

Edgar Filing: EMCORE CORP - Form 4

EMCORE CORP
Form 4
March 09, 2001

OMB APPROVAL

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

FORM 4

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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(f) of the Investment Company Act of 1940

[] Check this box if no longer subject to Section 16. Form 4 or Form 5
obligations may continue. See Instruction 1(b).

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1. Name and Address of Reporting Person*

Werthan, Thomas G.

(Last, First Middle)

c/o EMCORE Corporation, 145 Belmont Drive

(Street)

Somerset, New Jersey 08873

(City, State Zip)

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2. Issuer Name and Ticker or Trading Symbol

EMCORE Corporation (EMKR)

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3. IRS or Social Security Number of Reporting Person (Voluntary)

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4. Statement for Month/Year

February 2001

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

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6. Relationship of Reporting Person(s) to Issuer

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(Check all applicable)

☒ Director
 ☐ 10% Owner
☒ Officer (give title below)
 ☐ Other (specify below)
 Chief Financial Officer, Vice President

7. Individual or Joint/Group Filing (Check applicable line)

☒ Form filed by one Reporting Person
☐ Form filed by more than one Reporting Person

* If the form is filed by more than one reporting person, see Instruction 4(b) (v).

Table I -- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (mm/dd/yy)	3. Transaction Code (Instr. 8) ----- Code V	4. Securities Disposed of (Instr. 3, ----- Amount
(1) Common Stock	2/12/01	S	4300
(2) Common Stock	2/12/01	S	100
(3) Common Stock	2/12/01	S	900
(4) Common Stock	2/12/01	S	2200
(5) Common Stock	2/12/01	S	1000
(6) Common Stock	2/12/01	S	2000
(7) Common Stock	2/12/01	S	1500
(8) Common Stock	2/12/01	S	100
(9) Common Stock	2/12/01	S	200
(10) Common Stock	2/12/01	S	1200
(11) Common Stock	2/12/01	S	600
(12) Common Stock	1/09/01	P	20000

Table I (cont.) -- Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

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1. Title of Security (Instr. 3)	5. Amount of Securities Beneficially Owned at End of Month (Instr. 3 and 4)	6. Owner- ship Form: Direct (D) or Indirect (I) (Instr.4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
(1) Common Stock	65,424	D	
(2) Common Stock	65,424	D	
(3) Common Stock	65,424	D	
(4) Common Stock	65,424	D	
(5) Common Stock	65,424	D	
(6) Common Stock	65,424	D	
(7) Common Stock	65,424	D	
(8) Common Stock	65,424	D	
(9) Common Stock	65,424	D	
(10) Common Stock	65,424	D	
(11) Common Stock	65,424	D	
(12) Common Stock	65,424	D	

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

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)	4. Transaction Code (Instr. 8) ----- Code V	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) ----- A) (D)
(1) Incentive Common Stock Options	\$1.515	1/9/01	M	20,000 D

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Table II (cont.) -- Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

		7. Title and Amount of Underlying Securities (Instr. 3 and 4) -----				9. Number of Derivative Securities Beneficially Owned at End of Month (Instr.4)	
1. Title of Derivative Security (Instr. 3)			Amount or Number of Shares	8. Price of Derivative Security (Instr. 5)			
	Title						
(1)	Incentive Common Stock Options		20,000			37,824	

Explanation of Responses:

/s/ Thomas G. Werthan

March 9, 2001

**Signature of Reporting Person

Date

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations.

See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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

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.