

HOU HONG Q

Form 3

December 27, 2006

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 *

HOU HONG Q

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

12/14/2006

3. Issuer Name and Ticker or Trading Symbol

EMCORE CORP [EMKR]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

☒ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

President and COO

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting Person

2015 W. CHESTNUT ST.

(Street)

ALHAMBRA, CA 91803

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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)

Common Stock

114,375

D

A

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

SEC 1473 (7-02)

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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)

Date Exercisable

Expiration Date

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title

Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)
or Indirect6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Employee Stock Option (right to buy)	Â (1)	03/09/2008	Common Stock	120,000	\$ 5.88	D	Â
Employee Stock Option (right to buy)	Â (2)	05/18/2014	Common Stock	35,000	\$ 2.63	D	Â
Employee Stock Option (right to buy)	Â (3)	02/28/2015	Common Stock	20,625	\$ 3	D	Â
Employee Stock Option (right to buy)	Â (4)	08/28/2016	Common Stock	55,000	\$ 7.29	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HOU HONG Q 2015 W. CHESTNUT ST. ALHAMBRA, CA 91803	Â X	Â	Â President and COO	Â

Signatures

Hong Q. Hou 12/27/2006

__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) The Option was granted on March 9, 1998. The option vested in equal installments over 5 years. The initial grant entitled Dr. Hou to purchase 200,000 shares. Currently, Dr. Hou has 120,000 shares remaining on the option. The option is fully vested.
- (2) The Option was granted on May 18, 2004. The option vests in four equal annual installments. The initial granted entitled Dr. Hou to purchase 70,000 shares. Currently, Dr. Hou has 35,000 shares (unvested) remaining on the option.
- (3) The Option was granted on February 28, 2005. The option vests in four equal annual installments. The initial granted entitled Dr. Hou to purchase 27,500 shares. Currently, Dr. Hou has 20,625 shares (unvested) remaining on the option.
- (4) The Option was granted on August 28, 2006. The option vests in four equal annual installments. The initial granted entitled Dr. Hou to purchase 55,000 shares. Currently, Dr. Hou has 55,000 shares (unvested) remaining on the option.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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