

EATON VANCE CORP  
Form 4  
November 03, 2005

**FORM 4**

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

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

## OMB APPROVAL

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**BEALE JEFFREY P**

(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)  
**11/01/2005**

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 Administrative Officer

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 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 Indirect Beneficial Ownership (Instr. 4)
Eaton Vance Corp. Non-voting Common Stock	12/20/2004		G	V 2,000 D	\$ 0 118,536.32	D	
Eaton Vance Corp. Non-voting Common Stock <sup>(1)</sup>	05/02/2005		A	V 632 A	\$ 19.76 119,168.32	D	
Eaton Vance Corp.	11/01/2005		A	V 596 A	\$ 24.95 119,764.32	D	

Edgar Filing: EATON VANCE CORP - Form 4

Non-voting  
Common  
Stock (1)

Eaton Vance  
Corp.  
Common  
Stock  
(Voting)

Voting Trust  
Receipt (3)

9,344

I

By Voting  
Trust (2)

9,344

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)

**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) <sup>(4)</sup>	\$ 24.87	11/01/2005		A		58,200		<sup>(5)</sup>	11/01/2015	Eaton Vance Corp. Non-voting Common Stock	58,200
Option (right to buy)	\$ 5.73							<sup>(6)</sup>	11/02/2006	Eaton Vance Corp. Non-voting Common Stock	11,600
Option (right to buy)	\$ 8.59							<sup>(7)</sup>	11/01/2009	Eaton Vance Corp. Non-voting Common	60,000

Option (right to buy)	\$ 12.27	<u>(8)</u>	11/01/2010	Stock Eaton Vance Corp. Non-voting Common Stock	80,000
Option (right to buy)	\$ 14.34	<u>(9)</u>	11/01/2011	Stock Eaton Vance Corp. Non-voting Common Stock	76,400
Option (right to buy)	\$ 14.55	<u>(10)</u>	11/01/2012	Stock Eaton Vance Corp. Non-voting Common Stock	82,400
Option (right to buy)	\$ 17.51	<u>(11)</u>	11/03/2013	Stock Eaton Vance Corp. Non-voting Common Stock	84,600
Option (right to buy)	\$ 21.96	<u>(12)</u>	11/01/2014	Stock Eaton Vance Corp. Non-voting Common Stock	64,800

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BEALE JEFFREY P THE EATON VANCE BUILDING 255 STATE STREET BOSTON, MA 021092617			Chief Administrative Officer	

## Signatures

By: Katie McManus, Attorney  
in Fact 11/03/2005

\_\_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 shares were acquired under the 1986 Employee Stock Purchase Plan, which is a 16b-3 plan.
- (2) All shares of the Voting Stock of Eaton Vance Corp. are deposited and held of record in a Voting Trust of which Messrs. James B. Hawkes, Thomas E. Faust, Jr., Alan R. Dynner, William M. Steul, Wharton P. Whitaker, Thomas J. Fetter, Duncan W. Richardson, Jeffrey P. Beale, Scott H. Page, Payson F. Swaffield and Michael W. Weilheimer are the voting Trustees. The Voting Common Stock is not registered under Section 12 of the Securities Exchange Act.
- (3) A Voting Trust Receipt represents a share of Voting Common Stock.
- (4) Granted under the 1998 Stock Option Plan, which is a 16b-3 plan.
- (5) Granted on November 1, 2005 these options vest over a 5 year period in increments of 10%, 15%, 20%, 25%, and 30%.
- (6) Granted on November 2, 1998, these options vest over 4 years at 25% per year.
- (7) Granted on November 1, 1999, these options vest over 5 years starting in 2000 in increments of 13.33%, 13.33%, 13.33%, 30%, and 30% respectively.
- (8) Granted on November 1, 2000, these options vest over a 5 year period at 20% per year.
- (9) Granted on November 1, 2001, these options vest over a 5 year period at 20% per year.
- (10) Granted on November 1, 2002, these options vest over a 5 year period at 20% per year.
- (11) Granted on November 3, 2003, these options vest over a 5 year period at 20% per year.
- (12) Granted on November 1, 2004 these options vest over a 5 year period at 20% per year.

### Remarks:

All shares and prices have been adjusted to reflect a 2-for-1 stock split on 1/14/2005.

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.