

PIPER SANDLER & CO. SEC RULE 605 AND 606 REPORTING

In accordance with U.S. Securities and Exchange Commission (SEC) Rules 605 and 606, Piper Sandler & Co. (the Firm) is publishing statistical information about our routing practices for held orders in U.S. exchange-listed equity securities, and options orders. The Firm handles all client equity and option order flow on a not held basis. Per SEC Rules 605 and 606, we are not required to report equity orders executed on a not-held basis, but the Firm is required to report options handled as held or not-held.

For clients wanting more detailed reports specified in SEC Rule 606 on the routing of their orders sent to the Firm for options or equities, please contact your account representative. See below for Piper Sandler's most recent quarterly options report for SEC Rule 606a, along with downloads in PDF and XML formats for the most recent quarter and prior quarters, beginning with the 1st quarter of 2020.

Quarter	Report	XML
Q4 2021	606a1 Held Order Public Report	Download ZIP
Q3 2021	606a1 Held Order Public Report	Download ZIP
Q2 2021	606a1 Held Order Public Report	Download ZIP
Q1 2021	606a1 Held Order Public Report	Download ZIP
Q4 2020	606a1 Held Order Public Report	Download ZIP
Q3 2020	606a1 Held Order Public Report	Download ZIP
Q2 2020	606a1 Held Order Public Report	Download ZIP
Q1 2020	606a1 Held Order Public Report	Download ZIP