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| Form 4 | | | | | | | | | | |
|--|-----------------------------------|---------------------|---|---|--------------|--|--|---|------------------|-----------|
| December 28 | , 2018 | | | | | | | | | |
| FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION | | | | | | | | OMB APPROVAL | | |
| UNITED STATES S | | | | SECURITIES AND EXCHANGE COMMISSIC Washington, D.C. 20549 | | | | | OMB Number: | 3235-0287 |
| Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b). Check this box if no longer subject to 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 1(b). | | | | | | irs per | | | | |
| (Print or Type R | esponses) | | | | | | | | | |
| 1. Name and Address of Reporting Person <u>*</u> Lu Albert | | | 2. Issuer Name and Ticker or Trading Symbol EMCORE CORP [EMKR] | | | | 5. Relationship of Reporting Person(s) to Issuer | | | |
| (Last) | (First) | (Middle) | 3. Date of Earliest Transaction | | | | (Check all applicable) | | | |
| 2015 W. CHESTNUT STREET | | | (Month/Day/Year) 12/28/2018 | | | | | Director 0/ficer (give title 0/ficer (give title below) 0/ficer (give title below)0/ficer (give title below) /0/ficer (give title below) /0/ficer (give title below) / | | |
| | | | 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 | | |
| ALHAMBR | A, CA 91803 | | | | | | | Person | | porting |
| (City) | (State) | (Zip) | Table | e I - Non-D | erivative | Secur | ities Acc | quired, Disposed of | f, or Beneficial | lly Owned |
| 1.Title of Security (Instr. 3) | 2. Transaction E (Month/Day/Ye | ar) Executio any | med on Date, if Day/Year) | Code (D) r) (Instr. 8) (Instr. 3, 4 and 5) (A) | | Securities Beneficially Owned Following Reported Transaction(s) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
| | | | | Code V | Amount | or (D) | Price | (Instr. 3 and 4) | | |
| Common Stock | 12/28/2018 | | | М | 3,500 | А | <u>(1)</u> | 16,761 | D | |
| Common Stock | 12/28/2018 | | | F | 1,210 (2) | D | \$ 4.09 | 15,551 | D | |

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. 5. Number Transactionof Derivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | of Derivative Expiration Date Securities (Month/Day/Year) Acquired (A) or Disposed of (D) (Instr. 3, 4, | | Underlying Securities (Instr. 3 and 4) | | 8. Pr Deriv Secu (Inst |
|---|---|---|---|---|---------|---|--------------------|--|--|---------------------------------|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | |
| Restricted Stock Units (RSUs) | (3) | 12/28/2018 | | М | 3,500 | <u>(4)</u> | <u>(4)</u> | Emcore Common Stock | 3,500 | 9 |

Reporting Owners

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

Digitalutes

| Ryan Hochgesang, attorney | 12/28/2018 |
|---------------------------|------------|
| in fact | 12/20/2010 |
| | |

**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) The restricted stock units were awarded to the Reporting Person for no cash or other similar consideration.
- Represents the number of shares required to be withheld in accordance with Rule 16b-3 to cover the Reporting Person's tax withholding (2)obligations in connection with the vesting of the restricted stock units reported herein.
- Each restricted stock unit represented a contingent right to receive one share of Emcore common stock. Restricted stock units were (3) payable, at the election of the Issuer, in cash, Emcore common stock, or a combination of the two.
- Not later than 30 days after vesting occurs, vested shares of EMCORE common stock, an amount in cash equal to their fair market value (4) or a combination of the two will be delivered to the Reporting Person.

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.