



Edgar Filing: EMCORE CORP - Form 3

				Shares		(I) (Instr. 5)	
Restricted Stock Units <sup>(2)</sup>	Â <sup>(2)</sup>	Â <sup>(2)</sup>	Common Stock	17,578 <sup>(2)</sup> \$ 0 <sup>(2)</sup>		D	Â
Performance-Based Restricted Stock Units (PSUs) <sup>(3)</sup>	Â <sup>(3)</sup>	Â <sup>(3)</sup>	Common Stock	12,127 <sup>(3)</sup> \$ 0 <sup>(3)</sup>		D <sup>(3)</sup>	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lu Albert 2015 W. CHESTNUT STREET ALHAMBRA, CA 91803	Â	Â	Â Sr. V.P. of Engineering	Â

## Signatures

Mark A. Gordon, attorney  
in fact

03/17/2017

\*\*Signature of Reporting Person                      Date

## Explanation of Responses:

- \* 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).

(1) 1,992 shares owned as of March 16, 2017. .

Includes (a) 8,471 shares of restricted stock that vest 2,118 shares on December 14, 2017, 2018 and 2019 and 2,117 shares on December 14, 2020; (b) 5,638 shares of restricted stock that vest in two equal annual installments beginning on February 16, 2018; and (c) 3,469 shares of restricted stock that vest on March 9, 2018.

Includes 12,127 of target restricted performance stock units ("PSUs") that vest on December 14, 2019. The PSUs issued will vest based on a combination of the relative total shareholder return of EMCORE's stock compared to the Russell Microcap Index and the employee's continued employment. The total number of shares to be issued may range from zero (0) to 200% of the target PSUs granted.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, See Instruction 6 for procedure. 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.