

Edgar Filing: EMCORE CORP - Form 3

EMCORE CORP  
Form 3  
December 07, 2001

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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\*

Fuller, Earl

-----  
(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 26, 2001

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

=====

4. Issuer Name and Ticker or Trading Symbol

EMCORE Corporation (EMKR)

=====

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

[ ] Director

[ x ] Officer (give title below)

[ ] 10% Owner

[ ] Other (specify below)

Vice President, Emcore Photo Voltaics

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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<br>(Instr. 4) | 2. Amount of Securities<br>Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D) or<br>Indirect (I)<br>(Instr. 5) | 4. Nature<br>(Instr. 5) |
|------------------------------------|-------------------------------------------------------------|-------------------------------------------------------------------|-------------------------|
| (1) No Securities Owned            |                                                             |                                                                   |                         |

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

| 1. Title of Derivative<br>Security (Instr. 4) | 2. Date Exercisable<br>and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities<br>Underlying Derivative Security<br>(Instr. 4) | Amount<br>or<br>Number<br>of<br>Shares |
|-----------------------------------------------|----------------------------------------------------------------|-----------------------------------------------------------------------------------|----------------------------------------|
|                                               | Date Exer-<br>cisable                                          | Expira-<br>tion<br>Date                                                           | Title                                  |
| (1)                                           |                                                                |                                                                                   |                                        |
| (2)                                           |                                                                |                                                                                   |                                        |

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

5. Owner-  
ship  
Form of

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| 1. Title of Derivative<br>Security (Instr. 4) | 4. Conversion or<br>Exercise<br>Price of<br>Derivative<br>Security | Derivative<br>Securities:<br>Direct<br>(D) or<br>Indirect<br>(I)<br>(Instr.5) | 6. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 5) |
|-----------------------------------------------|--------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------|
| -----                                         |                                                                    |                                                                               |                                                                   |
| (1)                                           |                                                                    |                                                                               |                                                                   |
| -----                                         |                                                                    |                                                                               |                                                                   |
| (2)                                           |                                                                    |                                                                               |                                                                   |
| -----                                         |                                                                    |                                                                               |                                                                   |
| =====                                         |                                                                    |                                                                               |                                                                   |

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

Explanation of Responses:

/s/ Earl Fuller

December 5, 2001

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\*\*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)