

RIESS RICHARD K
Form 5
October 04, 2002

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

OMB APPROVAL

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FORM 5

Check this box if no longer subject to
Section 16. Form 4 or Form 5
obligations may continue. See
Instruction 1(b). Form 3 Holdings
Reported Form 4 Transactions
Reported

**STATEMENT OF CHANGES IN
BENEFICIAL OWNERSHIP**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section
17(a) of the Public Utility Holding Company Act of 1934 or Section 30(f) of the
Investment Company Act of 1940

(Print or Type
Responses)

1. Name and Address of Reporting Person*

2. Issuer Name and Ticker or Trading Symbol

6. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

Riess

Richard

Karl

Raymond James Financial (RJF)

Director

_____ 10%

Officer

Owner

_____ Other

(Last)

(First)

(Middle)

3. IRS or Social
Security
Number of
Reporting

4. Statement for

(give

(specify

title below)

below)

**880 Carillon
Parkway**

(Street)

Person
(Voluntary)

Sept. 2002

5. If
Amendment
Date of
Original

Executive Vice President

7. Individual or Joint/Group Filing
(Check Applicable Line)

Form filed by One Reporting Person
Form filed by More than One Reporting
Person

St. Petersburg
(City)

FL
(State)

33716
(ZIP)

(Month/Year)

Table I – Non Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security
(Instr. 3)

2. Trans-
action
Date

(Month/
Day/
Year)

3. Trans-
action
Code
(Instr. 8)

4. Securities Acquired (A)
or Disposed of (D)
(Instr. 3, 4 and 5)

(A) or

5. Amount of
Securities
Beneficially
Owned at
End of Month
(Instr. 3 and 4)(I)

6. Owner-
ship
Form:
Direct
(D) or
Indirect

7. Nature of
Indirect
Beneficial
Owner-
ship

Raymond James
Financial, Inc.
(RJF)
**RJF Common
Stock**
**RJF Common
Stock**

Amount (D) Price

(Instr. 4) (Instr. 4)

13,845 D

24,199 I ESOP

NO UNREPORTED ACTIVITY

(Over)

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* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

SEC 2270
(9-96)

FORM 5 Table II — Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities (Instr. 4)	10. Owner-ship Form of Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Ownership: Beneficial (Instr. 4)
Employee Stock Option (Right to buy)				(A)	Current	Common stock	22.1667	6,300		
Employee Stock Option (Right to buy)				(A)	11/18/2002	Common stock	22.1667	2,700		
Employee Stock Option (Right to buy)				(A)	11/18/02-11/18/04	Common stock	20.6250	500		
Employee Stock Option (Right to buy)				(A)	11/18/02-11/18/04	Common stock	20.6250	6,000		
Employee Stock Option (Right to buy)				(A)	11/28/2004	Common stock	32.0000	4,100		
Employee Stock Option (Right to buy)				(A)	11/28/04-11/28/06	Common stock	32.0000	5,900	25,500	D

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Explanation of Responses:

**Intentional misstatements or omissions of facts constitute Federal Criminal Violations,
See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

/S/ RICHARD RIESS
**Signature of Reporting Person

October 4, 2002
Date

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient.
see Instructions 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.

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