Edgar Filing: EMCORE CORP - Form 4

EMCORE CO	ORP											
Form 4												
October 29, 2	2013											
FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION								r	OMB APPROVAL			
UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549								OMB Number:	3235-0287			
Check thi				B,	210120				Expires:	January 31,		
if no long subject to	SIA IH	MENT O	F CHAN	GES IN I	BENEFI	CIA	LOW	NERSHIP OF	200:			
Subject to Section 16.				SECURITIES					Estimated average burden hours per			
Form 4 or Form 5			~ · ·		~ .				response 0.5			
obligation	1. I I I I I I I I I I I I I I I I I I I							e Act of 1934,				
may conti	inue. Section 17		of the In	•	•	· ·		f 1935 or Sectio 40	'n			
See Instru 1(b).	letion	50(11)		, countent	compun	<i>j</i> 110.	. 01 17					
(Print or Type R	(esponses)											
1. Name and A	ddress of Reporting	g Person *	2 Issuer	Name and Ticker or Trading				5. Relationship of Reporting Person(s) to Issuer				
HOU HONG Q Symbol				i tunio una	Tiener of	ITuum	.9					
			•	RE CORP [EMKR]				(Check all applicable)				
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Check				ck all applicable					
			(Month/D	onth/Day/Year) /25/2013				Director 10% Owner Officer (give title below) Other (specify below)				
			10/25/20									
								CE	O & President			
(Street) 4. If Am				mendment, Date Original				6. Individual or Joint/Group Filing(Check				
			Filed(Mon	th/Day/Year)	1			Applicable Line) _X_ Form filed by	One Reporting Pe	Prson		
ALBUOUE	RQUE, NM 871	23						Form filed by I	More than One Re			
-	-							Person				
(City)	(State)	(Zip)	Table	e I - Non-D	erivative	Securi	ities Acc	uired, Disposed o	f, or Beneficial	lly Owned		
1.Title of	2. Transaction Da			3.				5. Amount of	6. Ownership			
Security (Instr. 3)	(Month/Day/Yea	r) Execution any	on Date, if	Transaction(A) or Disposed of Code (D)				Beneficially Owned	Form: Direct (D) or	Beneficial Ownership		
(•	Day/Year)	(Instr. 8) (Instr. 3, 4 and 5)			Indirect (I)					
								Following Reported	(Instr. 4)	(Instr. 4)		
						(A)		Transaction(s)				
				Code V	Amount	or (D)	Price	(Instr. 3 and 4)				
Common	10/25/2013			A <u>(1)</u>	381	А	\$	84,098 (<u>2</u>)	D			
Stock	10/20/2015			· •	501		5.26	<u>,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,</u>	2			
Common								9,503 <u>(3)</u>	Ι	By 401(k)		
Stock								,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	•	Plan		

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. Transactic Code (Instr. 8)	5. of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Titl Amou Under Secur (Instr.	int of lying	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							
I State and state	Director	10% Owner	Officer	Other				
HOU HONG Q 10420 RESEARCH ROAD, SE ALBUQUERQUE, NM 87123			CEO & President					
Signatures								
/s/ Alfredo Gomez, attorney-in-fact	1	0/28/2013						

**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) 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).
- (2) Includes 12,500 shares of restricted stock granted under the Company's 2010 Equity Incentive Plan, vesting on January 28, 2014.
- (3) Shares attributable to EMCORE Corporation 401(k) account as of September 30, 2013.

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.