EMCORE CORP
Form 3
March 17, 2017

(Print or Type Responses)

1. Name and Address of Reporting Person.

Â Lu Albert<br>(Last) (First) (Middle)

2015 W. CHESTNUT STREET
(Street)

ALHAMBRA,Â CAÂ 91803
(City) (State) (Zip)
1.Title of Security
(Instr. 4)
2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Statement (Month/Day/Year) 03/16/2017

EMCORE CORP [EMKR]

| 4. Relationship of Reporting | 5. If Amendment, Date Original |
| :--- | :--- |
| Person(s) to Issuer | Filed(Month/Day/Year) |

(Check all applicable)
$\qquad$ Director Officer
$\qquad$ 10\% Owner
(give title below) (specify below)
Sr. V.P. of Engineering

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

## Table I - Non-Derivative Securities Beneficially Owned

| 2. Amount of Securities 3. | 4. Nature of Indirect Beneficial |  |
| :--- | :--- | :--- |
| Beneficially Owned | Ownership | Ownership |
| (Instr. 4) | Form: | (Instr. 5) |
|  | Direct (D) |  |
|  | or Indirect |  |
|  | (I) |  |
|  | (Instr. 5) |  |

1,992 $\stackrel{(1)}{-}$
D (1) $\hat{A}$
Emcore Common Stock ${ }_{-1)}^{(1)}$

SEC 1473 (7-02)
Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

> Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)


\left.|  |  | Shares |  |  |  |  |  |  |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- |
| (I) |  |  |  |  |  |  |  |  |
| (Instr. 5) |  |  |  |  |  |  |  |  |$\right)$

## Reporting Owners

Reporting Owner Name / Address

## Relationships

Director $10 \%$ Owner Officer Other
Lu Albert
2015 W. CHESTNUT STREET Â Â Â Sr. V.P. of Engineering Â ALHAMBRA, Â CAÂ 91803

## Signatures

Mark A. Gordon, attorney in fact

03/17/2017
${ }_{\sim}^{* *}$ 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. $78 \mathrm{ff}(\mathrm{a})$.
(1) 1,992 shares owned as of March 16,2017 . .

Includes (a) 8,471 shares of restricted stock that vest 2,118 shares on December 14, 2017, 2018 and 2019 and 2,117 shares on December
(2) 14, 2020; (b) 5,638 shares of restricted stock that vest in two equal annual installments beginning on February 16, 2018; and (c) 3,469 shares of restricted stock that vest on March 9, 2018.

Includes 12,127 of target restricted performance stock units ("PSUs") that vest on December 14, 2019. The PSUs issued will vest based
(3) on a combination of the relative total shareholder return of EMCORE's stock compared to the Russell Microcap Index and the employee's continued employment. The total number of shares to be issued may range from zero (0) to $200 \%$ of the target PSUs granted.
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.

