

RIESS RICHARD K
Form 5
October 04, 2002

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

OMB APPROVAL

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**

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(Print or Type
Responses)

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

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%
(Last)	(First)	(Middle)	3. IRS or Social Security Number of Reporting Person (Voluntary)	4. Statement for Month/Year	☒ Officer (give	Owner _____ Other (specify
880 Carillon Parkway				Sept. 2002	title below)	below)
	(Street)			5. If Amendment Date of Original	<u>Executive Vice President</u>	
St. Petersburg	FL	33716		(Month/Year)	7. Individual or Joint/Group Filing (Check Applicable Line)	
(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. 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)	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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(continued)

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

1. Title of Derivative Security	2. Conver- sion or Exercise Price of Deri- vative Security	3. Trans- action Date (Month/ Day/ Year)	4. Trans- action Code (Instr. 8)	5. Number or Deriv- ative Securities Ac- quired (A) or Dis- posed of (D) (Instr. 3, 4, and 5)	6. Date Exer- cisable and Expiration Date (Month/Day/ Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of deriv- Secur- ity (Instr. 5)	9. Number of deriv- ative Secur- ities Bene- ficially Owned at End of deriv- Month (Instr. 4)	10.Owner- ship Form of Security: Direct (D) or Indirect (I) Instr. 4)	11.Nature of Indirect Benefi- cial Owner- ship (Instr. 4)
				(A) (D)	Date Exer- cisable	Expira- tion Date	Title Amount or Number of Shares			
Employee Stock Option (Right to buy)					Current	1/18/2003	Common stock	6,300	22.1667	
Employee Stock Option (Right to buy)					11/18/2002	1/18/2005	Common stock	2,700	22.1667	
Employee Stock Option (Right to buy)					11/18/02- 11/18/04	1/18/2005	Common stock	500	20.6250	
Employee Stock Option (Right to buy)					11/18/02- 11/18/04	1/15/2005	Common stock	6,000	20.6250	
Employee Stock Option (Right to buy)					11/28/2004	1/28/2007	Common stock	4,100	32.0000	
Employee Stock Option (Right to buy)					11/28/04-11/28/06	1/28/2007	Common stock	5,900	32.0000	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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