

PIPER JAFFRAY COMPANIES

Form 8-K/A

February 14, 2019

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

FORM 8-K/A

(Amendment No. 1)

CURRENT REPORT

PURSUANT TO SECTION 13 OR 15(d) OF THE
SECURITIES EXCHANGE ACT OF 1934

September 12, 2018

Date of report (Date of earliest event reported)

PIPER JAFFRAY COMPANIES

(Exact Name of Registrant as Specified in its Charter)

Delaware

(State of Incorporation)

1-31720

(Commission File Number)

30-0168701

(I.R.S. Employer Identification No.)

800 Nicollet Mall, Suite 1000

Minneapolis, Minnesota

(Address of Principal Executive Offices)

55402

(Zip Code)

(612) 303-6000

(Registrant's Telephone Number, Including Area Code)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2):

- o Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- o Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- o Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- o Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company ☐

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act. ☐

Explanatory Note

Piper Jaffray Companies (the Company) is filing this Current Report on Form 8-K/A to amend the Company's Current Report on Form 8-K filed with the Securities and Exchange Commission on September 14, 2018 (the Original Filing) to disclose the appointment of Thomas S. Schreier, Jr. to committees of the Company's board of directors (the Board). Mr. Schreier's initial election to the Board was disclosed in the Original Filing and, at that time, the Board had not determined the committees to which Mr. Schreier would be appointed. Except as expressly stated herein, the Original Filing remains unchanged.

Item 5.02. Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.

Effective as of February 13, 2019, the Board appointed Thomas S. Schreier, Jr. to the Audit Committee and the Compensation Committee. As previously reported, Mr. Schreier will participate in the Company's non-employee director compensation plan as currently in effect and, in connection therewith, will receive a pro-rated cash retainer for his service on these committees.

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

PIPER JAFFRAY COMPANIES

Date: February 14, 2019

By

/s/ John W. Geelan
John W. Geelan
General Counsel and Secretary