

RIESS RICHARD K  
Form 5  
October 04, 2002

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

**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

**OMB APPROVAL**

OMB Number: 3235-0362  
Expires: September 30,  
1998 Estimated average  
burden hours per response  
1.0

(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

(give

\_\_\_\_\_ Other

title below)

below)

(Last)

(First)

(Middle)

3. IRS or Social

Security  
Number of  
Reporting

4. Statement for

Month/Year

Person

(Voluntary)

**Sept. 2002**

5. If

Amendment

Date of

Original

(Month/Year)

**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)

**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-4. Securities Acquired (A)  
action or Disposed of (D)  
Code (Instr. 3, 4 and 5)  
(Instr. 8)

(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

(Instr. 4) (Instr. 4)

**13,845 D**

**24,199 I ESOP**

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

Amount (D) Price

**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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(9-96)

FORM 5 Table II — Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, (continued) 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- ative 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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