

EATON VANCE CORP  
Form 5  
December 06, 2006

# FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362  
Expires: January 31, 2005  
Estimated average burden hours per response... 1.0

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

1. Name and Address of Reporting Person \*  
**HAWKES JAMES B**  
  
(Last) (First) (Middle)

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
CEO

**THE EATON VANCE BUILDING, 255 STATE STREET**  
  
(Street)

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

4. If Amendment, Date Original Filed (Month/Day/Year)

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. Common Stock (Voting)	^	^	^	^ ^ ^ ^	74,240	I	By Voting Trust (1)
Eaton Vance Corp. Non-voting Common	^	^	^	^ ^ ^ ^	3,795,435	D	^

Edgar Filing: EATON VANCE CORP - Form 5

Stock										
Eaton Vance Corp. Non-voting Common Stock	Â	Â	Â	Â	Â	Â	124,760	I		By Daughter
Eaton Vance Corp. Non-voting Common Stock	Â	Â	Â	Â	Â	Â	195,440	I		By Spouse
Eaton Vance Corp. Non-voting Common Stock	Â	Â	Â	Â	Â	Â	949,222	I		Stock Option Income Deferral <sup>(2)</sup>
Voting Trust Receipt <sup>(3)</sup>	Â	Â	Â	Â	Â	Â	74,240	D		Â

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 2270 (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)	Amount or Number of Shares
					(A) (D)	Date Exercisable Expiration Date	Title	
Option (right to buy)	\$ 16.01	Â	Â	Â	Â Â Â <sup>(4)</sup>	11/01/2007	Eaton Vance Corp. Non-voting Common Stock	6,872
Option (right to buy)	\$ 19.26	Â	Â	Â	Â Â Â <sup>(5)</sup>	11/03/2008	Eaton Vance Corp. Non-voting	5,710

Edgar Filing: EATON VANCE CORP - Form 5

Option (right to buy)	\$ 8.6	Â	Â	Â	Â	Â	Â	Â <u>(6)</u>	11/01/2009	Eaton Vance Corp. Non-voting Common Stock	188,400
Option (right to buy)	\$ 12.27	Â	Â	Â	Â	Â	Â	Â <u>(7)</u>	11/01/2010	Eaton Vance Corp. Non-voting Common Stock	311,848
Option (right to buy)	\$ 14.34	Â	Â	Â	Â	Â	Â	Â <u>(8)</u>	11/01/2011	Eaton Vance Corp. Non-voting Common Stock	340,226
Option (right to buy)	\$ 14.55	Â	Â	Â	Â	Â	Â	Â <u>(9)</u>	11/01/2012	Eaton Vance Corp. Non-voting Common Stock	385,528
Option (right to buy)	\$ 17.51	Â	Â	Â	Â	Â	Â	Â <u>(10)</u>	11/03/2013	Eaton Vance Corp. Non-voting Common Stock	397,490
Option (right to buy)	\$ 21.96	Â	Â	Â	Â	Â	Â	Â <u>(11)</u>	11/01/2014	Eaton Vance Corp. Non-voting Common Stock	341,600
Option (right to buy)	\$ 24.87	Â	Â	Â	Â	Â	Â	Â <u>(12)</u>	11/01/2015	Eaton Vance Corp. Non-voting Common Stock	277,000

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HAWKES JAMES B THE EATON VANCE BUILDING 255 STATE STREET BOSTON, MA 021092617	X	X	CEO	X

## 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).
  - (1) 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, 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.
  - (2) Shares credited under the company's Stock Option Income Deferral Plan.
  - (3) A Voting Trust Receipt represents a share of Voting Common Stock.
  - (4) Granted on 11/1/2002 these option vest 100% on 11/1/2006
  - (5) Granted on 11/1/2003 these options vest 100% on 11/3/2007
  - (6) Granted 11/1/1999 these options vest 20% per year beginning 11/1/2000.
  - (7) 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
  - (8) 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
  - (9) 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
  - (10) 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
  - (11) Granted on November 1, 2004 these options vest over a 5 year period at 20% per year.
  - (12) Granted on November 1, 2005 these options vest over a 5 year period in increments of 10%, 15%, 20%, 25%, and 30%.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.