW.PIPERJAFFRAY.COM</u>	13	X
14 The books are in care of ► <u>GREGORY MEYER</u> Telephone no ► <u>612-303-0477</u> Located at ► <u>800 NICOLLET MALL, J09SFA MINNEAPOLIS, MN</u> ZIP+4 ► <u>55402</u>		
15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041 - Check here ► ☐ and enter the amount of tax-exempt interest received or accrued during the year ► <u>15</u>		
16 At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country?	16	X
See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►		

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

	Yes	No
1a During the year did the foundation (either directly or indirectly)		
(1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No		
(2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No		
(3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No		
(4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No		
(5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No		
(6) Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days) ☐ Yes ☒ No		
b If any answer is "Yes" to 1a(1)-(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)?	1b	
Organizations relying on a current notice regarding disaster assistance check here ► ☐		
c Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?	1c	X
2 Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5))		
a At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? ☐ Yes ☒ No If "Yes," list the years ►		
b Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement - see instructions)	2b	X
c If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here ►		
3a Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No		
b If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969, (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest, or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016)	3b	
4a Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	X
b Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b	X

Form 990-PF (2016)

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)**5a** During the year did the foundation pay or incur any amount to(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? ☐ Yes ☒ No(2) Influence the outcome of any specific public election (see section 4955), or to carry on, directly or indirectly, any voter registration drive? ☐ Yes ☒ No(3) Provide a grant to an individual for travel, study, or other similar purposes? ☐ Yes ☒ No(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions). ☐ Yes ☒ No(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? ☐ Yes ☒ No**b** If any answer is "Yes" to 5a(1)-(5), did any of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? ☐ Yes ☒ NoOrganizations relying on a current notice regarding disaster assistance check here ☐**c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? ☐ Yes ☒ No

If "Yes," attach the statement required by Regulations section 53.4945-5(d)

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? ☐ Yes ☒ No**b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? ☐ Yes ☒ No

If "Yes" to 6b, file Form 8870

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? ☐ Yes ☒ No**b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? ☐ Yes ☒ No**Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors****1** List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
ATCH 2		0.	0.	0.

2 Compensation of five highest-paid employees (other than those included on line 1 - see instructions). If none, enter "NONE."

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				

Total number of other employees paid over \$50,000. ☐

Form 990-PF (2016)

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)**3 Five highest-paid independent contractors for professional services** (see instructions). If none, enter "NONE."

(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		0.
Total number of others receiving over \$50,000 for professional services		▶

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc.

Expenses

1 N/A

2

3

4

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2

Amount

1 NONE

2

All other program-related investments See instructions

3 NONE

Total. Add lines 1 through 3 ▶

Form 990-PF (2016)

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	
b	Average of monthly cash balances	1b	984,737.
c	Fair market value of all other assets (see instructions).	1c	291,936.
d	Total (add lines 1a, b, and c)	1d	1,276,673.
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	1,276,673.
4	Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions).	4	19,150.
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	1,257,523.
6	Minimum investment return. Enter 5% of line 5	6	62,876.

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ☐ and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	62,876.
2a	Tax on investment income for 2016 from Part VI, line 5	2a	37.
b	Income tax for 2016 (This does not include the tax from Part VI.)	2b	
c	Add lines 2a and 2b	2c	37.
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	62,839.
4	Recoveries of amounts treated as qualifying distributions	4	
5	Add lines 3 and 4	5	62,839.
6	Deduction from distributable amount (see instructions).	6	
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1.	7	62,839.

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26	1a	1,705,740.
b	Program-related investments - total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1,705,740.
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	37.
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1,705,703.

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				62,839.
2 Undistributed income, if any, as of the end of 2016				
a Enter amount for 2015 only.				
b Total for prior years 20 <u>14</u> , 20 <u>13</u> , 20 <u>12</u>				
3 Excess distributions carryover, if any, to 2016				
a From 2011	861,729.			
b From 2012	320,989.			
c From 2013	775,926.			
d From 2014	871,662.			
e From 2015	1,331,759.			
f Total of lines 3a through e	4,162,065.			
4 Qualifying distributions for 2016 from Part XII, line 4 ► \$ <u>1,705,740.</u>				
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required - see instructions).				
c Treated as distributions out of corpus (Election required - see instructions)				
d Applied to 2016 distributable amount.				62,839.
e Remaining amount distributed out of corpus.	1,642,901.			
5 Excess distributions carryover applied to 2016 . (If an amount appears in column (d), the same amount must be shown in column (a))				
6 Enter the net total of each column as indicated below:				
a Corpus Add lines 3f, 4c, and 4e Subtract line 5	5,804,966.			
b Prior years' undistributed income Subtract line 4b from line 2b.				
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed				
d Subtract line 6c from line 6b Taxable amount - see instructions				
e Undistributed income for 2015 Subtract line 4a from line 2a Taxable amount - see instructions				
f Undistributed income for 2016 Subtract lines 4d and 5 from line 1 This amount must be distributed in 2017.				
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required - see instructions)				
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	861,729.			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	4,943,237.			
10 Analysis of line 9				
a Excess from 2012	320,989.			
b Excess from 2013	775,926.			
c Excess from 2014	871,662.			
d Excess from 2015	1,331,759.			
e Excess from 2016	1,642,901.			

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)

NOT APPLICABLE

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling

b Check box to indicate whether the foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon					
a "Assets" alternative test - enter					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test - enter					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year - see instructions.)**1 Information Regarding Foundation Managers:**

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2).)

NONE

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest

NONE

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:

Check here ☐ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:

ATCH 3

b The form in which applications should be submitted and information and materials they should include:

ATCH 4

c Any submission deadlines

THE APPLICATION CYCLE IS JANUARY 1 THROUGH MARCH 15.

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors

ATCH 5

Part XV Supplementary Information (continued)**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
ATCH 6				
Total			3a	1,705,740.
b Approved for future payment				
Total			3b	

Part XVI-A Analysis of Income-Producing Activities

Enter gross amounts unless otherwise indicated

Enter gross amounts unless otherwise indicated		Unrelated business income		Excluded by section 512, 513, or 514		(e) Related or exempt function income (See instructions)
	(a) Business code	(b) Amount	(c) Exclusion code	(d) Amount		
1 Program service revenue						
a _____						
b _____						
c _____						
d _____						
e _____						
f _____						
g Fees and contracts from government agencies						
2 Membership dues and assessments						
3 Interest on savings and temporary cash investments .						
4 Dividends and interest from securities			14	3,676.		
5 Net rental income or (loss) from real estate						
a Debt-financed property						
b Not debt-financed property						
6 Net rental income or (loss) from personal property. .						
7 Other investment income						
8 Gain or (loss) from sales of assets other than inventory						
9 Net income or (loss) from special events . . .						
10 Gross profit or (loss) from sales of inventory. .						
11 Other revenue a _____						
b _____						
c _____						
d _____						
e _____						
12 Subtotal. Add columns (b), (d), and (e)				3,676.		
13 Total. Add line 12, columns (b), (d), and (e)						

(See worksheet in line 13 instructions to verify calculations)

Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

[illegible]

Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

1 Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations?		Yes	No
a Transfers from the reporting foundation to a noncharitable exempt organization of:			
(1) Cash	1a(1)		X
(2) Other assets	1a(2)		X
b Other transactions:			
(1) Sales of assets to a noncharitable exempt organization	1b(1)		X
(2) Purchases of assets from a noncharitable exempt organization	1b(2)		X
(3) Rental of facilities, equipment, or other assets	1b(3)		X
(4) Reimbursement arrangements	1b(4)		X
(5) Loans or loan guarantees	1b(5)		X
(6) Performance of services or membership or fundraising solicitations	1b(6)		X
c Sharing of facilities, equipment, mailing lists, other assets, or paid employees	1c		X
d If the answer to any of the above is "Yes," complete the following schedule. Column (b) should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column (d) the value of the goods, other assets, or services received			

[illegible]

2a Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

b If "Yes," complete the following schedule

(a) Name of organization	(b) Type of organization	(c) Description of relationship

**Sign
Here**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

Signature of officer or trustee

4/10/17
Date

▶ Treasurer

May the IRS discuss this return with the preparer shown below (see instructions)? ☒ Yes ☐ No

**Paid
Preparer
Use Only**

Print/Type preparer's name

MONROE J GIERL

Preparer's signature

[Handwritten signature]

Date	
------	--

04/03/2017

Check		
-------	--	--

7 self-employed

PTIN

P01413237

Firm's name	▶ KPMG LLP
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Firm's EIN ▶ 13-5565207

Firm's address ▶ 4200 WELLS FARGO CTR., 90 S. 7TH

MINNEAPOLIS, MN

55402

Phone no 612-305-5000

Form **990-PF** (2016)

ATTACHMENT 1

FORM 990PF, PART I - DIVIDENDS AND INTEREST FROM SECURITIES

DESCRIPTION

INTEREST INCOME
DIVIDENDS

REVENUE AND EXPENSES PER BOOKS	NET INVESTMENT INCOME
1,409.	1,409.
2,267.	2,267.
<u>3,676.</u>	<u>3,676.</u>
TOTAL	

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEESATTACHMENT 2

<u>NAME AND ADDRESS</u>	<u>TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION</u>	<u>COMPENSATION</u>	<u>CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS</u>	<u>EXPENSE ACCT AND OTHER ALLOWANCES</u>
-------------------------	---	---------------------	--	--

NAME AND ADDRESSTITLE AND AVERAGE HOURS PER
WEEK DEVOTED TO POSITIONCOMPENSATIONCONTRIBUTIONS
TO EMPLOYEE
BENEFIT PLANS
EXPENSE ACCT
AND OTHER
ALLOWANCESDEBRA L. SCHONEMAN
800 NICOLLET MALL,
MINNEAPOLIS, MN J09S02PRESIDENT/CFO/DIRECTOR
3.00TIMOTHY L. CARTER
800 NICOLLET MALL,
MINNEAPOLIS, MN J09STRTREASURER
2.15JAMES GRANT
800 NICOLLET MALL,
MINNEAPOLIS, MN J09S02SECRETARY
2.00GRETCHEN M. FREEMAN
800 NICOLLET MALL,
MINNEAPOLIS, MN J09STRASSISTANT TREASURER
2.15ANDREW S. DUFF
800 NICOLLET MALL,
MINNEAPOLIS, MN J09S02DIRECTOR
1.00CHRISTOPHER D. CRAWSHAW
800 NICOLLET MALL,
MINNEAPOLIS, MN J09S02DIRECTOR
1.00

FORM 990PF, PART VIII - LIST OF OFFICERS, DIRECTORS, AND TRUSTEES

ATTACHMENT 2 (CONT'D)

NAME AND ADDRESS	TITLE AND AVERAGE HOURS PER WEEK DEVOTED TO POSITION	COMPENSATION	CONTRIBUTIONS TO EMPLOYEE BENEFIT PLANS	EXPENSE ACCT AND OTHER ALLOWANCES
FRANK E. FAIRMAN 800 NICOLLET MALL, MINNEAPOLIS, MN J09S02	DIRECTOR 1.00			
MATTHEW S. HEMSLEY 800 NICOLLET MALL, MINNEAPOLIS, MN J09S02	DIRECTOR 1.00			
THOMAS P. SCHNETTLER 800 NICOLLET MALL, MINNEAPOLIS, MN J09S02	DIRECTOR 1.00			
GRAND TOTALS		0.	0.	0.

ATTACHMENT 3FORM 990PF, PART XV - NAME, ADDRESS AND PHONE FOR APPLICATIONS

PIPER JAFFRAY COMMUNITY RELATIONS
800 NICOLLET MALL, J12NMK
MINNEAPOLIS, MN 55402
612-303-8202

ATTACHMENT 4990PF, PART XV - FORM AND CONTENTS OF SUBMITTED APPLICATIONS

ALL REQUESTS FOR FUNDING SHOULD BEGIN WITH A COMPLETE PIPER JAFFRAY GRANT APPLICATION AVAILABLE AT PIPERJAFFRAY.COM. THE APPLICATION INCLUDES A COMPLETE LIST OF REQUIRED SUPPORTING MATERIALS.

ATTACHMENT 5990PF, PART XV - RESTRICTIONS OR LIMITATIONS ON AWARDS

PIPER JAFFRAY CORPORATION GIVING WILL NOT FUND:

1. ORGANIZATIONS THAT ARE NOT TAX-EXEMPT UNDER IRS CODE SECTION 501(C)(3) OR EQUIVALENT
2. ORGANIZATIONS THAT DO NOT SERVE COMMUNITIES WHERE PIPER JAFFRAY HAS A BUSINESS PRESENCE
3. INDIVIDUALS OR GROUPS SEEKING SUPPORT FOR PLANNING, PERSONAL NEEDS OR TRAVEL
4. PUBLIC SERVICE OR POLITICAL CAMPAIGNS
5. LOBBYING, POLITICAL OR FRATERNAL ACTIVITIES
6. ORGANIZATIONS RECEIVING PRIMARY FUNDING FROM UNITED WAY
7. ATHLETIC OR PAGEANT SCHOLARSHIPS
8. RELIGIOUS ACTIVITIES OR RELIGIOUS PURPOSES
9. PUBLICATIONS, AUDIO-VISUAL

PIPER JAFFRAY WILL CONSIDER REPEAT GRANTS FOR UP TO THREE CONSECUTIVE YEARS.

Piper Jaffray Foundation

EIN: 41-1734808

12/31/2016

Attachment to 990PF

Part XV – Grants and Contributions Paid During the Year

- 1) In each case, there is no relationship between the Foundation and the grantee
 - 2) In each case, each grantee is 501(c)(3) organization or a public school
 - 3) In each case, the purpose is to support the charitable or educational mission of the grantee
-

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

ALBANY JEWISH COMMUNITY CENTER

340 WHITEHALL ROAD

ALBANY, NY 12208

BOARD LEADER PROGRAM

4,000

ALSAC-ST JUDE CHILDREN'S RESEARCH HOSPITAL

1535 WEST LOOP S

HOUSTON, TX 77027

BOARD LEADER PROGRAM

4,000.

ANIMAL OUTREACH OF CAPE MAY COUNTY

600 PARK BOULEVARD

WEST CAPE MAY, NJ 8204

BOARD LEADER PROGRAM

4,000

ART INSTITUTE OF CHICAGO (THE)

111 S MICHIGAN AVENUE

CHICAGO, IL 60603

BOARD LEADER PROGRAM

2,000

BAGS OF SMILES

19959 GARY ST NW

ELK RIVER, MN 55330

BOARD LEADER PROGRAM

4,000.

BARBARA BUSH HOUSTON LITERACY FOUNDATION

7887 SAN FELIPE

SUITE 201A

HOUSTON, TX 77063

BOARD LEADER PROGRAM

4,000

86780J 7383

V 16-4F

1687953

ATTACHMENT 6

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990-PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

BESTPREP

7100 NORTHLAND CIRCLE NORTH
BROOKLYN PARK, MN 55428

BOARD LEADER PROGRAM

4,000.

BEYOND WALLS URBAN SQUASH TWIN CITIES

123 HARVARD ST SE
MINNEAPOLIS, MN 55455

BOARD LEADER PROGRAM

4,000

CAMP FIRE MINNESOTA

4829 MINNETONKA BOULEVARD
ST LOUIS PARK, MN 55416

BOARD LEADER PROGRAM

4,000

CANINE COMPANIONS FOR INDEPENDENCE

4989 STATE ROUTE 37 EAST
DELAWARE, OH 43015

BOARD LEADER PROGRAM

2,000

CATHOLIC CHARITIES

1200 SECOND AVENUE SOUTH
MINNEAPOLIS, MN 55403

BOARD LEADER PROGRAM

4,000

CHILD ABUSE PREVENTION CENTER

2390 E ORANGWOOD AVE
ORANGE, CA 92806

BOARD LEADER PROGRAM

4,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

CHILDREN'S THEATRE COMPANY
2400 THIRD AVENUE SOUTH
MINNEAPOLIS, MN 55404

BOARD LEADER PROGRAM

4,000

COLEMAN PROFESSIONAL SERVICES, INC
5982 RHODES RD
KENT, OH 44240

BOARD LEADER PROGRAM

2,000

COLLEGE POSSIBLE TWIN CITIES
540 FAIRVIEW AVE NORTH
ST PAUL, MN 55104

BOARD LEADER PROGRAM

4,000

COPLEY-FAIRLAWN SCHOOLS FOUNDATION
2480 COPLEY ROAD
COPLEY, OH 44321

BOARD LEADER PROGRAM

2,000

DEFEAT JESSE JAMES DAYS
P O BOX 23
NORTHFIELD, MN 55057

BOARD LEADER PROGRAM

4,000

DUNWOODY COLLEGE OF TECHNOLOGY
818 DUNWOODY BOULEVARD
MINNEAPOLIS, MN 55403

BOARD LEADER PROGRAM

4,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

EASTMAN MEMORIAL FOUNDATION - LAUREN ROGERS MUSEUM
LAUREN ROGERS MUSEUM OF ART, P.O BOX 1108
LAUREL, MS 39440

BOARD LEADER PROGRAM

4,000

ELIZABETH ANN SETON MONTESSORI SCHOOL
149 E THOMPSON AVENUE
WEST ST PAUL, MN 55118

BOARD LEADER PROGRAM

4,000.

EMBARCADERO YMCA
169 STEUART STREET
SAN FRANCISCO, CA 94105

BOARD LEADER PROGRAM

4,000

GILLETTE CHILDREN'S SPECIALTY HEALTHCARE
200 UNIVERSITY AVENUE EAST
ST PAUL, MN 55101

BOARD LEADER PROGRAM

4,000

GONZAGA UNIVERSITY
502 E BOONE AVENUE
SPOKANE, WA 31824

BOARD LEADER PROGRAM

4,000.

HEADWATERS FOUNDATION FOR JUSTICE
2801 21ST AVENUE S.
MINNEAPOLIS, MN 55407

BOARD LEADER PROGRAM

4,000

86780J 7383

V 16-4F

1687953

ATTACHMENT 6

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

HEDGE FUNDS CARE - HELP FOR CHILDREN
330 7TH AVENUE
NEW YORK, NY 10001

BOARD LEADER PROGRAM

4,000

HOPEKIDS
P O BOX 44712
EDEN PRAIRIE, MN 44712

BOARD LEADER PROGRAM

4,000

HSHS ST JOSEPH'S FOUNDATION
12866 TROXLER AVENUE
HIGHLAND, IL 62249

BOARD LEADER PROGRAM

4,000

ICA FOOD SHELF
12990 ST DAVIDS ROAD
MINNETONKA, MN 55305

BOARD LEADER PROGRAM

4,000

JAPAN AMERICA SOCIETY OF CHICAGO
ONE NORTH LASALLE ST
CHICAGO, IL 60602

BOARD LEADER PROGRAM

4,000.

JFK ELEMENTARY PARENT TEACHER ORGANIZATION
21240 HOLYOKE AVENUE WEST
LAKEVILLE, MN 55044

BOARD LEADER PROGRAM

4,000

86780J 7383

V 16-4F

1687953

ATTACHMENT 6

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

JOHN THEISSEN CHILDREN'S FOUNDATION
1881 WANTAGH AVENUE
WANTAGH, NY 11793

BOARD LEADER PROGRAM

4,000

KODY'S CLOSET
8125 35TH AVENUE NORTH
CRYSTAL, MN 55427

BOARD LEADER PROGRAM

4,000

LUPUS FOUNDATION OF AMERICA
2121 K STREET
WASHINGTON, DC 20037

BOARD LEADER PROGRAM

2,000

MARINUS ENSEMBLE
720 SOUTH 18TH ST
PHILADELPHIA, PA 19146

BOARD LEADER PROGRAM

4,000.

MENTOR IOWA
3900 INGERSOLL AVENUE
DES MOINES, IA 50312

BOARD LEADER PROGRAM

4,000

MINNEAPOLIS DOWNTOWN YMCA
30 SOUTH NINTH STREET
MINNEAPOLIS, MN 55402

BOARD LEADER PROGRAM

4,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

MINNEAPOLIS HEART INSTITUTE FOUNDATION
920 EAST 28TH STREET
MINNEAPOLIS, MN 55407

BOARD LEADER PROGRAM

4,000.

MINNESOTA CHILDREN'S MUSEUM
10 WEST SEVENTH STREET
ST PAUL, MN 55102

BOARD LEADER PROGRAM

4,000

MINNESOTA HISTORICAL SOCIETY
345 KELLOGG BOULEVARD W
ST PAUL, MN 55102

BOARD LEADER PROGRAM

4,000

MINNESOTA HUMANE SOCIETY
475 N CLEVELAND AVENUE
ST PAUL, MN 55104

BOARD LEADER PROGRAM

4,000

NEW YORK CARES
65 BROADWAY
NEW YORK, NY 10006

BOARD LEADER PROGRAM

4,000

NORTH SUBURBAN YMCA OF GREATER BOSTON
131 LEXINGTON STREET
WOBURN, MA 2420

BOARD LEADER PROGRAM

4,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

NORTHEAST IOWA COMMUNITY COLLEGE FOUNDATION

1625 HIGHWAY 150S

CALMAR, IA 52132

BOARD LEADER PROGRAM

4,000

NORTHWEST PILOT PROJECT, INC

1430 SW BROADWAY

PORTLAND, OR 97201

BOARD LEADER PROGRAM

4,000

ONEZONE

615 1ST AVENUE NE

MINNEAPOLIS, MN 55413

BOARD LEADER PROGRAM

4,000.

ORT AMERICA CLEVELAND

24100 CHAGRIN

BEACHWOOD, OH 44122

BOARD LEADER PROGRAM

4,000

OUTFRONT MINNESOTA

310 EAST 38TH STREET

MINNEAPOLIS, MN 55409

BOARD LEADER PROGRAM

4,000

PHI BETA KAPPA ALUMNI OF GREATER HOUSTON

PO BOX 25283

HOUSTON, TX 77265

BOARD LEADER PROGRAM

4,000.

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

FOUNDATION STATUS OF RECIPIENT

PRODEO ACADEMY
1555 40TH AVENUE NE
MINNEAPOLIS, MN 55421

BOARD LEADER PROGRAM

4,000

RAW ART WORKS
37 CENTRAL SQUARE
LYNN, MA 1901

BOARD LEADER PROGRAM

4,000.

RIGHT MOVES FOR YOUTH
2211 W MOREHEAD
CHARLOTTE, NC 28208

BOARD LEADER PROGRAM

4,000.

RONALD McDONALD HOUSE OF WESTERN WA AND AK
5130 40TH AVENUE NE
SEATTLE, WA 98105

BOARD LEADER PROGRAM

4,000

ROSSMAN SCHOOL
12660 CONWAY ROAD
ST LOUIS, MO 63141

BOARD LEADER PROGRAM

4,000

SAINT JOHN'S UNIVERSITY
LUKE HALL 103 2850 ABBEY PLAZA
COLLEGEVILLE, MN 56321

BOARD LEADER PROGRAM

4,000

86780J 7383

V 16-4F

1687953

ATTACHMENT 6

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

SAINT JOHN'S UNIVERSITY
LUKE HALL 103 2850 ABBEY PLAZA
COLLEGEVILLE, MN 56321

BOARD LEADER PROGRAM

4,000

SAINT JOSEPHS COLLEGE
1498 S COLLEGE AVENUE
RENSSELAER, IN 47978

BOARD LEADER PROGRAM

4,000

SAINT PAUL CHAMBER ORCHESTRA
408 ST PETER STREET
ST PAUL, MN 55102

BOARD LEADER PROGRAM

4,000

SCIENCE MUSEUM OF MINNESOTA
120 WEST KELLOGG BOULEVARD
ST. PAUL, MN 55102

BOARD LEADER PROGRAM

4,000

SPRINGSPIRIT BASEBALL
8526 PITNER ROAD
HOUSTON, TX 77080

BOARD LEADER PROGRAM

4,000

SPRINGSPIRIT BASEBALL
8526 PITNER ROAD
HOUSTON, TX 77080

BOARD LEADER PROGRAM

4,000

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

RECIPIENT NAME AND ADDRESS

ST GEORGES INDEPENDENT SCHOOLS FOUNDATION

1880 WOLF RIVER BOULEVARD

COLLIERVILLE, TN 38017

ST PATRICK CENTER

800 N TUCKER BOULEVARD

ST LOUIS, MO 63101

STUDENTS CONNECTING THROUGH INTERNATIONAL SERVICE

17092 80TH PL N

MAPLE GROVE, MN 55311

THE MIRACLE LEAGUE OF JOLIET

PO BOX 3617

JOLIET, IL 60435

THE NATURE CONSERVANCY OF MINNESOTA

1101 WEST RIVER PARKWAY

MINNEAPOLIS, MN 55415

THE PLAYWRIGHTS' CENTER

2301 EAST FRANKLIN AVENUE

MINNEAPOLIS, MN 55406

BOARD LEADER PROGRAM

4,000

BOARD LEADER PROGRAM

4,000

BOARD LEADER PROGRAM

4,000

BOARD LEADER PROGRAM

4,000

BOARD LEADER PROGRAM

4,000

BOARD LEADER PROGRAM

4,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

THE POSSE FOUNDATION
1001 MCKINNEY, SUITE 950
HOUSTON, TX 60603

BOARD LEADER PROGRAM 4,000

THE UNIVERSITY OF TEXAS FOUNDATION
P O BOX 250
AUSTIN, TX 78711

BOARD LEADER PROGRAM 4,000

TOM KARLIN FOUNDATION
17707 W 83 TERRACE
LENEXA, KS 66219

BOARD LEADER PROGRAM 4,000

TRUE FRIENDS
10509 108TH ST NW
ANNANDALE, MN 55302

BOARD LEADER PROGRAM 2,000

TULSA UNIVERSITY COLLINS COLLEGE OF BUSINESS
800 S. TUCKER DRIVE
TULSA, OK 74114

BOARD LEADER PROGRAM 2,000

TWIN CITIES PUBLIC TELEVISION
172 EAST 4TH STREET
ST PAUL, MN 55101

BOARD LEADER PROGRAM 4,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

RECIPIENT NAME AND ADDRESS

UNIVERSITY OF CHICAGO
5235 SOUTH HARPER COURT
CHICAGO, IL 60615

4,000

BOARD LEADER PROGRAM

UNIVERSITY OF MINNESOTA ALUMNI ASSOCIATION

200 OAK STREET
MINNEAPOLIS, MN 55455

BOARD LEADER PROGRAM

2,000.

WALKER ART CENTER
725 VINELAND PLACE
MINNEAPOLIS, MN 55403

BOARD LEADER PROGRAM

4,000

WATERCOURSE COUNSELING CENTER
3548 BRYANT AVENUE S
MINNEAPOLIS, MN 55408

BOARD LEADER PROGRAM

4,000.

YOUTHCARE
2701 UNIVERSITY AVE SE
MINNEAPOLIS, MN 55414

BOARD LEADER PROGRAM

1,500

YOUTHCARE
2701 UNIVERSITY AVE SE
MINNEAPOLIS, MN 55414

BOARD LEADER PROGRAM

2,500

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEARATTACHMENT 6 (CONT'D)RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENTRECIPIENT NAME AND ADDRESSPURPOSE OF GRANT OR CONTRIBUTIONAMOUNTAMERICAN RED CROSS TWIN CITIES AREA CHAPTER
1201 WEST RIVER PARKWAY
MINNEAPOLIS, MN 55454

REGIONAL GIVING

7,500

ARIZONA COUNCIL ON ECONOMIC EDUCATION
3260 N HAYDEN RD
SCOTTSDALE, AZ 85251

REGIONAL GIVING

13,000.

ART INSTITUTE OF CHICAGO (THE)
111 S MICHIGAN AVENUE
CHICAGO, IL 60603

REGIONAL GIVING

13,000.

EMBARCADERO YMCA
169 STEUART STREET
SAN FRANCISCO, CA 94105

REGIONAL GIVING

10,000

FIRST TEE OF GREATER CHICAGO (THE)
2901 W LAKE AVENUE, SUITE A
GLENVIEW, IL 60026

REGIONAL GIVING

5,000

RIGHT MOVES FOR YOUTH
2211 WEST MOREHEAD STREET
CHARLOTTE, NC 28208

REGIONAL GIVING

11,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

ST PATRICK CENTER
800 NORTH TUCKER BOULEVARD
ST LOUIS, MO 63101

REGIONAL GIVING

13,000.

ACHIEVEMPLS
111 THIRD AVENUE SOUTH
MINNEAPOLIS, MN 55401

HEADQUARTER GIVING

11,000.

BESTPREP
7100 NORTHLAND CIRCLE NORTH
BROOKLYN PARK, MN 55428

HEADQUARTER GIVING

17,000

CATHOLIC CHARITIES
1200 SECOND AVENUE SOUTH
MINNEAPOLIS, MN 55403

HEADQUARTER GIVING

100,000.

CES MEALS ON WHEELS
1900 11TH AVENUE SOUTH
MINNEAPOLIS, MN 55404

HEADQUARTER GIVING

10,000

CHILDREN'S HOSPITALS & CLINICS FOUNDATION
2525 CHICAGO AVENUE SOUTH
ROSEVILLE, MN 55404

HEADQUARTER GIVING

13,000

86780J 7383

V 16-4F

1687953

ATTACHMENT 6

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

FOUNDATION STATUS OF RECIPIENT

COLLEGE POSSIBLE TWIN CITIES
540 FAIRVIEW AVENUE NORTH
ST PAUL, MN 55104

HEADQUARTER GIVING

15,000

CORNERSTONE ADVOCACY SERVICE
1000 EAST 80TH STREET
BLOOMINGTON, MN 55420

HEADQUARTER GIVING

7,500

DOING GOOD TOGETHER
5141 16TH AVE SOUTH
MINNEAPOLIS, MN 55417

HEADQUARTER GIVING

3,493.

GREAT RIVER GREENING
35 WEST WATER STREET
ST PAUL, MN 55417

HEADQUARTER GIVING

10,000

GREEN MINNEAPOLIS
81 SOUTH 9TH STREET
MINNEAPOLIS, MN 55402

HEADQUARTER GIVING

100,000

GUTHRIE THEATER
818 SOUTH SECOND STREET
MINNEAPOLIS, MN 55415

HEADQUARTER GIVING

16,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

HIGHPOINT CENTER FOR PRINTMAKING

912 W LAKE STREET

MINNEAPOLIS, MN 55408

HEADQUARTER GIVING

2,500

ICA FOOD SHELF

12990 ST DAVID'S ROAD

MINNETONKA, MN 55305

HEADQUARTER GIVING

5,000

MAP FOR NONPROFITS

2314 UNIVERSITY AVE W

ST PAUL, MN 55114

HEADQUARTER GIVING

9,000

METROPOLITAN ECONOMIC DEVELOPMENT ASSOCIATION

250 SECOND AVENUE SOUTH

MINNEAPOLIS, MN 55401

HEADQUARTER GIVING

11,000

MINNEAPOLIS HEART INSTITUTE FOUNDATION

920 EAST 28TH STREET

MINNEAPOLIS, MN 55407

HEADQUARTER GIVING

21,000

MINNESOTA CHILDREN'S MUSEUM

10 WEST SEVENTH STREET

ST PAUL, MN 55118

HEADQUARTER GIVING

10,000

86780J 7383

V 16-4F

1687953

ATTACHMENT 6

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990EF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

MINNESOTA HISTORICAL SOCIETY
345 WEST KELLOGG BOULEVARD
ST PAUL, MN 55102

HEADQUARTER GIVING

17,000

PRODEO ACADEMY
1101 WEST RIVER PARKWAY
MINNEAPOLIS, MN 55415

HEADQUARTER GIVING

13,000

SAINT PAUL CHAMBER ORCHESTRA
408 SAINT PETER STREET
ST PAUL, MN 55102

HEADQUARTER GIVING

15,000

SCIENCE MUSEUM OF MINNESOTA
120 WEST KELLOGG BLVD
ST PAUL, MN 55102

HEADQUARTER GIVING

17,000

THE LEAD PROJECT
5640 ELLIOT AVE
MINNEAPOLIS, MN 55417

HEADQUARTER GIVING

10,000

THE NATURE CONSERVANCY OF MINNESOTA
1101 WEST RIVER PARKWAY
MINNEAPOLIS, MN 55415

HEADQUARTER GIVING

15,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

TWIN CITIES PUBLIC TELEVISION
172 E 4TH STREET
ST PAUL, MN 55101

HEADQUARTER GIVING

15,000

WALLIN EDUCATION PARTNERS
5200 WILLSON ROAD, SUITE 209
MINNEAPOLIS, MN 55424

HEADQUARTER GIVING

16,500

AMERICAN DIABETES ASSOCIATION
8000 WEST 78TH STREET
EDINA, MN 55439

VOLUNTEER PROGRAM

1,000

CHARTWELL FOUNDATION
1 CHARTWELL DRIVE
SEVERNA PARK, MD 21146

VOLUNTEER PROGRAM

1,000

CORNERSTONE ADVOCACY SERVICE
1000 EAST 80TH STREET
BLOOMINGTON, MN 55420

VOLUNTEER PROGRAM

1,000

FIVE HAWKS ELEMENTARY SCHOOL PTC
16620 FIVE HAWKS AVE
PRIOR LAKE, MN 55372

VOLUNTEER PROGRAM

1,000

PIPER JAFFRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

GATEWAY GREENING

2211 WASHINGTON AVE

ST. LOUIS, MO 63103

1,000

VOLUNTEER PROGRAM

LITTLE BROTHERS-FRIENDS OF THE ELDERLY

1845 E LAKE STREET

MINNEAPOLIS, MN 55407

1,000

VOLUNTEER PROGRAM

MOUNT OLIVET ROLLING ACRES

18986 LAKE DRIVE EAST

CHANHASSEN, MN 55317

1,000

VOLUNTEER PROGRAM

PHILADELPHIA FUTURES

230 S BROAD STREET

PHILADELPHIA, PA 19107

1,000

VOLUNTEER PROGRAM

WELSTORES OF MINNESOTA

310 BRIGHTON AVE SOUTH

BUFFALO, MN 55313

1,000

VOLUNTEER PROGRAM

TRUIST - 2015 Q4 CORPORATE MATCH

CORPORATE MATCH

12,378

86780J 7383

V 16-4F

1687953

ATTACHMENT 6

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

TRUIST - Q1 2016 CORPORATE MATCHES

205,347.

TRUIST - Q2 2016 CORPORATE MATCHES

56,743

TRUIST - Q3 2016 CORPORATE MATCHES

53,244

TRUIST - Q4 2016 CORPORATE MATCHES

364,560

RYDER CUP MERCHANDISE SALE LESS CASH

-2,712.

COMMUNITY PARTNERSHIP LESS CASH

-3,189.

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

AMMADO - INTERNATIONAL CORPORATE MATCH 2016

ALZHEIMER SCOTLAND
22 DRUMSHEUGH GARDENS
EDINBURGH
UNITED KINGDOM EH3 7RN

2,295

200

AMERICAN CANCER SOCIETY, INC
250 WILLIAMS STREET NW
ATLANTA, GA 30303

CORPORATE MATCH

200.

BY THE HAND CLUB FOR KIDS
PO BOX 10043
CHICAGO, IL 60611

CORPORATE MATCH

4,000

EARTHSHARE
7735 OLD GEORGETOWN ROAD
BETHESDA, MD 20814

CORPORATE MATCH

1,787

GIVEDIRECTLY, INC.
CHURCH STREET STATION
NEW YORK, NY 10008

CORPORATE MATCH

200

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

GOOD IN THE HOOD

2101 CHICAGO AVE S

MINNEAPOLIS, MN 55404

CORPORATE MATCH

200.

GREATER TWIN CITIES UNITED WAY

404 S 8TH STREET

MINNEAPOLIS, MN 55404

CORPORATE MATCH

1,787

HEIFER INTERNATIONAL

1 WORLD AVENUE

LITTLE ROCK, AR 72202

CORPORATE MATCH

480

HOPEKIDS, INC

PO BOX 28471

SCOTTSDALE, AZ 85255

CORPORATE MATCH

200.

IOTA STATE EDUCATION FOUNDATION

22 SIXTY WEST DRIVE

LEXINGTON, VA 24450

CORPORATE MATCH

200

LONE STAR VETERANS ASSOCIATION

2929 MCKINNEY STREET

HOUSTON, TX 77003

CORPORATE MATCH

200

41-1734808

2016 FORM 990-PF

PIPER JAFFRAY FOUNDATION

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

LUTHERAN SERVICES
100 MARYLAND AVENUE NE
WASHINGTON, DC 20002

200.

MINNESOTA ENVIRONMENTAL FUND
450 SYNDICATE AVENUE NORTH
ST PAUL, MN 55104

1,787

MURAL MUSIC AND ARTS PROJECT
405 HOWARD STREET
SAN FRANCISCO, CA 94105

2,000.

NORTH AMERICAN FOUNDATION FOR THE U OF MA
48 SUMMER ST SUITE 2
WATERTOWN, MA 02472

125

RONALD MCDONALD HOUSE CHARITIES
ONE KROC DRIVE
OAK BROOK, IL 60523

200.

SIERRA CLUB
2101 WEBSTER STREET
OAKLAND, CA 94612

200

41-1734808

2016 FORM 990-PF

PIPER JAFFRAY FOUNDATION

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

SURFRIDER FOUNDATION 942 CALLE NEGOCIO SAN CLEMENTE, CA 92678	CORPORATE MATCH	200
UNICEF 125 MAIDEN LANE NEW YORK, NY 10038	CORPORATE MATCH	200
UNITED WAY OF GREATER HOUSTON PO BOX 3247 HOUSTON, TX 77040	CORPORATE MATCH	200
UNITED WAY WORLDWIDE 701 NORTH FAIRFAX ST ALEXANDRIA, VA 22314	CORPORATE MATCH	200
UNITED WAY WORLDWIDE 701 NORTH FAIRFAX ST. ALEXANDRIA, VA 22314	CORPORATE MATCH	12,044
UNIVERSITY OF CHICAGO 5235 S HARPER COURT CHICAGO, IL 60615	CORPORATE MATCH	200

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

RECIPIENT NAME AND ADDRESS

400.

CORPORATE MATCH

UNIVERSITY OF TEXAS - MD ANDERSON CANCER CENTER
PO BOX 4486
HOUSTON, TX 76019

4,000

CORPORATE MATCH

UNIVERSITY OF TEXAS - MD ANDERSON CANCER CENTER
PO BOX 4486
HOUSTON, TX 76019

3,500

501 (C) (3)

GOWANUS CANAL CONSERVANCY

543 UNION ST
BROOKLYN, NY 11215

2,000

501 (C) (3)

STUDENT ACCOUNTING & FINANCE ASSOCIATION
1925 4TH STREET SOUTH
MINNEAPOLIS, MN 55455

1,400.

501 (C) (3)

AMERICAN RED CROSS NATIONAL HEADQUARTERS
431 18TH STREET NW
WASHINGTON, DC 20006

10,000

501 (C) (3)

GILLETTE CHILDREN'S SPECIALTY HEALTHCARE
431 18TH STREET NW
WASHINGTON, DC 20006

41-1734808

2016 FORM 990-PF

PIPER JAFFRAY FOUNDATION

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

MINNESOTA COUNCIL ON FOUNDATIONS
800 WASHINGTON AVENUE
MINNEAPOLIS, MN 55401

501(C)(3)

4,450

Q4 2015 GIFT MATCHING

GIFT MATCHING

9,898.

Q1 2016 GIFT MATCHING

GIFT MATCHING

19,621

Q2 2016 GIFT MATCHING

GIFT MATCHING

28,421

Q3 2016 GIFT MATCHING

GIFT MATCHING

8,195.

2016 GIVING CAMPAIGN MATCH

GIFT MATCHING

35,146

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR
AND
FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

PURPOSE OF GRANT OR CONTRIBUTION

AMOUNT

CHESTERTON ACADEMY

5300 FRANCE AVENUE SOUTH

EDINA, MN 55410

GIFT MATCHING

400.

MINNEAPOLIS HEART INSITUTE

920 EAST 28TH STREET

MINNEAPOLIS, MN 55407

GIFT MATCHING

215

PHILADELPHIA FUTURES

230 S BROAD STREET

PHILADELPHIA, PA 19102

GIFT MATCHING

300.

MINNEAPOLIS HEART INSITUTE

920 EAST 28TH STREET

MINNEAPOLIS, MN 55407

GIFT MATCHING

2,000

LEUKEMIA AND LYMPHOMA SOCIETY

61 BROADWAY, SUITE 400

NEW YORK, NY 10005

GIFT MATCHING

900

AMERICAN RED CROSS

431 18TH STREET NW

WASHINGTON, DC 20006

GIFT MATCHING

725

PIPER JAFTRAY FOUNDATION

2016 FORM 990-PF

41-1734808

FORM 990PF, PART XV - GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

ATTACHMENT 6 (CONT'D)

RELATIONSHIP TO SUBSTANTIAL CONTRIBUTOR

AND

FOUNDATION STATUS OF RECIPIENT

RECIPIENT NAME AND ADDRESS

SAMARITAN STRATEGY
SUITE 09, PUBLIC LIBRARY, IND WAY
NDOLA
ZAMBIA

PURPOSE OF GRANT OR CONTRIBUTION

GIFT MATCHING

AMOUNT

5,000

TOTAL CONTRIBUTIONS PAID

1,205,240

GRANT APPLICATION

Piper Jaffray
Community Relations
800 Nicollet Mall, Suite 1000
M/S: J12NMK
Minneapolis, MN 55402

INSTRUCTIONS

Please read this document carefully and review the Piper Jaffray grant guidelines before completing this application. You may reproduce this form on your computer, or type or print legibly the requested information. Please keep your answers as brief as possible. This application is also available at piperjaffray.com. ALL grant applicants must complete each section include the required attachments, and sign and date the application.

SECTION I

ORGANIZATION INFORMATION

Name of Organization				
Address		City	State	Zip
Phone	Fax	Organizational Web Site	Federal Tax Identification Number	
Executive Director		Phone	Fax	E-mail
Primary Contact, if other than Executive Director		Phone	Fax	E-mail
Please provide a brief overview of the organization				
Purpose of grant (may include additional attachment to outline goals, objectives and timeframe)				
Please provide a description of the program				

GRANT REQUEST INFORMATION

Amount Requested \$	Area of Focus ☐ Community ☐ Economic Education ☐ Arts/culture	
Date of Application	Type of Request (Check One) ☐ General Operating ☐ Program/Project	
Has the organization received a grant from Piper Jaffray in the last three years? ☐ No ☐ Yes if yes, please list date(s) and amount(s) for prior year(s)		
Please list any Piper Jaffray employees involved in your organization and their roles		
Please specify geographic area(s) served		
Does this organization receive support from United Way? ☐ No ☐ Yes If yes, what percent of budget? _____ %		

SECTION II

FINANCIAL INFORMATION

Organization's annual operating budget \$ _____		
Organization's current year expenses	Is this higher or lower than previous year's expenses? ☐ Higher ☐ Lower	Higher or lower by what percent? _____ %
Organization's Fiscal Year _____		
During the current fiscal year, what dollar amount or percent of the total expense budget is for administrative/overhead and fundraising expenses? \$ _____ or _____ %		
Has the organization experienced an operating deficit (i.e., expenses exceeded revenue) in the last two years? ☐ No ☐ Yes		If yes, what was the year/amount of the deficit? Year/\$ _____ Year/\$ _____
Please explain the deficit(s) above and the plans for reducing or eliminating it 		

PROGRAM OR PROJECT INFORMATION

What are the timelines for the project and for fundraising?
What is the budget for the program/project? \$ _____
How does this effort address a community need? Please describe the community and clients that will benefit
Please explain how you have measured or will measure the success of the program/project

SECTION III

ATTACHMENTS REQUIRED FOR ALL GRANT APPLICANTS

Please enclose one copy of each of the following items ☐ 1 Cover letter ☐ 2 A copy of your current IRS determination letter indicating tax exempt 501(c)(3) status ☐ 3 Board of Directors list, including names, phone number and affiliations ☐ 4 Annual report, if available, or other material summarizing organizational activities and outcomes achieved ☐ 5 Current year itemized operating revenue and expense budget for the organization ☐ 6 Most recent audited financial statements or IRS Form 990 ☐ 7 A list of major corporate and foundation donors for the past two years ☐ 8 A one-page summary of the organization's three major core programs or activities ☐ 9 Budget of program, project, or capital campaign, if applicable

AUTHORIZATION

The undersigned certifies that they are authorized to represent the organization applying for a grant and that the information contained in this application is accurate. The undersigned agrees that if a grant is awarded to the organization (1) the grant will be used for the purpose outlined in the grant award letter and may not be expended for any other purpose without prior written approval from Piper Jaffray, (2) Piper Jaffray has received nothing of material value in exchange for the grant, and (3) information about the organization and the grant may be used by Piper Jaffray in any published materials.	
Signature of Executive Director or Board Chair X _____	Date _____

Piper Jaffray Corporate Giving and Community Support Funding Guidelines

Mission

Piper Jaffray funds community charitable organizations that Piper Jaffray and its employees select and designate, which are typically located where our employees live and work. We encourage our employees to engage in community service and Piper Jaffray provides financial support for employees' volunteerism and contributions to community charitable organizations.

Focus

Community Investment and Sustainability: We believe that there are multiple systems that make up and enhance the quality of life in a sustainable vibrant healthy community.

- We are dedicated to the idea that community investment & education build strong economies.
- As one of our key businesses, we support certain nonprofit health research initiatives.
- We believe arts and culture are crucial for vibrant community life.

Funding Guidelines

Impact Areas:

- Programs will have special emphasis on future generations and/or those at-risk.
 - Programs must be innovative, collaborative and implemented through organizations that support a significant component of the local population in our key markets of business and employee presence.
1. Organizations and programs that support community sustainability through community investment.
Specifically, community investment in neighborhood-based, small business programs in low-income areas that promote sustainable employment and replicable success.
 2. Education initiatives that directly support the economic health of individuals and communities through the following:
 - a) Science, math, engineering or technology (STEM) programs for diverse student groups.
 - b) Economic education emphasizing economics and emerging industries [excludes "personal finance" and "money management" education].
 - c) Access-to-higher education programs for disadvantaged youth.
 3. Major arts and cultural organizations that enhance the quality of life in the community.
Specifically, we choose to support arts and cultural organizations through sponsorship. Please see sponsorship funding guidelines for more details.

Other Priorities:

- We are committed to our communities' health and environmental sustainability and as such, provide support for a) innovative programs to develop and track new advances in children's chronic health concerns and b) umbrella programs which support innovation and entrepreneurship to leverage environmental opportunities. *Note: We do not accept unsolicited requests in these areas.*
- An engaged citizenry is a productive one. Specifically, we fund initiatives that encourage civic engagement of young people.

We will not consider:

- Capital campaign funding
- Organizations that are not tax-exempt under Internal Revenue Code section 501(c)(3) or the equivalent
- Organizations that do not serve communities where Piper Jaffray has a business presence
- Individuals or groups seeking support for planning, personal needs or travel
- Public service or political campaigns
- Lobbying, political or fraternal activities
- Organizations receiving primary funding from United Way
- Athletic or pageant scholarships
- Religious activities or religious purposes
- Publications, audio-visual

Grant Application Procedures and Requirements

The application cycle is by **invitation only**. Grant decisions and funding will occur at the end of October.

Piper Jaffray will provide support for a limited number of programs or projects that serve our communities and fall within our guidelines. Priority will be given to organizations that meet our guidelines and involve our employees.