

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person* <u>Westphal Susan</u> (Last) (First) (Middle) C/O RUBICON TECHNOLOGY, INC. 900 EAST GREEN STREET, UNIT A (Street) BENSENVILLE IL 60106 (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>Rubicon Technology, Inc. [RBCN]</u>	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director 10% Owner Officer (give title below) Other (specify below)
	3. Date of Earliest Transaction (Month/Day/Year) <u>07/15/2020</u>	
4. If Amendment, Date of Original Filed (Month/Day/Year)		

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	07/15/2020		A		1,199	A	\$0	6,628	D	

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date						Title
Restricted Stock Units	(1)	07/16/2020		A		1,250		(2)	(2)	Common Stock	1,250	\$8	1,250	D	

Explanation of Responses:

- Each restricted stock unit ("RSU") represents a right to receive one share of the Company's common stock.
- RSUs vest on the day immediately preceding the day of the 2021 Annual Meeting of Stockholders.

/s/Timothy Brog, Attorney in Fact 09/14/2020

** Signature of Reporting Person Date

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

* 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).

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

X0306 4 2020-07-15 0 0001410172 Rubicon Technology, Inc. RBCN 0001701731 Westphal Susan C/O RUBICON TECHNOLOGY, INC. 900 EAST GREEN STREET, UNIT A BENSENVILLE IL 60106 1 0 0 0 Common Stock 2020-07-15 4 A 0 1199 0 A 6628 D Restricted Stock Units 2020-07-16 4 A 0 1250 8.00 A Common Stock 1250 1250 D Each restricted stock unit ("RSU") represents a right to receive one share of the Company's common stock. RSUs vest on the day immediately preceding the day of the 2021 Annual Meeting of Stockholders. /s/Timothy Brog, Attorney in Fact 2020-09-14