

Rubicon Technology, Inc.

Form 4

November 26, 2007

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Parvez Raja M

(Last) (First) (Middle)

C/O RUBICON TECHNOLOGY  
INC., 9931 FRANKLIN AVENUE

(Street)

FRANKLIN PARK, IL 60131

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol

Rubicon Technology, Inc. [RBCN]

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

09/28/2007

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

President, CEO &amp; Director

6. 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 Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             | Code                                 | V                                                                          | Amount                                                                                                             | (D)                                                                  | Price                                                             |

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

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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<br>Derivative<br>Security | 2. Conversion<br>or Exercise | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any | 4. Transaction<br>Code | 5. Number of<br>Derivative Securities<br>Acquired (A) or | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Am<br>Underlying Secu<br>(Instr. 3 and 4) |
|---------------------------------------|------------------------------|-----------------------------------------|-----------------------------------------|------------------------|----------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------|
|---------------------------------------|------------------------------|-----------------------------------------|-----------------------------------------|------------------------|----------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------|

## Edgar Filing: Rubicon Technology, Inc. - Form 4

| (Instr. 3)                           | Price of<br>Derivative<br>Security | (Month/Day/Year) | (Instr. 8)<br>Code | Disposed of (D)<br>(Instr. 3, 4, and 5)<br>(A) (D) | Date<br>Exercisable | Expiration<br>Date | Title           | Ac-<br>quired<br>Share |
|--------------------------------------|------------------------------------|------------------|--------------------|----------------------------------------------------|---------------------|--------------------|-----------------|------------------------|
| Stock<br>Option<br>(Right to<br>Buy) | \$ 0.91                            | 09/28/2007       | G                  | 200,000                                            | 01/02/2006          | 07/11/2016         | Common<br>Stock | 2                      |
| Stock<br>Option<br>(Right to<br>Buy) | \$ 14                              | 11/21/2007       | A                  | 107,692                                            | <u>(1)</u>          | 11/21/2017         | Common<br>Stock | 1                      |

## Reporting Owners

| Reporting Owner Name / Address                                                                  | Relationships |           |                                 |       |
|-------------------------------------------------------------------------------------------------|---------------|-----------|---------------------------------|-------|
|                                                                                                 | Director      | 10% Owner | Officer                         | Other |
| Parvez Raja M<br>C/O RUBICON TECHNOLOGY INC.<br>9931 FRANKLIN AVENUE<br>FRANKLIN PARK, IL 60131 | X             |           | President,<br>CEO &<br>Director |       |

## Signatures

/s/ Scott Glickson,  
attorney-in-fact

11/26/2007

\_\_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) 53,446 options were immediately exercisable upon the closing of the initial public offering of Rubicon Technology, Inc. on November 21, 2007. The remaining options vest at the rate of 25% on each of the first four anniversaries of the date of grant.

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

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