Edgar Filing: SORAN PHILIP - Form 4

CODANDIII

Form 4 March 16, 2018												
FORM	4 UNITED	Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES								OMB APPROVAL OMB 3235-0287 Number:		
Check this b if no longer subject to Section 16. Form 4 or Form 5 obligations may continu <i>See</i> Instruction 1(b).	STATE Filed pu le. Section 17									January 31, 2005Estimated average burden hours per response0.5		
(Print or Type Res	sponses)											
SORAN PHILIP Symb PIPE			Symbol	R JAFFRAY COMPANIES				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
(Last) 800 NICOLLE		Middle)	3. Date of (Month/D 03/15/20	-	ansaction			X Director Officer (give below)		Owner er (specify		
				endment, Date Original nth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person				
MINNEAPOL	LIS, MN 55402	2						Form filed by M Person				
(City)	(State)	(Zip)	Table	e I - Non-D	erivative	Securi	ities Acq	uired, Disposed of	, or Beneficial	ly Owned		
	. Transaction Dat Month/Day/Year)	Execution any		3. Transactio Code (Instr. 8) Code V	(Instr. 3,	sposed	d 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)			
Common 0 Stock 0	3/15/2018			А	77 <u>(1)</u>	A	\$ 86.25	9,168	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. Transactic Code (Instr. 8)	5. ofNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3,		ate	7. Title Amoun Underl Securit (Instr.	nt of lying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owno Follo Repo Trans (Instr
				Code V	4, and 5) (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

er

Reporting Owners

Reporting Owner Name / Address	Relationships						
1	Director	10% Owner	Officer	Othe			
SORAN PHILIP 800 NICOLLET MALL MINNEAPOLIS, MN 55402	Х						
Signatures							
/s/ John W. Geelan for Philip E Soran	·•	03/16/20	018				

**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).

Dividend equivalents that are paid on shares of phantom stock are deemed reinvested in additional shares of phantom stock as of the payment date. These phantom shares accrue to the reporting person's account in the directors' deferred compensation plan. The shares of

(1) payment date. These phantom shares accure to the reporting person's account in the directors deterred compensation plan. The shares of phantom stock become payable, in an equal number of shares of 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.