

EMCORE CORP
Form 3
March 17, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â Lu Albert | | (Month/Day/Year) | EMCORE CORP [EMKR] | |
| (Last) | (First) | (Middle) | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| | | 03/16/2017 | | |
| 2015 W. CHESTNUT STREET | | | (Check all applicable) | 6. Individual or Joint/Group Filing(Check Applicable Line) |
| | (Street) | | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| ALHAMBRA,Â CAÂ 91803 | | | <input type="checkbox"/> Officer <input type="checkbox"/> Other | <input type="checkbox"/> Form filed by More than One Reporting Person |
| | (City) | (State) | (Zip) | |
| | | | | |

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|------------------------------------|---|--|---|
| Emcore Common Stock ⁽¹⁾ | 1,992 ⁽¹⁾ | D ⁽¹⁾ | Â |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) or Indirect | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|--|--|---|
| | Date Exercisable | Expiration Date | Title | Amount or Number of | |

Edgar Filing: EMCORE CORP - Form 3

| | | | | Shares | | (I) (Instr. 5) | |
|--|------------------|------------------|--------------|---|--|-------------------|---|
| Restricted Stock Units ⁽²⁾ | Â ⁽²⁾ | Â ⁽²⁾ | Common Stock | 17,578 ⁽²⁾ \$ 0 ⁽²⁾ | | D | Â |
| Performance-Based Restricted Stock Units (PSUs) ⁽³⁾ | Â ⁽³⁾ | Â ⁽³⁾ | Common Stock | 12,127 ⁽³⁾ \$ 0 ⁽³⁾ | | D ⁽³⁾ | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Lu Albert 2015 W. CHESTNUT STREET ALHAMBRA, CA 91803 | Â | Â | Â Sr. V.P. of Engineering | Â |

Signatures

Mark A. Gordon, attorney
in fact

03/17/2017

**Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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) 1,992 shares owned as of March 16, 2017. .
Includes (a) 8,471 shares of restricted stock that vest 2,118 shares on December 14, 2017, 2018 and 2019 and 2,117 shares on December 14, 2020; (b) 5,638 shares of restricted stock that vest in two equal annual installments beginning on February 16, 2018; and (c) 3,469 shares of restricted stock that vest on March 9, 2018.
- (3) Includes 12,127 of target restricted performance stock units ("PSUs") that vest on December 14, 2019. The PSUs issued will vest based on a combination of the relative total shareholder return of EMCORE's stock compared to the Russell Microcap Index and the employee's continued employment. The total number of shares to be issued may range from zero (0) to 200% of the target PSUs granted.

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.