

Rubicon Technology, Inc.  
Form 3  
September 23, 2014

**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 \*

Â Graffy Mardel A  
(Last) (First) (Middle)

C/O RUBICON TECHNOLOGY INC., Â 900 EAST GREEN ST., UNIT A

(Street)

BENSENVILLE, Â IL Â 60106

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)  
09/19/2014

3. Issuer Name and Ticker or Trading Symbol  
Rubicon Technology, Inc. [RBCN]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer  Other  
(give title below) (specify below)  
VP - Financial Operations

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

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 Beneficially Owned**

1. Title of Security (Instr. 4)

Common Stock

2. Amount of Securities Beneficially Owned (Instr. 4)

2,100

3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)

I

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Through Mardel Graffy Trust dated January 27, 2005

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

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership (Instr. 5)

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	Â (1)	01/30/2015	Common Stock	5,769	\$ 4.94	D	Â
Employee Stock Option (Right to Buy)	Â (2)	06/30/2016	Common Stock	1,923	\$ 0.78	D	Â
Employee Stock Option (Right to Buy)	Â (3)	06/17/2017	Common Stock	3,846	\$ 8.45	D	Â
Employee Stock Option (Right to Buy)	Â (4)	08/28/2017	Common Stock	7,692	\$ 8.45	D	Â
Employee Stock Option (Right to Buy)	Â (5)	12/02/2017	Common Stock	10,000	\$ 18.5	D	Â
Employee Stock Option (Right to Buy)	Â (6)	01/26/2019	Common Stock	30,000	\$ 4.01	D	Â
Employee Stock Option (Right to Buy)	Â (7)	06/22/2020	Common Stock	15,000	\$ 32.67	D	Â
Employee Stock Option (Right to Buy)	Â (8)	12/13/2021	Common Stock	15,000	\$ 10.19	D	Â
Restricted Stock Units	Â (9)	Â (9)	Common Stock	4,621	\$ (10)	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Graffy Mardel A C/O RUBICON TECHNOLOGY INC. 900 EAST GREEN ST., UNIT A BENSENVILLE, IL 60106	Â	Â	Â VP - Financial Operations	Â

## Signatures

/s/ Mardel A.  
Graffy

09/22/2014

\*\*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) Options vested in four equal annual installments beginning on January 31, 2006.
- (2) Options vested in four equal annual installments beginning on July 1, 2007.

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- (3) Options vested in four equal annual installments beginning on June 18, 2008.
- (4) Options vested in four equal annual installments beginning on August 29, 2008.
- (5) Options vested in four equal annual installments beginning on December 3, 2008.
- (6) Options vested in four equal annual installments beginning on February 27, 2010.
- (7) Options vest in four equal annual installments beginning on June 23, 2011.
- (8) Options vest in four equal annual installments beginning on December 14, 2012.
- (9) Restricted stock units vest in four equal annual installments beginning on November 1, 2014.
- (10) Each restricted stock unit represents a contingent right to receive one share of the Company's common stock.

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**Remarks:**

SeeÂ attachedÂ ExhibitÂ 24Â (PowerÂ ofÂ Attorney).

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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