

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).

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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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