

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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>Lusardi Kevin Timothy</u> (Last) (First) (Middle) <u>124 RITCH AVE W APT 104B</u> (Street) <u>GREENWICH CT 06830</u> (City) (State) (Zip)	2. Date of Event Requiring Statement (Month/Day/Year) <u>03/17/2021</u>	3. Issuer Name and Ticker or Trading Symbol <u>Rubicon Technology, Inc. [RBCN]</u>	
		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) <u>Chief Financial Officer</u>	5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> 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)	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)
<u>Common Stock</u>	<u>0</u>	<u>D</u>	

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 (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date				
<u>Restricted Stock Unit</u>	<u>(1)</u>	<u>03/17/2024</u>	<u>Common Stock</u> <u>9,000</u>	<u>(2)</u>	<u>D</u>	

Explanation of Responses:

1. One third of such units will vest if prior to March 17, 2024 the 15-trading day average closing price of the Company's common stock is greater than or equal to the target prices of \$11.00, \$12.50 and \$14.00, respectively.

2. Each restricted stock unit represents a contingent right to receive one share of the Company's common stock.

/s/ Kevin T. Lusardi

03/19/2021

** 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 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).

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.

X0206 3 2021-03-17 0 0001410172 Rubicon Technology, Inc. RBCN 0001848529 Lusardi Kevin Timothy 124 RITCH AVE W APT 104B GREENWICH CT 06830 0 1 0 0 Chief Financial Officer Common Stock 0 D Restricted Stock Unit 2024-03-17 Common Stock 9000 D One third of such units will vest if prior to March 17, 2024 the 15-trading day average closing price of the Company's common stock is greater than or equal to the target prices of \$11.00, \$12.50 and \$14.00, respectively. Each restricted stock unit represents a contingent right to receive one share of the Company's common stock. /s/ Kevin T. Lusardi 2021-03-19