

Van Berkel Monica
Form 3
January 31, 2011

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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(h) of the Investment Company Act of 1940

(Print or Type Responses)

| | | | | | | |
|--|--|--|---|--|--|---|
| 1. Name and Address of Reporting Person * ^ Van Berkel Monica (Last) (First) (Middle) 10420 RESEARCH ROAD, SE (Street) ALBUQUERQUE, ^ NM ^ 87123 (City) (State) (Zip) | | 2. Date of Event Requiring Statement (Month/Day/Year) 01/21/2011 | 3. Issuer Name and Ticker or Trading Symbol EMCORE CORP [EMKR] | 4. Relationship of Reporting Person(s) to Issuer (Check all applicable) ____ Director ____ 10% Owner <input checked="" type="checkbox"/> Officer ____ Other (give title below) (specify below) Chief Admin. Officer | 5. If Amendment, Date Original Filed(Month/Day/Year) | 6. Individual or Joint/Group Filing(Check Applicable Line) <input checked="" type="checkbox"/> 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 (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|------------------------------------|--|---|--|
| Common Stock | 1,304 | D | ^ |
| Common Stock | 16,893 | I | By Trust 401(k) |

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

SEC 1473 (7-02)

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

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative | 5. Ownership Form of Derivative Security: | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|---|--|---|---|--|
|---|---|--|---|---|--|

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| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Security | Direct (D) or Indirect (I) (Instr. 5) | |
|--------------------------------------|------------------|-----------------|--------------|----------------------------|----------|---------------------------------------|---|
| Employee Stock Option (right to buy) | Â <u>(1)</u> | 05/24/2014 | Common Stock | 27,250 | \$ 3.08 | D | Â |
| Employee Stock Option (right to buy) | Â <u>(2)</u> | 02/28/2015 | Common Stock | 15,000 | \$ 3 | D | Â |
| Employee Stock Option (right to buy) | Â <u>(2)</u> | 12/29/2015 | Common Stock | 713 | \$ 7.32 | D | Â |
| Employee Stock Option (right to buy) | Â <u>(2)</u> | 08/28/2016 | Common Stock | 45,000 | \$ 7.29 | D | Â |
| Employee Stock Option (right to buy) | Â <u>(3)</u> | 03/29/2017 | Common Stock | 20,000 | \$ 4.98 | D | Â |
| Employee Stock Option (right to buy) | Â <u>(4)</u> | 09/25/2017 | Common Stock | 10,000 | \$ 8.78 | D | Â |
| Employee Stock Option (right to buy) | Â <u>(5)</u> | 05/19/2018 | Common Stock | 70,000 | \$ 8.38 | D | Â |
| Employee Stock Option (right to buy) | Â <u>(6)</u> | 05/29/2019 | Common Stock | 75,000 | \$ 1.31 | D | Â |
| Employee Stock Option (right to buy) | Â <u>(7)</u> | 07/27/2019 | Common Stock | 80,000 | \$ 1.25 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Van Berkel Monica 10420 RESEARCH ROAD, SE ALBUQUERQUE, NM 87123 | Â | Â | Â Chief Admin. Officer | Â |

Signatures

/s/ Monica Van Berkel 01/28/2011

__Signature of Date
Reporting Person

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) This grant was originally made for 50,000 options, of which 27,250 remain outstanding and are fully vested and exercisable.
- (2) These options are fully vested end exercisable.
- (3) Of the 20,000 outstanding options, 15,000 options are fully vested and exercisable, and the remaining 5,000 options are scheduled to vest on 3/29/2011.

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- (4) Of the 10,000 outstanding options, 7,500 options are fully vested and exercisable, and the remaining 2,500 options are scheduled to vest on 09/25/2011.
- (5) Of the 70,000 outstanding options, 35,000 options are fully vested and exercisable, and the remaining 35,000 options are scheduled to vest in two equal annual installments on 05/19/2011 and 5/19/2012.
- (6) Of the 75,000 outstanding options, 18,750 options are fully vested and exercisable, and the remaining 56,250 options are scheduled to vest in three equal annual installments 05/29/2011, 05/29/2012 and 05/29/2013.
- (7) Of the 80,000 outstanding options, 20,000 options are fully vested and exercisable, and the remaining 60,000 options are scheduled to vest in three equal annual installments on 07/27/2011, 07/27/2012 and 07/27/2013.

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.