

Edgar Filing: EMCORE CORP - Form 4

EMCORE CORP  
Form 4  
September 10, 2001

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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\*

Louis-Dreyfus, Robert

-----  
(Last) (First) (Middle)

c/o Harborstone Capital Mgmt.  
152 West 57th St.,  
21st Floor

-----  
(Street)

New York, NY 10019

-----  
(City) (State) (Zip)

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2. Issuer Name and Ticker or Trading Symbol

EMCORE Corporation (EMKR)

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

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4. Statement for Month/Year

August 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  
(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)

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.<br>Title of Security<br>(Instr. 3) | 2.<br>Transaction<br>Date<br>(mm/dd/yy) | 3.<br>Transaction<br>Code<br>(Instr. 8)<br>-----<br>Code V | 4.<br>Securities<br>Disposed of<br>(Instr. 3,<br>-----<br>Amount |
|---------------------------------------|-----------------------------------------|------------------------------------------------------------|------------------------------------------------------------------|
| (1) Common Stock                      | 08/14/01                                | X                                                          | 865,070                                                          |

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

| 1.<br>Title of Security<br>(Instr. 3) | 5.<br>Amount of<br>Securities<br>Beneficially<br>Owned at End<br>of Month<br>(Instr. 3<br>and 4) | 6. Owner-<br>ship<br>Form:<br>Direct<br>(D) or<br>Indirect<br>(I)<br>(Instr.4) | 7.<br>Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|--------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|----------------------------------------------------------------------|
| (1) Common Stock                      | 3,301,916                                                                                        | I                                                                              | By Gallium Enterpr                                                   |

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

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

| 1.<br>Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion or<br>Exercise<br>Price of<br>Derivative<br>Security | 3.<br>Transaction<br>Date (Month/<br>Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8)<br>-----<br>Code V | 5.<br>Number of Derivative<br>Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5)<br>-----<br>A) (D) |
|--------------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------|------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|
| (1) Common Stock<br>Warrant (right<br>to buy)          | \$5.10                                                                | 08/14/01                                       | X                                                          | 865,070 (D)                                                                                                           |

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

| 1.<br>Title of<br>Derivative<br>Security<br>(Instr. 3) | 7.<br>Title and Amount<br>of Underlying<br>Securities<br>(Instr. 3 and 4)<br>-----<br>Title | Amount<br>or<br>Number<br>of<br>Shares | 8.<br>Price of<br>Derivative<br>Security<br>(Instr. 5) | 9.<br>Number of<br>Derivative<br>Securities<br>Beneficially<br>Owned<br>at End of Month<br>(Instr.4) |
|--------------------------------------------------------|---------------------------------------------------------------------------------------------|----------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------------------|
| (1) Common Stock<br>Warrant<br>(right to buy)          | Common                                                                                      | 865,070                                |                                                        | 0                                                                                                    |

Explanation of Responses:

/s/ Thomas Werthan

September 10, 2001

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\*\*Signature of Reporting Person  
As attorney in fact for Robert Louis-Dreyfus

-----  
Date

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

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

SEC 1472 Note: File three copies of this Form, one of which must be manually (3-99) 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.