

Piper Sandler MENA LTD

Firm Details

Firm Name	Piper Sandler MENA LTD
FSP Number	210046
FSP Date	14 March 2022
Firm Type	Financial Firms
Address	United Arab Emirates, Abu Dhabi, Maryah Island, Unit 1, 6th Floor, Al Sarab Tower, Abu Dhabi Global Market Square
Legal Status	Private Company Limited By Shares
Status	Active

Regulated Activities

Type	Asset Type	Effective Date	Withdrawn Date
Arranging Deals in Investments	Shares, Units in a Collective Investment Fund, Rights to or interests in Investments	14 Mar 2022	
Managing a Collective Investment Fund	Units in a Collective Investment Fund	14 Mar 2022	03 Jun 2024
Advising on Investments or Credit	Shares, Instruments giving entitlements to investments, Certificates representing certain Financial Instruments, Units in a Collective Investment Fund, Rights to or interests in Investments,	14 Mar 2022	

	Structured Products		
--	---------------------	--	--

Conditions / Limitations

In accordance with section 30(4)(a) of FSMR, the following limitations and stipulations apply to all Regulated Activities, unless specified otherwise:

- Piper Sandler MENA LTD is not permitted to hold or control Client Assets
- Piper Sandler MENA LTD is not permitted to deal with Retail Clients, as defined in the Conduct of Business Rulebook (COBS)

Approved Persons

Name	Person Reference Number	Role	Status	Effective Start Date	Withdrawn date
Eric Paul Wilson	00881	Licensed Director and SEO	Withdrawn	14 Mar 2022	10 May 2025
Eric Paul Wilson	00881	Senior Executive Officer(SEO)	Withdrawn	14 Mar 2022	10 May 2025
Eric Paul Wilson	00881	Licensed Director	Withdrawn	14 Mar 2022	10 Feb 2026
Philip Boigner	00880	Licensed Director and SEO	Withdrawn	14 Mar 2022	01 Jan 2023
Chad Matthew Garrett	01344	Licensed Director	Withdrawn	11 May 2023	07 Jul 2025
Monica Raj Kumar	01482	Compliance Officer and MLRO	Withdrawn	16 Nov 2023	06 Dec 2024

Ehtisham Ahmed	02058	Senior Manager	Withdrawn	03 Jun 2024	10 Jul 2024
Ehtisham Ahmed	02058	Finance Officer	Withdrawn	03 Jun 2024	10 Jul 2024
Brent Douglas Richardson	02057	Licensed Director	Withdrawn	03 Jun 2024	07 Jul 2025
Mary Anne Del Rosario	02320	Finance Officer	Active	01 Oct 2024	
Nithin Babu	02546	Compliance Officer	Withdrawn	15 Jan 2025	30 Dec 2025
Nithin Babu	02546	Senior Manager	Withdrawn	15 Jan 2025	30 Dec 2025
Nithin Babu	02546	MLRO	Withdrawn	15 Jan 2025	30 Dec 2025
Griffin Nathan Joseph	03024	Licensed Director	Withdrawn	08 Jul 2025	10 Feb 2026
Jordan Jerry Bray	03023	Senior Executive Officer(SEO)	Active	08 Jul 2025	
Jordan Jerry Bray	03023	Licensed Director	Active	08 Jul 2025	
Katherine Clune	03552	Licensed Director	Active	20 Feb 2026	
James Baker	03558	Licensed Director	Active	27 Feb 2026	
Nabeel Siddiqui	03594	Licensed Director	Active	10 Mar 2026	

Shruthi Mary Joseph	01149	Compliance Officer and MLRO	Active	17 Mar 2026	
------------------------	-------	-----------------------------------	--------	-------------	--

Regulatory Actions

Date	Title	Category	PDF Link
13 Sep 2024	ADGM FSRA imposes financial penalty for contravention of Common Reporting Standard Regulations requirements	CRS Penalty Notice	↓