

Edgar Filing: EMCORE CORP - Form 4

EMCORE CORP
Form 4
January 10, 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).

=====

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)

=====

2. Issuer Name and Ticker or Trading Symbol

EMCORE Corporation (EMKR)
=====

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

=====

4. Statement for Month/Year

December 2000
=====

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

=====

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) | 4. Securities Disposed of (Instr. 3, ----- Amount |
|---------------------------------------|---|---|--|
| (1) Common Stock | 12/1/00 | S | 1100 |
| (2) Common Stock | 12/1/00 | S | 100 |
| (3) Common Stock | 12/1/00 | S | 800 |
| (4) Common Stock | 12/5/00 | S | 1400 |
| (5) Common Stock | 12/5/00 | S | 600 |
| (6) Common Stock | 12/5/00 | S | 300 |
| (7) Common Stock | 12/5/00 | S | 1000 |
| (8) Common Stock | 12/6/00 | S | 800 |
| (9) Common Stock | 12/6/00 | S | 900 |
| (10) Common Stock | 12/6/00 | S | 200 |
| (11) Common Stock | 12/6/00 | S | 100 |
| (12) Common Stock | 12/6/00 | S | 100 |
| (13) Common Stock | 12/6/00 | S | 400 |
| (14) Common Stock | 12/6/00 | S | 1000 |
| (15) Common Stock | 12/28/00 | P | 1000 |

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

| 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 | 58,442 | D | |
| (2) Common Stock | 58,442 | D | |
| (3) Common Stock | 58,442 | D | |
| (4) Common Stock | 58,442 | D | |
| (5) Common Stock | 58,442 | D | |
| (6) Common Stock | 58,442 | D | |
| (7) Common Stock | 58,442 | D | |
| (8) Common Stock | 58,442 | D | |
| (9) Common Stock | 58,442 | D | |
| (10) Common Stock | 58,442 | D | |
| (11) Common Stock | 58,442 | D | |
| (12) Common Stock | 58,442 | D | |
| (13) Common Stock | 58,442 | D | |
| (14) Common Stock | 58,442 | D | |
| (15) Common Stock | 58,442 | 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)

| 2. | 4. | 5. Number of Derivative |
|----|----|----------------------------|
|----|----|----------------------------|

