

Edgar Filing: HOU HONG Q - Form 3

HOU HONG Q
Form 3
December 07, 2001

OMB APPROVAL

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

FORM 3

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(f) of the Investment Company Act of 1940

=====

1. Name and Address of Reporting Person*

Hou Hong Q.

(Last) (First) (Middle)

c/o EMCORE Corporation 145 Belmont Drive

(Street)

Somerset, NJ 08873

(City) (State) (Zip)

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2. Date of Event Requiring Statement (Month/Day/Year)

October 1, 2000

=====

3. IRS Identification Number of Reporting Person, if an entity (voluntary)

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4. Issuer Name and Ticker or Trading Symbol

EMCORE Corporation (EMKR)

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5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)

☐ Director

☒ Officer (give title below)

☐ 10% Owner

☐ Other (specify below)

Vice President

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

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

☒ Form Filed by One Reporting Person

☐ Form Filed by More than One Reporting Person

Table I -- Non-Derivative Securities Beneficially Owned

1. 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 (Instr. 5)
(1) Common Stock	17,360	D	

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)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	Amount or Number of Shares
Date Exer- cisable	Expira- tion Date	Title	
(1) Incentive Common Stock Options	(1) 3/9/08	Common Stock	176,000
(2) Incentive Common Stock Options	(2) 1/4/10	Common Stock	20,000
(3) Incentive Common Stock Options	(3) 4/14/10	Common Stock	20,000
(1)	120,000 currently vested; 40,000 vest 3/9/02 and balance vest 3/9/03.		
(2)	4,000 currently vested; remainder vest 4,000 per year beginning 1/4/02.		
(3)	12,000 currently vested; remainder vest 4,000 per year beginning 2/16/02.		

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

1. Title of Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Securities: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
(1) Incentive Common Stock Options	\$5.88	D	
(2) Incentive Common Stock Options	\$22.00	D	
(3) Incentive Common Stock Options	\$22.00	D	

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

Explanation of Responses:

/s/ Hong Q. Hou

December 5, 2001

**Signature of Reporting Person

Date

* 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).

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

Alternatively, this form is permitted to be submitted to the Commission in electronic format at the option of the reporting person pursuant to Rule 101(b) (4) of Regulation S-T.

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.

SEC 1473 (7-96)