SEC Form 4

Instruction 1(b)

FORM 4

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

Check this box if no longer subject to	STATEMENT
Section 16. Form 4 or Form 5	
obligations may continue. See	

OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

OMB APPROVAL								
OMB Number: 3235-0287								
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hours per response:	0.5							

1. Name and Address of Reporting Person* <u>JACKSON REX S</u>		1	2. Issuer Name and Ticker or Trading Symbol <u>EMCORE CORP</u> [EMKR]		tionship of Reporting Pers all applicable) Director	on(s) to Issuer 10% Owner				
(Last) (First) (Middle) C/O EMCORE CORPORATION 2015 W. CHESTNUT STREET		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/22/2019		Officer (give title below)	Other (specify below)				
			4. If Amendment, Date of Original Filed (Month/Day/Year)	th/Day/Year) 6. Individual or Joint/Group Filing (Check Ag Line)						
(Street) ALHAMBRA	CA	91803		X	Form filed by One Repo Form filed by More than Person	0				
(City)	(State)	(Zip)								
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned										

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)			4. Securities A Disposed Of (5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)

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

	(
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (8)		Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Restricted Stock Units	(1)	03/22/2019		A		14,062 ⁽²⁾		(3)	(3)	Emcore Common Stock	14,062	(2)	14,062	D	

Explanation of Responses:

1. Each restricted stock unit represents a contingent right to receive one share of EMCORE common stock.

2. The restricted stock units were awarded to the Reporting Person for no cash or other similar consideration for his service as a non-employee director.

3. The restricted stock unit were issued pursuant to the EMCORE Corporation 2019 Equity Incentive Plan in accordance with EMCORE's Director Compensation Policy. The restricted stock units vest on the earlier of March 22, 2020 or the day prior to the Issuer's 2020 annual meeting of shareholders

Remarks:

Ryan Hochgesang, attorney in fact

03/25/2019

Date

** Signature of Reporting Person

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

* If the form is filed by more than one reporting person, see Instruction 4 (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.

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 Number.