

RAYMOND JAMES FINANCIAL INC
 Form 5
 October 02, 2006

FORM 5

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

OMB APPROVAL

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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

(Last) (First) (Middle)

880 CARILLON PARKWAY

(Street)

ST. PETERSBURG, FL 33716

(City) (State) (Zip)

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

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

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

6. Individual or Joint/Group Reporting

(check applicable line)

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 | Â | Â | Â | Â | Â | Â | 88,512 | D | Â |
| Common Stock | Â | Â | Â | Â | Â | Â | 2,029 | I | Spouse |
| Common Stock | Â | Â | Â | Â | Â | Â | 6,956 ⁽⁶⁾ | I | ESOP |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 2270 (9-02)

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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
Reporting Person

Date

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

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