

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>Brog Timothy</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 <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) President and CEO
	3. Date of Earliest Transaction (Month/Day/Year) 10/19/2020	
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	10/19/2020		M		17,280 <sup>(1)</sup>	A	\$0	92,280	D	
Common Stock	10/19/2020		F		5,280 <sup>(2)</sup>	D	\$8.5	87,000	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		Date Exercisable	Expiration Date					

Explanation of Responses:

- On October 19, 2020, Mr. Brog was granted 17,280 shares of Rubicon Technology, Inc. restricted common stock as part of his 2019 Objective Bonus.
- As permitted under the Company's 2016 Equity Incentive Plan, on October 20, 2020, the Company withheld 5,280 shares of common stock from the reporting person to pay certain FICA, Medicare, Income Withholding and other taxes in connection with the granting of the restricted common stock.

/s/ Timothy E. Brog 10/20/2020  
 \*\* 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 2020-10-19 0 0001410172 Rubicon Technology, Inc. RBCN 0001374187 Brog Timothy C/O RUBICON TECHNOLOGY, INC. 900 EAST GREEN STREET, UNIT A BENSENVILLE IL 60106 1 1 0 0 President and CEO Common Stock 2020-10-19 4 M 0 17280 0 A 92280 D Common Stock 2020-10-19 4 F 0 5280 8.50 D 87000 D On October 19, 2020, Mr. Brog was granted 17,280 shares of Rubicon Technology, Inc. restricted common stock as part of his 2019 Objective Bonus. As permitted under the Company's 2016 Equity Incentive Plan, on October 20, 2020, the Company withheld 5,280 shares of common stock from the reporting person to pay certain FICA, Medicare, Income Withholding and other taxes in connection with the granting of the restricted common stock. /s/ Timothy E. Brog 2020-10-20