Edgar Filing: PIPER JAFFRAY COMPANIES - Form 4/A

PIPER JAFFRAY COMPANIES

Form 4/A

December 03, 2015

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB Number: 3235-0287

Estimated average

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Expires: January 31, 2005

OMB APPROVAL

Form 4 or Form 5 obligations may continue.

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

burden hours per response... 0.5

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * PIPER ADDISON L			2. Issuer Name and Ticker or Trading Symbol PIPER JAFFRAY COMPANIES [PJC]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)		
(Last) 800 NICOL	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/24/2015	_X_ Director 10% Owner Officer (give title Other (specify below)		
	(Street)		4. If Amendment, Date Original Filed(Month/Day/Year) 11/25/2015	6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person		
MININE A DOLLO MALEE 400				Form filed by More than One Reporting		

MINNEAPOLIS, MN 55402

(City)	(State)	(Zip) Tab	ole I - Non-	Derivative	Secui	rities Acq	uired, Disposed	of, or Benefic	ially Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	tion Date 2A. Deemed 3. ay/Year) Execution Date, if Tran any Code (Month/Day/Year) (Inst.		4. Securition(A) or Dis (Instr. 3, 4)	sposed	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	11/24/2015		<u>I(1)</u>	173.96 (2)	D	\$ 35.32 (2)	0	I	By PJC Retirement Plan (3)	

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.

SEC 1474

(9-02)

Person

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. Transactic Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D)		ate	7. Title a Amount of Underlying Securities (Instr. 3 a	of ng s	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
				Code V	(Instr. 3, 4, and 5) (A) (D)	Date Exercisable	Expiration Date	or Title Nu of	umber		

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
PIPER ADDISON L							
800 NICOLLET MALL	X						
MINNEAPOLIS, MN 55402							

Signatures

/s/ John W. Geelan for Addison L. Piper 12/03/2015

**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).
- (1) This amendment corrects an incorrect categorization of the transaction as an open market sale when in fact it was a discretionary transaction in accordance with Rule 16b-3(f).
- (2) This amendment corrects an inaccurate reporting of the amount of shares and price per share transferred in connection with the elimination of the Piper Jaffray Companies common stock fund as an investment option in the Piper Jaffray Companies Retirement Fund.
- (3) Intra-plan transfer in connection with the elimination of the Piper Jaffray Companies common stock fund as an investment option in the Piper Jaffray Companies Retirement Fund.

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.

Reporting Owners 2