

EATON VANCE CORP  
Form 4  
November 05, 2008

**FORM 4**

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**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 \*  
**BEALE JEFFREY P**

(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)  
**11/03/2008**

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)  
**Chief Administrative Officer**

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 Indirect Beneficial Ownership (Instr. 4) |
|---|--------------------------------------|--|--------------------------------|---|---|--|---|
|   |                                      |  | Code                           | V   | Amount  | (D)  | Price   |
| Eaton Vance Corp. Non-voting Common Stock | 05/01/2008                           |  | A <sup>(1)</sup>               | V   | 379   | A  | \$ 36.3   |
| Eaton Vance Corp. Non-voting Common Stock | 05/01/2008                           |  | G                              | V   | 2,000   | D  | \$ 0  |
| Eaton Vance Corp.                         | 11/03/2008                           |  | A <sup>(1)</sup>               | V   | 630   | A  | \$ 22   |

|   |        |   |                                   |
|---|--------|---|-----------------------------------|
| Non-voting<br>Common<br>Stock                       |        |   |                                   |
| Eaton Vance<br>Corp.<br>Common<br>Stock<br>(Voting) | 29,389 | I | By Voting<br>Trust <sup>(2)</sup> |
| Voting Trust<br>Receipt <sup>(3)</sup>              | 29,389 | D |                                   |

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<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | Amount<br>or<br>Number<br>of Shares |  |
|---|--|---|---|--------------------------------------|--|--|---|-------------------------------------|--|
|   |  |   |   | Code                                 | V (A) (D)  | Date<br>Exercisable  | Expiration<br>Date  | Title                               |  |
| Option<br>(right to<br>buy)                         | \$ 21.99   | 11/03/2008                              |   | A                                    | 38,700   | <sup>(4)</sup> 11/03/2018                                      | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common<br>Stock            | 38,700                              |  |
| Option<br>(right to<br>buy)                         | \$ 8.59  |   |   |                                      |  | <sup>(5)</sup> 11/01/2009                                      | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common<br>Stock            | 28,000                              |  |
| Option<br>(right to<br>buy)                         | \$ 12.27   |   |   |                                      |  | <sup>(6)</sup> 11/01/2010                                      | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common                     | 80,000                              |  |

|                             |          |             |            |  |        |
|-----------------------------|----------|-------------|------------|--|--------|
| Option<br>(right to<br>buy) | \$ 14.34 | <u>(7)</u>  | 11/01/2011 | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common<br>Stock | 76,400 |
| Option<br>(right to<br>buy) | \$ 14.55 | <u>(8)</u>  | 11/01/2012 | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common<br>Stock | 82,400 |
| Option<br>(right to<br>buy) | \$ 17.51 | <u>(9)</u>  | 11/03/2013 | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common<br>Stock | 84,600 |
| Option<br>(right to<br>buy) | \$ 21.96 | <u>(10)</u> | 11/01/2014 | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common<br>Stock | 68,400 |
| Option<br>(right to<br>buy) | \$ 24.87 | <u>(11)</u> | 11/01/2015 | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common<br>Stock | 58,200 |
| Option<br>(right to<br>buy) | \$ 30.11 | <u>(12)</u> | 11/01/2016 | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common<br>Stock | 55,200 |
| Option<br>(right to<br>buy) | \$ 48.39 | <u>(13)</u> | 11/01/2017 | Eaton<br>Vance<br>Corp.<br>Non-voting<br>Common<br>Stock | 38,400 |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                              |       |
|---|---------------|-----------|------------------------------|-------|
|   | Director      | 10% Owner | Officer                      | Other |
| BEALE JEFFREY P<br>THE EATON VANCE BUILDING<br>255 STATE STREET<br>BOSTON, MA 021092617 |               |           | Chief Administrative Officer |       |

## Signatures

By: Katie McManus, Attorney  
in Fact

11/05/2008

\_\_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 shares were acquired under the 1986 Employee Stock Purchase Plan, which is a 16b-3 plan.  
All shares of the Voting Stock of Eaton Vance Corp. are deposited and held of record in a Voting Trust of which Thomas E. Faust, Duncan Richardson, Jeffrey P. Beale, Lisa Jones, G. West Saltonstall, Payson Swaffield, Robert J. Whelan, Matthew J. Witkos, Maureen
  - (2) Gemma, Fredrick Marius, Cynthia Clemson, Michael R. Mach, Robert MacIntosh, Thomas M. Metzold, Scott H. Page, Judith Saryan, Michael Weilheimer, Walter Row 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.
  - (4) Granted on November 3, 2008 these options vest over a 5 year period in increments of 10%, 15%, 20%, 25%, and 30%.
  - (5) 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.
  - (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%.
  - (13) Granted on November 1, 2007 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.