

EATON VANCE CORP
Form 4
July 27, 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 *
RICHARDSON DUNCAN W

(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)
07/24/2007

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)
Executive Vice President

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 | (A) or (D) | Price |
| Eaton Vance Corp. Common Stock (Voting) | 07/24/2007 | | J ⁽¹⁾ | | 14,864 | A | \$ 3.93 |
| Eaton Vance Corp. Non-voting Common Stock | | | | | | | 464,668 |
| Voting Trust Receipt ⁽³⁾ | 07/24/2007 | | J ⁽¹⁾ | | 14,864 | A | \$ 0 |
| | | | | | | | 30,356 |
| | | | | | | | 30,356 |
| | | | | | | I | By Voting Trust ⁽²⁾ |
| | | | | | | D | |

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

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(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) ⁽⁴⁾ | \$ 8.59 | | | | | ⁽⁵⁾ 11/01/2009 | Eaton Vance Corp. Non-voting Common Stock | 72,000 |
| Option (right to buy) ⁽⁴⁾ | \$ 12.27 | | | | | ⁽⁶⁾ 11/01/2010 | Eaton Vance Corp. Non-voting Common Stock | 200,000 |
| Option (right to buy) ⁽⁴⁾ | \$ 14.34 | | | | | ⁽⁷⁾ 11/01/2011 | Eaton Vance Corp. Non-voting Common Stock | 250,000 |
| Option (right to buy) ⁽⁴⁾ | \$ 14.55 | | | | | ⁽⁸⁾ 11/01/2012 | Eaton Vance Corp. Non-voting Common Stock | 282,600 |
| Option (right to buy) ⁽⁴⁾ | \$ 17.51 | | | | | ⁽⁹⁾ 11/03/2013 | Eaton Vance Corp. | 273,000 |

| | | | | | Non-voting Common Stock | |
|-----------------------------|----------|------|------------|--|-------------------------------|--|
| Option (right to buy) | \$ 21.96 | (10) | 11/01/2014 | Eaton Vance Corp. Non-voting Common Stock | 259,600 | |
| Option (right to buy) | \$ 24.87 | (11) | 11/01/2015 | Eaton Vance Corp. Non-voting Common Stock | 210,500 | |
| Option (right to buy) | \$ 30.11 | (12) | 11/01/2016 | Eaton Vance Corp. Non-voting Common Stock | 200,800 | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| RICHARDSON DUNCAN W THE EATON VANCE BUILDING 255 STATE STREET BOSTON, MA 021092617 | | | Executive Vice President | |

Signatures

By: Katie McManus, Attorney
in Fact 07/27/2007

__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) Voting Trust shares issued by Eaton Vance.
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, William M. Steul, Alan R. Dynner, Duncan Richardson, Thomas Metzold, Robert MacIntosh, Payson Swaffield,
 - (2) Jeffrey P. Beale, Michael Mach, Judith Saryan, Scott Page, Cynthia Clemson, Michael Weilheimer, G. West Saltonstall, Lisa Jones, Robert Whelan and Matthew Witkos are the Voting Trustees. The Voting Common Stock is not registered under Section 12 of the Securities Exchange Act.
 - (3) A Voting Trust Receipt represents a share of Voting Common Stock.

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- (4) Granted under the 1998 Stock Option Plan, which is a 16b-3 plan.
- (5) Granted on November 1, 1999, these options vest over a 5 year period at 20% per year.
- (6) Granted on November 1, 2000, these options vest over a 5 year period at 20% per year.
- (7) Granted on November 1, 2001, these options vest over a 5 year period at 20% per year.
- (8) Granted on November 1, 2002, these options vest over a 5 year period at 20% per year.
- (9) Granted on November 3, 2003, these options vest over a 5 year period at 20% per year.
- (10) Granted on November 1, 2004 these options vest over a 5 year period at 20% per year.
- (11) Granted on November 1, 2005 these options vest over a 5 year period in increments of 10%, 15%, 20%, 25%, and 30%.
- (12) Granted on November 1, 2006 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 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.