

EATON VANCE CORP
Form 5
December 06, 2006

FORM 5

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).
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

OMB APPROVAL

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

(Last) (First) (Middle)

**THE EATON VANCE
BUILDING, 255 STATE STREET**

(Street)

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

3. Statement for Issuer's Fiscal Year Ended
(Month/Day/Year)
10/31/2006

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 Administrative Officer

6. Individual or Joint/Group Reporting

(check applicable line)

BOSTON, MA 021092617

(City) (State) (Zip)

☒ 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 at end of Issuer's Fiscal Year (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	12/20/2005	Â	G	2,000 D \$ 0	128,592.32 D	Â	
Eaton Vance Corp. Non-voting Common Stock	01/13/2006	Â	G	2,000 D \$ 27.94	126,592.32 D	Â	

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Eaton Vance Corp. Non-voting Common Stock	05/01/2006	Â	A ⁽¹⁾	558	A	\$ 22.38	127,150.32	D	Â
Eaton Vance Corp. Common Stock (Voting)	Â	Â	Â	Â	Â	Â	9,344	I	By Voting Trust ⁽²⁾
Voting Trust Receipt ⁽³⁾	Â	Â	Â	Â	Â	Â	9,344	D	Â

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

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(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)	8. Amount or Number of Shares
					(A) (D)	Date Exercisable Expiration Date	Title	
Option (right to buy)	\$ 8.59	Â	Â	Â	Â Â Â ⁽⁴⁾	11/01/2009	Eaton Vance Corp. Non-voting Common Stock	60,000
Option (right to buy)	\$ 12.27	Â	Â	Â	Â Â Â ⁽⁵⁾	11/01/2010	Eaton Vance Corp. Non-voting Common Stock	80,000
Option (right to buy)	\$ 14.34	Â	Â	Â	Â Â Â ⁽⁶⁾	11/01/2011	Eaton Vance	76,400

buy)											Corp. Non-voting Common Stock	
Option (right to buy)	\$ 14.55	Â	Â	Â	Â	Â	Â	Â <u>(7)</u>	11/01/2012		Eaton Vance Corp. Non-voting Common Stock	82,400
Option (right to buy)	\$ 17.51	Â	Â	Â	Â	Â	Â	Â <u>(8)</u>	11/03/2013		Eaton Vance Corp. Non-voting Common Stock	84,600
Option (right to buy)	\$ 21.96	Â	Â	Â	Â	Â	Â	Â <u>(9)</u>	11/01/2014		Eaton Vance Corp. Non-voting Common Stock	68,400
Option (right to buy)	\$ 24.87	Â	Â	Â	Â	Â	Â	Â <u>(10)</u>	11/01/2015		Eaton Vance Corp. Non-voting Common Stock	58,200

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	Â	Â	Â Chief Administrative Officer	Â

Signatures

By: Katie McManus, Attorney
in Fact 12/05/2006

 **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).

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- (1) These shares were acquired under the 1986 Employee Stock Purchase Plan, which is a 16b-3 plan.
All shares of the Voting Stock of Eaton Vance Corp. are deposited and held of record in a Voting Trust of which James B. Hawkes, Thomas E. Faust, Wharton P. Whitaker, William M. Steul, Alan R. Dynner, Duncan Richardson, Thomas Metzold, Robert MacIntosh,
- (2) Payson Swaffield, Jeffrey P. Beale, Michael Mach, Judith Saryan, Scott Page, Cynthia Clemson, Michael Weilheimer, and G. West Saltonstall 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 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.
- (5) Granted on November 1, 2000, these options vest over a 5 year period at 20% per year.
- (6) Granted on November 1, 2001, these options vest over a 5 year period at 20% per year.
- (7) Granted on November 1, 2002, these options vest over a 5 year period at 20% per year.
- (8) Granted on November 3, 2003, these options vest over a 5 year period at 20% per year.
- (9) Granted on November 1, 2004 these options vest over a 5 year period at 20% per year.
- (10) Granted on November 1, 2005 these options vest over a 5 year period in increments of 10%, 15%, 20%, 25%, and 30%.

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