## Edgar Filing: SORAN PHILIP - Form 4

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Form 4										
May 09, 2013 FORM 4 Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction Multicol States Securities AND EXCHANGE COMMISSION Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940							OMB Number: Expires: Estimated a burden hou response	Number: 3235-0287 Expires: January 31, 2005 Estimated average burden hours per response 0.5		
1(b). (Print or Type R	esponses)									
			2. Issuer Name <b>and</b> Ticker or Trading Symbol PIPER JAFFRAY COMPANIES [PJC]				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) (First) (Middle) 800 NICOLLET MALL			3. Date of Earliest Transaction (Month/Day/Year) 05/08/2013				XDirector10% Owner Officer (give titleOther (specify below)below)			
	nendment, Date Original onth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person					
	DLIS, MN 55402	<b></b>					Form filed by Person	More than One R	eporting	
(City) 1.Title of Security (Instr. 3)	(State) (3 2. Transaction Date (Month/Day/Year)		3. if Transaction Code ar) (Instr. 8)	4. Securi onAcquired Disposed (Instr. 3, Amount	ties l (A) c l of (D	or ))	quired, Disposed of 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)		lly Owned 7. Nature of Indirect Beneficial Ownership (Instr. 4)	
Common Stock	05/08/2013		A	1,768	A	<u>(1)</u>	3,232	D		

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D)	(Month/Day/Year) vative rities uired or osed		7. Title a Amount Underlyi Securitie (Instr. 3	of ing es	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				Code V	(Instr. 3, 4, and 5) (A) (D)	Date Exercisable	Expiration Date	or Title N of	umber		

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
SORAN PHILIP 800 NICOLLET MALL MINNEAPOLIS, MN 55402	Х						
Signatures							
/s/ John W. Geelan for Philip E Soran	05/09/2013						

<u>\*\*</u>Signature of Reporting Person

Date

## **Explanation of Responses:**

\* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

The reporting person elected to defer receipt of 1,768 shares of common stock, resulting in the accrual to his account of 1,768 shares of (1) phantom stock. The phantom stock will become payable, in common stock, on the last day of the year in which the reporting person's service as a director terminates.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.