

RAYMOND JAMES FINANCIAL INC
Form 5
October 02, 2006

FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362
Expires: January 31, 2005
Estimated average burden hours per response... 1.0

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

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person *
HELCK CHESTER B

2. Issuer Name and Ticker or Trading Symbol
RAYMOND JAMES FINANCIAL INC [RJF]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
09/30/2006

Director 10% Owner
 Officer (give title below) Other (specify below)
Chief Operating Officer

880 CARILLON PARKWAY

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Reporting

(check applicable line)

ST. PETERSBURG, FL 33716

(City) (State) (Zip)

Form Filed by One Reporting Person
 Form Filed by More than One Reporting Person

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	(A) or (D)	Price	5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
Common Stock	^	^	^	^	^	^	88,512	D	^
Common Stock	^	^	^	^	^	^	2,029	I	Spouse
Common Stock	^	^	^	^	^	^	6,956 ⁽⁶⁾	I	ESOP

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.

SEC 2270 (9-02)

Edgar Filing: RAYMOND JAMES FINANCIAL INC - 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 (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. 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)	
					(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 14.2222	Â	Â	Â	Â	Â	11/28/2004	01/28/2007	Common Stock	13,500 <u>(1)</u>
Employee Stock Option (right to buy)	\$ 14.0222	Â	Â	Â	Â	Â	12/10/2005	02/10/2008	Common Stock	99,141 <u>(2)</u>
Employee Stock Option (right to buy)	\$ 14.0222	Â	Â	Â	Â	Â	12/10/2005	02/10/2008	Common Stock	13,358 <u>(3)</u>
Employee Stock Option (right to buy)	\$ 16.8	Â	Â	Â	Â	Â	12/04/2006	02/04/2009	Common Stock	7,200
Employee Stock Option (right to buy)	\$ 16.8	Â	Â	Â	Â	Â	01/04/2008	02/04/2009	Common Stock	10,800 <u>(4)</u>
Employee Stock Option (right to buy)	\$ 24.9733	Â	Â	Â	Â	Â	12/01/2008	02/01/2011	Common Stock	15,000 <u>(5)</u>

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HELCK CHESTER B 880 CARILLON PARKWAY ST. PETERSBURG, FL 33716	Â	Â	Â Chief Operating Officer	Â

Signatures

Chet B. Helck 09/30/2006

**Signature of Date
Reporting Person

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).
- (1) Options currently exercisable - 10,800, Options Becoming exercisable - 2,700 on 11/28/06
- (2) Options currently exercisable - 65,664, Options Becoming exercisable - 18,108 on 12/10/2006 and 15,369 on 12/10/2007
- (3) Options currently exercisable - 1,836, Options Becoming exercisable - 4,392 on 12/10/2006 and 7,130 on 12/10/2007
- (4) Option Becoming exercisable - 5,400 on 01/04/2008, and 5,400 on 01/04/2009
- (5) Options Becoming exercisable - 3,750 on 12/01/2008, 3,750 on 12/01/2009, 3,750 on 12/01/2010, and 3,750 on 02/01/2011
- (6) Includes number of shares acquired under ESOP through 09/30/06

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.