

EATON VANCE CORP
Form 4
November 03, 2006

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
HIGDON LEO I JR

(Last) (First) (Middle)

THE EATON VANCE BUILDING, 255 STATE STREET

(Street)

BOSTON, MA 021092617

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
EATON VANCE CORP [EV]

3. Date of Earliest Transaction (Month/Day/Year)
11/01/2006

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)

6. Individual or Joint/Group Filing(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) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | | (A) or (D) | Code V Amount (D) Price | | |
| Eaton Vance Corp. Non-voting Common Stock | | | | | 4,032 | D | |

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 1474 (9-02)

Edgar Filing: EATON VANCE CORP - Form 4

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) | | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|-----|---|-----------------|---|----------------------------|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Option (right to buy) | \$ 30.11 | 11/01/2006 | | A | | 8,000 | | 11/01/2006 | 11/01/2016 | Eaton Vance Corp. Non-voting Common Stock | 8,000 |
| Option (right to buy) | \$ 10.58 | | | | | | | <u>(1)</u> | 02/01/2010 | Eaton Vance Corp. Non-voting Common Stock | 5,672 |
| Option (right to buy) | \$ 13.56 | | | | | | | <u>(1)</u> | 12/15/2010 | Eaton Vance Corp. Non-voting Common Stock | 7,372 |
| Option (right to buy) | \$ 17.83 | | | | | | | <u>(1)</u> | 12/21/2011 | Eaton Vance Corp. Non-voting Common Stock | 12,000 |
| Option (right to buy) | \$ 15.05 | | | | | | | <u>(1)</u> | 12/20/2012 | Eaton Vance Corp. Non-voting Common Stock | 12,000 |
| Option (right to buy) | \$ 18.14 | | | | | | | <u>(1)</u> | 12/19/2013 | Eaton Vance Corp. Non-voting | 12,000 |

| Option (right to buy) | Exercise Price | Contract or Option Number | Grant Date | Security | Quantity |
|-----------------------|----------------|---------------------------|------------|---|----------|
| Option (right to buy) | \$ 25.39 | (1) | 12/17/2014 | Eaton Vance Corp. Non-voting Common Stock | 12,000 |
| Option (right to buy) | \$ 27.58 | (1) | 12/16/2015 | Eaton Vance Corp. Non-voting Common Stock | 8,200 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| HIGDON LEO I JR THE EATON VANCE BUILDING 255 STATE STREET BOSTON, MA 021092617 | X | | | |

Signatures

By: Katie McManus, Attorney
in Fact

11/03/2006

**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) These options vest over a 4 year period at 25% per year.

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