

PIPER JAFFRAY COMPANIES  
Form 8-K  
October 19, 2011

# SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## FORM 8-K

### CURRENT REPORT

PURSUANT TO SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934

October 19, 2011

Date of report (Date of earliest event reported)

## PIPER JAFFRAY COMPANIES

(Exact Name of Registrant as Specified in its Charter)

Delaware  
(State of Incorporation)

1-31720  
(Commission File Number)

30-0168701  
(I.R.S. Employer

Identification No.)

Edgar Filing: PIPER JAFFRAY COMPANIES - Form 8-K

**800 Nicollet Mall, Suite 800**

**Minneapolis, Minnesota**  
**(Address of Principal Executive Offices)**

**55402**  
**(Zip Code)**

**(612) 303-6000**  
**(Registrant's Telephone Number, Including Area Code)**

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2):

- .. Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- .. Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- .. Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- .. Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Item 2.02. Results of Operations and Financial Condition.

On October 19, 2011, Piper Jaffray Companies (the Company ) reported its financial results for its third fiscal quarter ended September 30, 2011. See the Company s press release dated October 19, 2011, which is furnished as Exhibit 99 hereto.

Item 5.02. Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.

Effective January 1, 2012, Thomas P. Schnettler will be relinquishing his role as President and Chief Operating Officer and, accordingly, will no longer be an executive officer of the Company for SEC reporting purposes. Mr. Schnettler will remain with the Company as Vice Chairman and Head of Merchant Banking. The Company is taking steps to increase the scale of its merchant banking activities, including to raise outside capital. The Company does not currently anticipate replacing the position of President and Chief Operating Officer.

Item 9.01. Financial Statements and Exhibits.

(d) Exhibit

99 Press Release dated October 19, 2011

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

PIPER JAFFRAY COMPANIES

Date: October 19, 2011

By /s/ Debra L. Schoneman  
Debra L. Schoneman  
Chief Financial Officer

EXHIBIT INDEX

No.	Description	Manner of Filing
99	Press Release dated October 19, 2011	Filed Electronically