## Edgar Filing: EATON VANCE CORP - Form 4

#### EATON VANCE CORP

Form 4

November 03, 2006

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

**OMB APPROVAL** 

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Form 5 obligations may continue. See Instruction

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(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading CABOT JOHN G L Issuer Symbol EATON VANCE CORP [EV] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction X\_ Director (Month/Day/Year) 10% Owner Officer (give title Other (specify THE EATON VANCE 11/01/2006 below) **BUILDING, 255 STATE STREET** (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting BOSTON, MA 021092617 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 4. Securities 5. Amount of 3. 7. Nature of Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Ownership Indirect (Instr. 3) Code Disposed of (D) Beneficially Form: Beneficial (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Direct (D) Ownership or Indirect Following (Instr. 4) Reported (I) (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V Amount (D) Price Eaton Vance Corp. Non-voting 373,320 D Common Stock Eaton Vance Corp. By Family Partnership Non-voting 64,000 Ι Common (1) Stock

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

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SEC 1474 (9-02)

# 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. Transactic Code (Instr. 8)	5. Number of Derivation Securities Acquired (A) or Disposed (D) (Instr. 3, 4 and 5)	ive of	Expiration Dat	o. Date Exercisable and Expiration Date Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (		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)	\$ 13.56						(2)	12/15/2010	Eaton Vance Corp. Non-voting Common Stock	1,844	
Option (right to buy)	\$ 17.83						<u>(2)</u>	12/21/2011	Eaton Vance Corp. Non-voting Common Stock	12,000	
Option (right to buy)	\$ 15.05						(2)	12/20/2012	Eaton Vance Corp. Non-voting Common Stock	12,000	
Option (right to buy)	\$ 18.14						(2)	12/19/2013	Eaton Vance Corp. Non-voting Common	12,000	

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				Stock	
Option (right to buy)	\$ 25.39	<u>(2)</u>	12/17/2014	Eaton Vance Corp. Non-voting Common Stock	12,000
Option (right to buy)	\$ 27.58	(2)	12/16/2015	Eaton Vance Corp. Non-voting Common Stock	8,200

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

CABOT JOHN G L THE EATON VANCE BUILDING 255 STATE STREET BOSTON, MA 021092617



## **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) Owned by a family partnership of which the reporting person is a general partner and has sole voting power.
- (2) 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.

Reporting Owners 3