

1.) CORPORATION NAME:

**Sterne Agee Asset Management, Inc.**

DUE DATE: **5/31/2014**

2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS:

**NATIONAL REGISTERED AGENTS INC  
4701 COX ROAD, SUITE 285  
GLEN ALLEN, VA**

SCC ID NO: **F1896879**

5.) STOCK INFORMATION

CLASS	AUTHORIZED
COMMON	2,500
PREFER	500

3.) CITY OR COUNTY OF VA REGISTERED OFFICE:

**HENRICO COUNTY**

4.) STATE OR COUNTRY OF INCORPORATION:

**DE**

6.) PRINCIPAL OFFICE ADDRESS:

ADDRESS: 800 SHADES CREEK PKWY  
STE 700

CITY/ST/ZIP: BIRMINGHAM, AL 35209

7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

NAME:	WALTER A RUCH III	<input checked="" type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	CHAIR/P/CEO		
ADDRESS:	800 SHADES CREEK PKWY		
CITY/ST/ZIP/CO:	BIRMINGHAM, AL 35209		

NAME:	JOHN F CALVANO	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	CCO/SR VP		
ADDRESS:	800 SHADES CREEK PKWY		
CITY/ST/ZIP/CO:	BIRMINGHAM, AL 35209		

NAME:	JON B SANDERSON	<input checked="" type="checkbox"/> OFFICER	<input type="checkbox"/> DIRECTOR
TITLE:	S/T/CFO		
ADDRESS:	800 SHADES CREEK PKWY		
CITY/ST/ZIP/CO:	BIRMINGHAM, AL 35209		

NAME:	JAY W CARTER	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	800 SHADES CREEK PKWY		
CITY/ST/ZIP/CO:	BIRMINGHAM, AL 35209		

NAME:	JAMES F DIXON	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	800 SHADES CREEK PKWY		
CITY/ST/ZIP/CO:	BIRMINGHAM, AL 35209		

NAME:	JOHN V. RUCKER	<input type="checkbox"/> OFFICER	<input checked="" type="checkbox"/> DIRECTOR
TITLE:	DIRECTOR		
ADDRESS:	800 SHADES CREEKPKWY		
CITY/ST/ZIP/CO:	BIRMINGHAM, AL 35209		

I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

/s/ JOHN F CALVANO	JOHN F CALVANO, CCO/SR VP	5/7/2014
SIGNATURE OF DIRECTOR/OFFICER LISTED IN THIS REPORT	PRINTED NAME AND CORPORATE TITLE	DATE
It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.		