Edgar Filing: SORAN PHILIP - Form 4

Form 4											
February 06, 2013 FORM 4 Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b). Form 4 or Form 5 Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940							N OMB Number: Expires: Estimated a burden hou response	Number: 3235-0287 Expires: January 31, 2005 Estimated average burden hours per response 0.5			
(Print or Type R	esponses)										
SORAN PHILIP Symbol			r Name and Ticker or Trading JAFFRAY COMPANIES				5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
(Last) 800 NICOLI	Last) (First) (Middle) 3. Date of (Month/Da NICOLLET MALL 02/05/20			-				X_ Director 10% Owner Officer (give title Other (specify below) below)			
				nendment, Date Original onth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person			
	OLIS, MN 554	.02						Form filed by Person	More than One Ro	eporting	
(City)	(State)	(Zip)	Table	e I - Non-De	erivative S	Securi	ties Ac	quired, Disposed (of, or Beneficial	lly Owned	
1.Title of Security (Instr. 3)	2. Transaction I (Month/Day/Ye	ear) Executio any	emed on Date, if 'Day/Year)	3. Transactio Code (Instr. 8) Code V	Disposed (Instr. 3,	l (A) c l 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	02/05/2013			А	1,464	А	<u>(1)</u>	1,464	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. Transactio Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D)		ate	7. Title a Amount Underlyi Securitie (Instr. 3	of ing es	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				Code V	(Instr. 3, 4, and 5) (A) (D)	Date Exercisable	Expiration Date	or Title N of	umber		

er

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Othe			
SORAN PHILIP 800 NICOLLET MALL MINNEAPOLIS, MN 55402	Х						
Signatures							
/s/ John W. Geelan for Philip E Soran	•	02/06/20)13				

**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).

The reporting person elected to defer receipt of an initial equity grant of 1,464 shares of common stock resulting in an accrual to his

(1) account of 1,464 shares of phantom stock. The shares of phantom stock become payable, in common stock, on the last day of the year in which the 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.