

Edgar Filing: PIPER JAFFRAY COMPANIES - Form 13F-NT

PIPER JAFFRAY COMPANIES
Form 13F-NT
May 07, 2013

=====

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

FORM 13F

FORM 13F COVER PAGE

Report for the Calendar Year or Quarter Ended: March 31, 2013

Check here if Amendment ☐; Amendment Number: _____

This Amendment (Check only one.): ☐ is a restatement.
☐ adds new holdings entries.

Institutional Investment Manager Filing this Report:

Name: Piper Jaffray Companies
Address: 800 Nicollet Mall
Suite 800
Minneapolis, MN 55402

Form 13F File Number: 28-10776

The institutional investment manager filing this report and the person by whom it is signed hereby represent that the person signing the report is authorized to submit it, that all information contained herein is true, correct and complete, and that it is understood that all required items, statements, schedules, lists, and tables, are considered integral parts of this form.

Person Signing this Report on Behalf of Reporting Manager:

Name: Ann C. McCague
Title: Chief Compliance Officer
Phone: 612-303-6359

Signature, Place, and Date of Signing:

Ann C. McCague	Minneapolis, MN	5/6/13
_____	_____	_____
[Signature]	[City, State]	[Date]

Report Type (Check only one.):

☐ 13F HOLDINGS REPORT. (Check here if all holdings of this reporting manager are reported in this report.)

☒ 13F NOTICE. (Check here if no holdings reported are in this report, and all holdings are reported by other reporting manager(s).)

☐ 13F COMBINATION REPORT. (Check here if a portion of the holdings for this reporting manager are reported in this report and a portion are reported by other reporting manager(s).)

Edgar Filing: PIPER JAFFRAY COMPANIES - Form 13F-NT

List of Other Managers Reporting for this Manager:

[If there are no entries in this list, omit this section.]

Form 13F File Number

Name

28-05637

Advisory Research, Inc.

28-05030

Fiduciary Asset Management Inc.

=====