

EATON VANCE CORP
Form 4
February 10, 2009

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
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(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)
02/09/2009

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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Eaton Vance Corp. Non-voting Common Stock	11/06/2008		G	V	800	D	\$ 0 10,232
						D	

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

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SEC 1474
(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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Phantom Stock	(1)					11/03/2010(1) 11/03/2010(1)	Eaton Vance Corp. Non-voting Common Stock 18 (2)
Option (right to buy)	\$ 10.58					(3) 02/01/2010	Eaton Vance Corp. Non-voting Common Stock 5,672
Option (right to buy)	\$ 13.56					(3) 12/15/2010	Eaton Vance Corp. Non-voting Common Stock 7,372
Option (right to buy)	\$ 17.83					(3) 12/21/2011	Eaton Vance Corp. Non-voting Common Stock 12,000
Option (right to buy)	\$ 15.05					(3) 12/20/2012	Eaton Vance Corp. Non-voting Common Stock 12,000
Option (right to	\$ 18.14					(3) 12/19/2013	Eaton Vance 12,000

buy)

					Corp. Non-voting Common Stock	
Option (right to buy)	\$ 25.39	<u>(3)</u>	12/17/2014		Eaton Vance Corp. Non-voting Common Stock	12,000
Option (right to buy)	\$ 27.58	<u>(3)</u>	12/16/2015		Eaton Vance Corp. Non-voting Common Stock	8,200
Option (right to buy)	\$ 30.11		11/01/2006	11/01/2016	Eaton Vance Corp. Non-voting Common Stock	8,000
Option (right to buy)	\$ 48.39		11/01/2007	11/01/2017	Eaton Vance Corp. Non-voting Common Stock	6,700
Option (right to buy)	\$ 21.99		11/03/2008	11/03/2018	Eaton Vance Corp. Non-voting Common Stock	5,800

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

02/09/2009

__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) Each share of Phantom Stock is the economic equivalent of one share of non-voting common stock. The shares of Phantom Stock become payable in cash at the earlier of the second anniversary of the grant date or the date of the non-employee director's termination.
As dividends are paid with respect to Company Non-Voting Common Stock, a number of units of Phantom Stock with a current value
- (2) equal to the amount of the dividend will be allocated to the account of each non-employee Director with respect to each unit of Phantom Stock Awarded at the time such dividends are paid to the stock holders of the Company.
- (3) 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.

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