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EMCORE CORP Form 4 January 10, 2001

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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). |
| |
| 1. Name and Address of Reporting Person* |
| Fenwick, Hugh H. |
| (Last, First Middle) |
| 400 Mendham Rd. |
| (Street) |
| Bernardsville, NJ 07924 |
| (City, State Zip) |
| |
| 2. Issuer Name and Ticker or Trading Symbol |
| EMCORE Corporation - EMKR |
| 3. IRS or Social Security Number of Reporting Person (Voluntary) |
| |
| 4. Statement for Month/Year |
| December 2000 |
| 5. If Amendment, Date of Original (Month/Year) |
| |
| 6. Relationship of Reporting Person(s) to Issuer |

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| Table I (cont.) Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. 6. Owner- Amount of Ship Securities Form: 7. Beneficially Oirect Nature of Owned at End (D) or Indirect 1. Of Month Indirect Beneficial Title of Security (Instr. 3) (I) Ownership (Instr. 3) (I) Common Stock 15,990 (D) Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. | (Check all applicable) | | | |
|--|--|--|---------------------------------------|--|
| [x] 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 Transaction (Instr. 8) 2. Code | E 2 | | | |
| * 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 * Table I Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned * Transaction (Inst. 8) Transaction (Inst. 8) Title of Security Date | 7. Individual or Joint/Group | Filing (Check applicable li | ne) | === |
| Table I Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 4. Security 2. Code 1. Transaction (Instr. 8) Title of Security Date | | | | |
| Table I (cont.) Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned Table I (cont.) Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. 6. Owner-Amount of ship Securities Porm; 7. Beneficially Direct Nature of Undirect Beneficial Ities of Month Indirect Beneficial Ities of Month Indirect Beneficial Ities of Month Indirect Beneficial Ities of Security (Instr. 3) and 4) (Instr. 4) (1) Common Stock 15,990 (D) Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. | | | son, | |
| 4. Securit 3. Dispose Transaction (Instr. 8) 2. Code Transaction (Instr. 8) Title of Security Date (mm/dd/yy) Code V (1) Common Stock 12/06/00 Table I (cont.) Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. 6. Owner- Amount of ship Securities Form: 7. Beneficially Direct Nature of Owned at End (D) or Indirect Owned at End (D) or Indirect Title of Security (Instr. 3) (Instr. 3) And 4) (Instr. 4) (1) Common Stock 15,990 (D) Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. | Table I Non-De | or Beneficially Owned | | === |
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| (Instr. 3) (mm/dd/yy) Code V (1) Common Stock 12/06/00 (A) 94 Table I (cont.) Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. 6. Owner-Amount of ship Securities Form: 7. Beneficially Direct Nature of Owned at End (D) or Indirect Direct Nature of Month Indirect Beneficial Title of Security (Instr. 3) (I) Ownership (Instr. 3) (Instr. 4) (1) Common Stock 15,990 (D) Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. | | Transaction | Transaction Code | Securiti Disposed (Instr. |
| Table I (cont.) Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. 6. Owner- Amount of ship Securities Form: 7. Beneficially Direct Nature of Owned at End (D) or Indirect 1. of Month Indirect Beneficial Title of Security (Instr. 3 (I) Ownership (Instr. 3) and 4) (Instr. 4) (1) Common Stock 15,990 (D) Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. | _ | | Code V | Amount |
| The second of th | (1) Common Stock | 12/06/00 | (A) | 94 |
| Amount of ship Securities Form: 7. Beneficially Direct Nature of Owned at End (D) or Indirect 1. of Month Indirect Beneficial Title of Security (Instr. 3 (I) Ownership (Instr. 3) and 4) (Instr. 4) (1) Common Stock 15,990 (D) Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. | Table I (cont.) Nor | _ | red, Disposed of, | |
| (1) Common Stock 15,990 (D) Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. | Title of Security (Instr. 3) | Amount of Securities Beneficially Owned at End of Month (Instr. 3 and 4) | ship Form: Direct (D) or Indirect (I) | Nature of Indirect Beneficial Ownership |
| owned directly or indirectly. | | 15,990 | | |
| Table II Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | owned directly or Table II Derivative Secur | indirectly rities Acquired, Disposed of, | or Beneficially Owne | === |

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| 1. Title of Derivative | 2. Conversion or Exercise Price of | | 4. Transaction Code (Instr. 8) | | Securition or Dispo | |
|--|--|--|--------------------------------|--------------|----------------------------------|-------------------------------------|
| Security (Instr. 3) | Derivative Security | | | | | (D) |
| (1) | | | | | | |
| Owned (e.g., | - Derivative Securitic puts, calls, warrants | ount | vertible s | | | 9. Number of Derivative |
| 1. Title of Derivative Security (Instr. 3) | Title | Amount or Number of Shares | | Deri Secu | e of vative rity tr. 5) | Securities Beneficially Owned |
| | | | | | | |
| (1) | | | | | | |

| /s/Hugh H. Fenwick | January 10, 2001 |
|---------------------------------|------------------|
| | |
| **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.

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.