

FIREBAUGH RONALD T  
Form 3  
January 06, 2012

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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**INITIAL STATEMENT OF 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

(Print or Type Responses)

|   |         |                                      |  |  |
|---|---------|--------------------------------------|--|--|
| 1. Name and Address of Reporting Person * |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol |  |
| Â FIREBAUGH RONALD T                      |         | (Month/Day/Year)                     | PIPER JAFFRAY COMPANIES [PJC]                      |  |
| (Last)                                    | (First) | (Middle)                             | 4. Relationship of Reporting Person(s) to Issuer   | 5. If Amendment, Date Original Filed(Month/Day/Year)                   |
|   |         |                                      |  |  |
| 800 NICOLLET MALL                         |         |                                      | (Check all applicable)                             |  |
| (Street)                                  |         |                                      | <input type="checkbox"/> Director                  | 6. Individual or Joint/Group Filing(Check Applicable Line)             |
|   |         |                                      | <input checked="" type="checkbox"/> Officer        | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| MINNEAPOLIS,Â MNÂ 55402                   |         |                                      | (give title below)                                 | <input type="checkbox"/> Form filed by More than One Reporting Person  |
| (City)                                    | (State) | (Zip)                                | Co-Head Pub Fin & Fixed Income                     |  |

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|---|
| Common Stock                    | 41,249  | D  | Â   |
| Common Stock                    | 1,013   | I  | By PJC Retirement Plan <sup>(1)</sup>                 |

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

SEC 1473 (7-02)

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

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative | 5. Ownership Form of Derivative Security: | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|---|---|---|
|--|--|---|---|---|---|

## Edgar Filing: FIREBAUGH RONALD T - Form 3

|                                      | Date Exercisable          | Expiration Date | Title        | Amount or Number of Shares | Security | Direct (D) or Indirect (I) (Instr. 5) |   |
|--------------------------------------|---------------------------|-----------------|--------------|----------------------------|----------|---------------------------------------|---|
| Employee Stock Option (right to buy) | 02/22/2008 <sup>(2)</sup> | 02/22/2015      | Common Stock | 990                        | \$ 39.62 | D                                     | Â |
| Employee Stock Option (right to buy) | 02/21/2009 <sup>(3)</sup> | 02/21/2016      | Common Stock | 610                        | \$ 47.85 | D                                     | Â |
| Employee Stock Option (right to buy) | 02/15/2010 <sup>(4)</sup> | 02/15/2017      | Common Stock | 1,054                      | \$ 70.13 | D                                     | Â |
| Employee Stock Option (right to buy) | 02/15/2011 <sup>(5)</sup> | 02/15/2018      | Common Stock | 4,383                      | \$ 41.09 | D                                     | Â |

## Reporting Owners

| Reporting Owner Name / Address                                   | Relationships |           |                                  |       |
|--|---------------|-----------|----------------------------------|-------|
|  | Director      | 10% Owner | Officer                          | Other |
| FIREBAUGH RONALD T<br>800 NICOLLET MALL<br>MINNEAPOLIS, MN 55402 | Â             | Â         | Â Co-Head Pub Fin & Fixed Income | Â     |

## Signatures

James L. Chosy for R. Todd  
Firebaugh

01/06/2012

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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) Based on a plan report dated December 13, 2011.
- (2) The option vested in full on February 22, 2008.
- (3) The option vested in full on February 21, 2009.
- (4) The option vested in full on February 15, 2010.
- (5) The option vested in full on February 15, 2011.

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.