

Edgar Filing: EMCORE CORP - Form 4

EMCORE CORP  
Form 4  
August 28, 2002

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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).

(Print or Type Responses)

=====

1. Name and Address of Reporting Person\*

Richards Jr., Reuben F.

-----  
(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 Identification Number of Reporting Person (if an entity) (voluntary)

=====

4. Statement for Month/Year

August 2002  
=====

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)

President and Chief Executive Officer  
-----

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                      | 08/7/2002                               | S  | 5000   |
| (2) Common Stock                      | 08/7/2002                               | S  | 2000   |
| (3) Common Stock                      | 08/7/2002                               | S  | 3000   |
| (4) Common Stock                      | 08/7/2002                               | S  | 3000   |
| (5) Common Stock                      | 08/7/2002                               | S  | 1000   |
| (6) Common Stock                      | 08/7/2002                               | S  | 200  |
| (7) Common Stock                      | 08/7/2002                               | S  | 2000   |
| (8) Common Stock                      | 08/7/2002                               | S  | 1000   |
| (9) Common Stock                      | 08/7/2002                               | S  | 1800   |
| (10) Common Stock                     | 08/7/2002                               | S  | 1000   |
| (11) Common Stock                     | 08/8/2002                               | S  | 1000   |
| (12) Common Stock                     | 08/8/2002                               | S  | 1000   |
| (13) Common Stock                     | 08/8/2002                               | S  | 1000   |
| (14) Common Stock                     | 08/8/2002                               | S  | 2500   |

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|                   |            |   |      |
|-------------------|------------|---|------|
| (15) Common Stock | 08/8/2002  | S | 700  |
| (16) Common Stock | 08/8/2002  | S | 500  |
| (17) Common Stock | 08/8/2002  | S | 800  |
| (18) Common Stock | 08/8/2002  | S | 1000 |
| (19) Common Stock | 08/8/2002  | S | 1100 |
| (20) Common Stock | 08/8/2002  | S | 2000 |
| (21) Common Stock | 08/8/2002  | S | 1000 |
| (22) Common Stock | 08/8/2002  | S | 500  |
| (23) Common Stock | 08/9/2002  | S | 2000 |
| (24) Common Stock | 08/9/2002  | S | 2000 |
| (25) Common Stock | 08/9/2002  | S | 500  |
| (26) Common Stock | 08/9/2002  | S | 1000 |
| (27) Common Stock | 08/9/2002  | S | 500  |
| (28) Common Stock | 08/12/2002 | S | 500  |
| (29) Common Stock | 08/12/2002 | S | 500  |
| (30) Common Stock | 08/12/2002 | S | 100  |
| (31) Common Stock | 08/12/2002 | S | 1000 |
| (32) Common Stock | 08/12/2002 | S | 1000 |
| (33) Common Stock | 08/12/2002 | S | 1000 |
| (34) Common Stock | 08/12/2002 | S | 2000 |
| (35) Common Stock | 08/13/2002 | S | 800  |
| (36) Common Stock | 08/13/2002 | S | 1000 |
| (37) Common Stock | 08/13/2002 | S | 1000 |
| (38) Common Stock | 08/13/2002 | S | 1500 |
| (39) Common Stock | 08/13/2002 | S | 500  |
| (40) Common Stock | 08/22/2002 | S | 1000 |
| (41) Common Stock | 08/22/2002 | S | 1000 |
| (42) Common Stock | 08/22/2002 | S | 1000 |
| (43) Common Stock | 08/22/2002 | S | 900  |
| (44) Common Stock | 08/22/2002 | S | 500  |
| (45) Common Stock | 08/22/2002 | S | 3500 |

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|                   |            |   |      |
|-------------------|------------|---|------|
| (46) Common Stock | 08/22/2002 | S | 1000 |
| (47) Common Stock | 08/22/2002 | S | 1000 |
| (48) Common Stock | 08/22/2002 | S | 500  |
| (49) Common Stock | 08/22/2002 | S | 1000 |
| (50) Common Stock | 08/22/2002 | S | 1000 |
| (51) Common Stock | 08/22/2002 | S | 100  |
| (52) Common Stock | 08/22/2002 | S | 500  |
| (53) Common Stock | 08/23/2002 | S | 1000 |
| (54) Common Stock | 08/23/2002 | S | 400  |
| (55) Common Stock | 08/23/2002 | S | 400  |
| (56) Common Stock | 08/23/2002 | S | 100  |
| (57) Common Stock | 08/23/2002 | S | 900  |
| (58) Common Stock | 08/23/2002 | S | 200  |
| (59) Common Stock | 08/23/2002 | S | 1000 |
| (60) Common Stock | 08/23/2002 | S | 1000 |
| (61) Common Stock | 08/23/2002 | S | 2000 |
| (62) Common Stock | 08/26/2002 | S | 1000 |
| (63) Common Stock | 08/26/2002 | S | 1000 |
| (64) Common Stock | 08/26/2002 | S | 1500 |
| (65) Common Stock | 08/26/2002 | S | 500  |
| (66) Common Stock | 08/23/2002 | S | 1000 |

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                      | 882,964  | D  |  |

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|                   |         |   |
|-------------------|---------|---|
| (2) Common Stock  | 882,964 | D |
| (3) Common Stock  | 882,964 | D |
| (4) Common Stock  | 882,964 | D |
| (5) Common Stock  | 882,964 | D |
| (6) Common Stock  | 882,964 | D |
| (7) Common Stock  | 882,964 | D |
| (8) Common Stock  | 882,964 | D |
| (9) Common Stock  | 882,964 | D |
| (10) Common Stock | 882,964 | D |
| (11) Common Stock | 882,964 | D |
| (12) Common Stock | 882,964 | D |
| (13) Common Stock | 882,964 | D |
| (14) Common Stock | 882,964 | D |
| (15) Common Stock | 882,964 | D |
| (16) Common Stock | 882,964 | D |
| (17) Common Stock | 882,964 | D |
| (18) Common Stock | 882,964 | D |
| (19) Common Stock | 882,964 | D |
| (20) Common Stock | 882,964 | D |
| (21) Common Stock | 882,964 | D |
| (22) Common Stock | 882,964 | D |
| (23) Common Stock | 882,964 | D |
| (24) Common Stock | 882,964 | D |
| (25) Common Stock | 882,964 | D |
| (26) Common Stock | 882,964 | D |
| (27) Common Stock | 882,964 | D |
| (28) Common Stock | 882,964 | D |
| (29) Common Stock | 882,964 | D |
| (30) Common Stock | 882,964 | D |
| (31) Common Stock | 882,964 | D |
| (32) Common Stock | 882,964 | D |

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|                   |         |   |
|-------------------|---------|---|
| (33) Common Stock | 882,964 | D |
| (34) Common Stock | 882,964 | D |
| (35) Common Stock | 882,964 | D |
| (36) Common Stock | 882,964 | D |
| (37) Common Stock | 882,964 | D |
| (38) Common Stock | 882,964 | D |
| (39) Common Stock | 882,964 | D |
| (40) Common Stock | 882,964 | D |
| (41) Common Stock | 882,964 | D |
| (42) Common Stock | 882,964 | D |
| (43) Common Stock | 882,964 | D |
| (44) Common Stock | 882,964 | D |
| (45) Common Stock | 882,964 | D |
| (46) Common Stock | 882,964 | D |
| (47) Common Stock | 882,964 | D |
| (48) Common Stock | 882,964 | D |
| (49) Common Stock | 882,964 | D |
| (50) Common Stock | 882,964 | D |
| (51) Common Stock | 882,964 | D |
| (52) Common Stock | 882,964 | D |
| (53) Common Stock | 882,964 | D |
| (54) Common Stock | 882,964 | D |
| (55) Common Stock | 882,964 | D |
| (56) Common Stock | 882,964 | D |
| (57) Common Stock | 882,964 | D |
| (58) Common Stock | 882,964 | D |
| (59) Common Stock | 882,964 | D |
| (60) Common Stock | 882,964 | D |
| (61) Common Stock | 882,964 | D |
| (62) Common Stock | 882,964 | D |
| (63) Common Stock | 882,964 | D |

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|                   |         |   |
|-------------------|---------|---|
| (64) Common Stock | 882,964 | D |
| (65) Common Stock | 882,964 | D |
| (66) Common Stock | 882,964 | 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.<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)

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)

Explanation of Responses:

/s/ Reuben F. Richards, Jr.

August 28, 2002

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\*\*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.

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