

EMCORE CORP
Form 4
August 13, 2015

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN 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(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
Becker Drapkin Management, L.P.

2. Issuer Name and Ticker or Trading Symbol
EMCORE CORP [EMKR]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
500 CRESCENT COURT, SUITE 230,

3. Date of Earliest Transaction (Month/Day/Year)
08/10/2015

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

See Remarks

(Street)

4. If Amendment, Date Original Filed (Month/Day/Year)

6. Individual or Joint/Group Filing (Check Applicable Line)
____ Form filed by One Reporting Person
X Form filed by More than One Reporting Person

DALLAS, TX 75201

(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)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	08/10/2015		S		172,512	D	\$ 7.4
					1,579,939	I	
							See footnotes (1) (4) (5) (7)
Common Stock	08/10/2015		S		24,302	D	\$ 7.4
					222,596	I	
							See footnotes (2) (4) (5) (7)
Common Stock	08/10/2015		S		68,620	D	\$ 7.4
					628,459	I	
							See footnotes (3) (4) (5) (7)
Common Stock	08/11/2015		S		13,973	D	\$ 7.33
					1,565,966	I	
							See footnotes

Edgar Filing: EMCORE CORP - Form 4

								(1) (4) (5) (7)
Common Stock	08/11/2015	S	1,969	D	\$ 7.33	220,627	I	See footnotes (2) (4) (5) (7)
Common Stock	08/11/2015	S	5,558	D	\$ 7.33	622,901	I	See footnotes (3) (4) (5) (7)
Common Stock	08/12/2015	S	62,392	D	\$ 7.32	1,503,574	I	See footnotes (1) (4) (5) (7)
Common Stock	08/12/2015	S	8,790	D	\$ 7.32	211,837	I	See footnotes (2) (4) (5) (7)
Common Stock	08/12/2015	S	24,818	D	\$ 7.32	598,083	I	See footnotes (3) (4) (5) (7)
Common Stock						7,576	D ⁽⁶⁾	

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

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 control number.

SEC 1474 (9-02)

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address

Relationships

Edgar Filing: EMCORE CORP - Form 4

Director 10% Owner Officer Other

Becker Drapkin Management, L.P. 500 CRESCENT COURT, SUITE 230 DALLAS, TX 75201			See Remarks
BECKER DRAPKIN PARTNERS (QP), L.P. 500 CRESCENT COURT, SUITE 230 DALLAS, TX 75201			See Remarks
BECKER DRAPKIN PARTNERS, L.P. 500 CRESCENT COURT, SUITE 230 DALLAS, TX 75201			See Remarks
BC Advisors LLC 500 CRESCENT COURT, SUITE 230 DALLAS, TX 75201			See Remarks
Drapkin Matthew A C/O BECKER DRAPKIN MANAGEMENT, L.P. 500 CRESCENT COURT, SUITE 230 DALLAS, TX 75201			See Remarks
Becker Steven R C/O BECKER DRAPKIN MANAGEMENT, L.P. 500 CRESCENT COURT, SUITE 230 DALLAS, TX 75201	X		See Remarks

Signatures

BECKER DRAPKIN MANAGEMENT, L.P., By: BC Advisors, LLC, its general partner, By: /s/ Adam J. Brunk, Name: Adam J. Brunk, Title: Attorney-in-Fact	08/12/2015
__Signature of Reporting Person	Date
BECKER DRAPKIN PARTNERS (QP), L.P., By: Becker Drapkin Management, L.P., its general partner, By: /s/ Adam J. Brunk, Name: Adam J. Brunk, Title: Attorney-in-Fact	08/12/2015
__Signature of Reporting Person	Date
BECKER DRAPKIN PARTNERS, L.P., By: Becker Drapkin Management, L.P., its general partner, By: /s/ Adam J. Brunk, Name: Adam J. Brunk, Title: Attorney-in-Fact	08/12/2015
**Signature of Reporting Person	Date
BC ADVISORS, LLC, By: /s/ Adam J. Brunk, Name: Adam J. Brunk, Title: Attorney-in-Fact	08/12/2015
**Signature of Reporting Person	Date
STEVEN R. BECKER, By: /s/ Adam J. Brunk, Name: Adam J. Brunk, Title: Attorney-in-Fact	08/12/2015
**Signature of Reporting Person	Date
MATTHEW A. DRAPKIN, By: /s/ Adam J. Brunk, Name: Adam J. Brunk, Title: Attorney-in-Fact	08/12/2015
**Signature of Reporting Person	Date

Explanation of Responses:

- * 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).
- (1) Represents Common Stock directly beneficially owned by Becker Drapkin Partners (QP), L.P. ("Becker Drapkin QP") (1,503,574 shares).
- (2) Represents Common Stock directly beneficially owned by Becker Drapkin Partners, L.P. ("Becker Drapkin, L.P.") (211,837 shares).
- (3) Represents Common Stock directly beneficially owned by a managed account on behalf of an investment advisory client (the "Managed Account") of Becker Drapkin Management, L.P. ("BD Management") (598,083 shares).
BD Management, as the general partner of, and investment manager for, Becker Drapkin QP and Becker Drapkin, L.P. and the investment manager for the Managed Account, may be deemed to beneficially own the securities described in footnotes (1), (2) and (3).
- (4) BC Advisors, LLC ("BCA"), as the general partner of BD Management, and Mr. Becker and Mr. Drapkin, as the sole members and co-managing members of BCA and limited partners of BD Management, may in each case be deemed to be beneficial owners of the securities described in footnotes (1), (2) and (3).
BD Management disclaims any beneficial ownership of all of the Common Stock listed herein, except to the extent of any pecuniary interest therein. Becker Drapkin QP disclaims beneficial ownership of the Common Stock described in footnotes (2) and (3). Becker Drapkin, L.P. disclaims beneficial ownership of the Common Stock described in footnotes (1) and (3). BCA disclaims beneficial ownership of all of the Common Stock listed herein, except to the extent of any pecuniary interest therein. Mr. Becker (who is a director of the Issuer) and Mr. Drapkin disclaim beneficial ownership of all of the Common Stock described herein, except to the extent of any pecuniary interest therein.
- (5) These shares are directly beneficially owned by Mr. Becker and were acquired pursuant to the EMCORE Corporation 2007 Directors' Stock Award Plan for Mr. Becker's service as a non-employee director.
- (6) This filing constitutes a Form 4 exit filing for all reporting persons other than Mr. Becker. The Form 4 filed on June 23, 2015 incorrectly stated that it was an exit filing.
- (7)

Remarks:

Member of a 13D group that is no longer a 10% group

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.