Edgar Filing: Larocca Christopher M - Form 4

| Larocca Chris | stopher M | | | | | | | | | |
|--|---|--------------|---|--|--|--------------------|---|--|--|--|
| Form 4 | 0011 | | | | | | | | | |
| November 29 | · _ | | | | | | | OMB A | PPROVAL | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | | | | | | | OMB Number: | 3235-0287 | | |
| Check this if no long subject to Section 16 Form 4 or | er STATEM 5. | | | | | | | | Expires:January 31 2005Estimated averageburden hours per response0.5 | |
| Form 5 obligations may continue. See Instruction 1(b). 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 R | esponses) | | | | | | | | | |
| 1. Name and Address of Reporting Person <u>*</u> Larocca Christopher M | | | 2. Issuer Name and Ticker or Trading Symbol EMCORE CORP [EMKR] | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | |
| (Last) | (First) (M | iddle) 3. Da | 3. Date of Earliest Transaction | | | | (Check an applicable) | | | |
| 10420 RESEARCH ROAD SE | | | (Month/Day/Year) 11/25/2011 | | | | Director 10% Owner Officer (give title Other (specify below) below) chief Operating Officer | | | |
| ALBUQUE | (Street) RQUE, NM 87123 | Filed | 4. If Amendment, Date Original Filed(Month/Day/Year) | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person | | | |
| (City) | (State) (Z | Zip) | able I - Non-F |)erivative (| Securi | ties Ac | quired, Disposed o | of. or Beneficia | llv Owned | |
| 1.Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | | 3. , if Transacti Code ear) (Instr. 8) | 4. Securi ionAcquirec Disposec (Instr. 3, | ities d (A) of d of (D 4 and (A) or | or)) 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) | • | |
| Emcore Common Stock | 11/25/2011 | | Code V A | 7 Amount 1,111 (3) | (D) A | Price \$ 0.9 | (152,735 <u>(1)</u> | D | | |
| Emcore Common Stock | | | | | | | 20,599 <u>(2)</u> | I | By Trust 401(k) | |

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

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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. Transacti Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | Date | 7. Titl Amou Under Secur (Instr. | int of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr |
|---|---|---|---|---------------------------------------|---|---------------------|--------------------|--|--|---|---|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | | | |
|--|---------------|-----------|-------------------------|-------|--|--|--|--|
| | Director | 10% Owner | Officer | Other | | | | |
| Larocca Christopher M 10420 RESEARCH ROAD SE ALBUQUERQUE, NM 87123 | | | Chief Operating Officer | | | | | |
| Signatures | | | | | | | | |
| Alfredo Gomez | | | | | | | | |

Alfredo Gomez, 11/29/2011 attorney-in-fact

**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).

Includes 70,000 shares of restricted stock granted under the Company's 2010 Equity Incentive Plan, vesting in three equal annual

- (1) installments beginning on January 28, 2012 and 50,000 restricted stock units granted under the Company's 2010 Equity Incentive Plan and vesting in three equal annual installments beginning on August 22, 2012.
- (2) Shares attributable to EMCORE Corporation 401(k) account as of September 30, 2011.
- (3) Shares were purchased under the Company's Officer and Director Share Purchase Plan in a transaction exempt from Section 16b pursuant to Rule 16b-3(d).

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.