

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
Number: 3235-0362
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1. Name and Address of Reporting Person *
HYLTON LAURIE G

(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)
VP & Chief Accounting Officer

6. Individual or Joint/Group Reporting

(check applicable line)

BOSTON, MA 021092617

☒ Form Filed by One Reporting Person
☐ Form Filed by More than One Reporting
Person

(City) (State) (Zip)

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	05/19/2006	Â	G	200 D \$ 0	76,823	D	Â
Eaton Vance Corp. Non-voting Common	05/19/2006	Â	G	200 A \$ 0	200	I	By Custodian For Child

Stock

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

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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)	8. Amount or Number of Shares
Option (right to buy)	\$ 8.59	Â	Â	Â	Â Â Â <u>(1)</u>	11/01/2009	Eaton Vance Corp. Non-voting Common Stock	40,000
Option (right to buy)	\$ 12.27	Â	Â	Â	Â Â Â <u>(2)</u>	11/01/2010	Eaton Vance Corp. Non-voting Common Stock	8,000
Option (right to buy)	\$ 14.34	Â	Â	Â	Â Â Â <u>(3)</u>	11/01/2011	Eaton Vance Corp. Non-voting Common Stock	41,600
Option (right to buy)	\$ 14.55	Â	Â	Â	Â Â Â <u>(4)</u>	11/01/2012	Eaton Vance Corp. Non-voting Common Stock	44,800
Option (right to	\$ 17.51	Â	Â	Â	Â Â Â <u>(5)</u>	11/03/2013	Eaton Vance	39,800

buy)											Corp. Non-voting Common Stock	
Option (right to buy)	\$ 21.96	Â	Â	Â	Â	Â	Â	Â	(6)	11/01/2014	Eaton Vance Corp. Non-voting Common Stock	39,800
Option (right to buy)	\$ 24.87	Â	Â	Â	Â	Â	Â	Â	(7)	11/01/2015	Eaton Vance Corp. Non-voting Common Stock	34,300

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
HYLTON LAURIE G THE EATON VANCE BUILDING 255 STATE STREET BOSTON, MA 021092617	Â	Â	Â	VP & Chief Accounting 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).

- (1) 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.
- (2) Granted on November 1, 2000, these options vest over a 5 year period at 20% per year.
- (3) Granted on November 1, 2001, these options vest over a 5 year period at 20% per year.
- (4) Granted on November 1, 2002, these options vest over a 5 year period at 20% per year.
- (5) Granted on November 3, 2003, these options vest over a 5 year period at 20% per year.
- (6) Granted on November 1, 2004 these options vest over a 5 year period at 20% per year.
- (7) 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.