

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 *
HIGDON LEO I JR

(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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

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. Non-voting Common Stock				(A) or (D) Price	4,032	D	

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

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SEC 2270
(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)	8. Amount or Number of Shares
					(A) (D)	Date Exercisable	Expiration Date		Title	
Option (right to buy)	\$ 10.58	Â	Â	Â	Â Â Â <u>(1)</u>		02/01/2010		Eaton Vance Corp. Non-voting Common Stock	5,672
Option (right to buy)	\$ 13.56	Â	Â	Â	Â Â Â <u>(1)</u>		12/15/2010		Eaton Vance Corp. Non-voting Common Stock	7,372
Option (right to buy)	\$ 17.83	Â	Â	Â	Â Â Â <u>(1)</u>		12/21/2011		Eaton Vance Corp. Non-voting Common Stock	12,000
Option (right to buy)	\$ 15.05	Â	Â	Â	Â Â Â <u>(1)</u>		12/20/2012		Eaton Vance Corp. Non-voting Common Stock	12,000
Option (right to buy)	\$ 18.14	Â	Â	Â	Â Â Â <u>(1)</u>		12/19/2013		Eaton Vance Corp. Non-voting Common Stock	12,000
Option (right to	\$ 25.39	Â	Â	Â	Â Â Â <u>(1)</u>		12/17/2014		Eaton Vance	12,000

buy)

Corp.
Non-voting
Common
StockOption
(right to
buy)

\$ 27.58

^

^

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^

^

^ (1)

12/16/2015

Eaton
Vance
Corp.
Non-voting
Common
Stock

8,200

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

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) 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 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.