

EATON VANCE CORP
Form 4
October 22, 2007

FORM 4

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

OMB APPROVAL

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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 *
HAWKES JAMES B

(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)
12/29/2006

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)
CEO

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) |
|-------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|----------------------------------------------------------|-----------------------------------|
| | | | Code | V | Amount | (D) | Price |
| Eaton Vance Corp. Non-voting Common Stock | 11/01/2006 | | A | V | 506 | A | \$ 24.65 |
| Eaton Vance Corp. Non-voting Common Stock | 11/21/2006 | | A | V | 11,153 | A | \$ 27.73 |
| Eaton Vance Corp. | 12/29/2006 | | G | V | 742 | D | \$ 30.82 |
| | | | | | | | 3,795,941 |
| | | | | | | | 3,807,094 |
| | | | | | | | 3,806,352 |

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| | | | | | | | | | |
|-------------------------------------------------------|------------|---|---|-------|---|-------------|-----------|---|------------------------------------------------------------------------|
| Non-voting Common Stock | | | | | | | | | |
| Eaton Vance Corp. Non-voting Common Stock | 05/01/2007 | A | V | 461 | A | \$ 27.1 | 3,806,813 | D | |
| Eaton Vance Corp. Non-voting Common Stock | 10/19/2007 | M | | 6,872 | A | \$ 16.01 | 3,813,685 | D | |
| Eaton Vance Corp. Non-voting Common Stock | 10/19/2007 | F | | 2,577 | D | \$ 0 | 3,811,108 | D | |
| Eaton Vance Corp. Non-voting Common Stock | 12/29/2006 | G | | 742 | A | \$ 30.82 | 125,502 | I | By Daughter |
| Eaton Vance Corp. Common Stock (Voting) | | | | | | | 74,240 | I | By Voting Trust ⁽¹⁾ |
| Eaton Vance Corp. Non-voting Common Stock | | | | | | | 195,440 | I | By Spouse |
| Eaton Vance Corp. Non-voting Common Stock | | | | | | | 961,881 | I | Stock Option Income Deferral ⁽²⁾ ⁽³⁾ |
| Voting Trust Receipt ⁽⁴⁾ | | | | | | | 74,240 | D | |

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

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(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 |
| Option (right to buy) | \$ 16.01 | 10/19/2007 | | M | 6,872 | <u>(5)</u> | 11/01/2007 | Eaton Vance Corp. Non-voting Common Stock | 6,872 |
| Option (right to buy) | \$ 19.26 | | | | | <u>(6)</u> | 11/03/2008 | Eaton Vance Corp. Non-voting Common Stock | 5,710 |
| Option (right to buy) | \$ 8.6 | | | | | <u>(7)</u> | 11/01/2009 | Eaton Vance Corp. Non-voting Common Stock | 188,400 |
| Option (right to buy) | \$ 12.27 | | | | | <u>(8)</u> | 11/01/2010 | Eaton Vance Corp. Non-voting Common Stock | 311,848 |
| Option (right to buy) | \$ 14.34 | | | | | <u>(9)</u> | 11/01/2011 | Eaton Vance Corp. Non-voting Common Stock | 340,226 |
| Option (right to buy) | \$ 14.55 | | | | | <u>(10)</u> | 11/01/2012 | Eaton Vance Corp. Non-voting Common | 385,528 |

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Securities Exchange Act.

- (2) Adjusted to include dividend reinvestment as follows: 11/17/06 - 3,645 shares at \$31.2455; 2/14/07 - 3,184 shares at \$35.9098; 5/14/07 - 3,015 shares at \$38.0733, 8/15/2007 2,815 shares at \$40.90.
- (3) Shares credited under the company's Stock Option Income Deferral Plan.
- (4) A Voting Trust Receipt represents a share of Voting Common Stock.
- (5) Granted on 11/1/2002 these option vest 100% on 11/1/2006
- (6) Granted on 11/1/2003 these options vest 100% on 11/3/2007
- (7) Granted 11/1/1999 these options vest 20% per year beginning 11/1/2000.
- (8) Granted on 11/1/2000 these options vest 21% on 11/2/2001, 11/1/2002, 11/1/2003, 11/1/2005 and 16% on 11/1/2004
- (9) Granted on 11/1/2001 these options vest 20.5% on 11/1/2002, 11/1/2003, 11/1/2004, 11/1/2006 and 18% on 11/1/2005
- (10) Granted on 11/1/2002 these options vest 20.5% on 11/1/2003, 11/1/2004, 11/1/2005, 11/1/2007 and 18% on 11/1/2006
- (11) Granted on 11/1/2003 these options vest 20.5% on 11/3/2004, 11/3/2005, 11/3/2006, 11/3/2008 and 18% on 11/3/2007
- (12) Granted on November 1, 2004 these options vest over a 5 year period at 20% per year.
- (13) Granted on November 1, 2005 these options vest over a 5 year period in increments of 10%, 15%, 20%, 25%, and 30%.
- (14) Granted on November 1, 2006 these options vest over a 5 year period in increments of 10%, 15%, 20%, 25%, and 30%.

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