

Rubicon Technology, Inc.

Form 3

September 23, 2014

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

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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)

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

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

(Check all applicable)

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

VP - Financial Operations

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

(Street)

BENSENVILLE,Â ILÂ 60106

(City)

(State)

(Zip)

6. Individual or Joint/Group  
Filing(Check Applicable Line)  
☒ Form filed by One Reporting  
Person  
☐ Form filed by More than One  
Reporting Person1. 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

2,100

I

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)

**Persons who respond to the collection of  
information contained in this form are not  
required to respond unless the form displays a  
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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 Security4. Conversion  
or Exercise5. Ownership  
Form of6. Nature of Indirect  
Beneficial Ownership  
(Instr. 5)

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

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                             |       |
|---|---------------|-----------|-----------------------------|-------|
|   | Director      | 10% Owner | Officer                     | Other |
| Graffy Mardel A<br>C/O RUBICON TECHNOLOGY INC.<br>900 EAST GREEN ST., UNIT A<br>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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