

JAMES THOMAS A
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**

OMB APPROVAL

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

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) | |
| James | Thomas | A | Raymond James Financial (RJF) | | <input checked="" type="checkbox"/> Director | <input checked="" type="checkbox"/> 10% Owner |
| (Last) | (First) | (Middle) | 3. IRS or Social Security Number of Reporting Person (Voluntary) | 4. Statement for Month/Year | <input checked="" type="checkbox"/> Officer (give title below) | Other (specify below) |
| 880 Carillon Parkway | | | | Sept. 2002 | | Chairman, CEO |
| | (Street) | | | 5. If Amendment Date of Original (Month/Year) | 7. Individual or Joint/Group Filing (Check Applicable Line) | |
| St. Petersburg | FL | 33716 | | | <input checked="" type="checkbox"/> Form filed by One Reporting Person | |
| (City) | (State) | (ZIP) | | | 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) | 3. Transaction 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) | 6. Ownership Form: Direct (D) or Indirect (I) | 7. Nature of Indirect Ownership (Instr. 4) |
|-------------------------------------|--------------------------------------|--------------------------------|---|---|---|--|
| Raymond James Financial, Inc. (RJF) | | | | Amount (D) Price | (Instr. 4) | (Instr. 4) |
| RJF Common Stock | | | | 6,081,131 | D | Thomas A. James TTEE 12/20/76 |
| RJF Common Stock | | | | 466,659 | I | Thomas A. James Employee Stock Ownership Plan & Trust |
| RJF Common Stock | | | | 21,372 | I | Mary S. James (wife) |
| RJF Common Stock | | | | 323,508 | I | Robert A. James & Helen W. James Annuity Trust |
| RJF Common Stock | | | | 152,909 | I | |

**RJF Common
Stock**

**James
Grandchildren
Trust**

**RJF Common
Stock**

3,362,680 I

**Robert A. James
Trust**

**RJF Common
Stock**

19,613 I

**Thomas A. James
TTEE 12/20/76
Thomas A. James**

NO UNREPORTED ACTIVITY

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

(Over)
SEC 2270
(9-96)

FORM 5
(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. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number or 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 Beneficially Owned at End of Derivative Month (Instr. 4) | 10. Ownership Form of Security: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--|--------------------------------------|--------------------------------|---|--|---|--|---|---|--|
| (Instr. 3) | | | | | | | | | | |

Edgar Filing: JAMES THOMAS A - Form 5

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/ THOMAS A. JAMES
**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.

Page 2
SEC 2270
(9-96)