Edgar Filing: PIPER JAFFRAY COMPANIES - Form 4

PIPER JAFFI Form 4 May 08, 2014	RAY COMPANI	ES	-								
FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549									9980VAL 3235-0287		
Check this if no long subject to Section 16 Form 4 or Form 5 obligation may conti <i>See</i> Instru 1(b).	Filed purs Section 17(a	suant to S a) of the H	ection 16 Public Uti	SECURI (a) of the	TIES Securitiing Com	es Ex pany	xchang Act o	NERSHIP OF ge Act of 1934, f 1935 or Sectio 40	Expires: Estimated a burden hou response	irs per	
(Print or Type R	esponses)										
POLSKY LISA Symbol			er Name and Ticker or Trading				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
			of Earliest Transaction Day/Year) 2014				X_ Director Officer (give below)	Officer (give title Other (specify			
				Amendment, Date Original (Month/Day/Year)				 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person 			
MINNEAPC	DLIS, MN 55402							Form filed by M Person	More than One Ro	eporting	
(City)	(State)	(Zip)	Table	e I - Non-De	erivative S	Securi	ties Ac	quired, Disposed o	f, or Beneficia	lly Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	Executio any		3. Transactio Code (Instr. 8)	Disposed (Instr. 3,	l (A) o l of (D))	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
Common Stock	05/07/2014			Code V A	Amount 1,409	(D) A	Price (<u>1</u>)	19,829	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)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Amou Under Secur	le and unt of rlying ities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owno Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

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Reporting Owners

Reporting Owner Name / Address	Relationships						
Reporting O when I tunie / I turi ess	Director	10% Owner	Officer	Oth			
POLSKY LISA 800 NICOLLET MALL MINNEAPOLIS, MN 55402	Х						
Signatures							
/s/ John W. Geelan for Lisa K. Polsky	05/08/2014						

**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 1,409 shares of common stock, resulting in the accrual to her account of 1,409 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.