

Rubicon Technology, Inc.  
Form 4  
November 26, 2007

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

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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 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 \*  
MIKOLAJCZYK MICHAEL E

(Last) (First) (Middle)

C/O RUBICON TECHNOLOGY INC., 9931 FRANKLIN AVENUE

(Street)

FRANKLIN PARK, IL 60131

(City) (State) (Zip)

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

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/21/2007

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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 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 Ownership (Instr. 4)
			Code	V	Amount (A) or Price (D)		
Common Stock	11/21/2007		C		13,618 A 11 13,618	D	
Common Stock	11/21/2007		C		26,345 A 11 39,963	D	
Common Stock	11/21/2007		C		9,438 A 11 49,401	D	
Common Stock	11/21/2007		C		11,766 A 11 61,185	D	
Common Stock	11/21/2007		A		7,142 A \$ 0 68,327	D	

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Common Stock	11/21/2007	A	14,200	A	\$ 14	82,527	D	
Common Stock	11/21/2007	A	700	A	\$ 14	83,227	I <sup>(2)</sup>	By son Mark Mikolajczyk

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

**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 control number.** SEC 1474 (9-02)

**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 Underlying Securities (Instr. 3 and 4)	Amount or Number of Shares
				Code	V (A) (D)	Date Exercisable Expiration Date	Title	
Series A Convertible Preferred	<u>(1)</u>	11/21/2007		C	18,802	<u>(1)</u> <u>(1)</u>	Common Stock	13,618
Series C-2 Convertible Preferred	<u>(1)</u>	11/21/2007		C	189,953	<u>(1)</u> <u>(1)</u>	Common Stock	26,345
Series D-2 Convertible Preferred	<u>(1)</u>	11/21/2007		C	60,153	<u>(1)</u> <u>(1)</u>	Common Stock	9,438
Series E Convertible Preferred	<u>(1)</u>	11/21/2007		C	130,285	<u>(1)</u> <u>(1)</u>	Common Stock	11,766

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
MIKOLAJCZYK MICHAEL E C/O RUBICON TECHNOLOGY INC. 9931 FRANKLIN AVENUE FRANKLIN PARK, IL 60131	X			

## Signatures

/s/ Scott Glickson,  
attorney-in-fact

11/26/2007

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* 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).

- The preferred stock is immediately convertible. Each share of preferred stock converted automatically into common stock upon the closing of the issuer's initial public offering according to the following ratios: each Series A Convertible Preferred Share on a one-to-0.5536 ratio, each Series C-2 Convertible Preferred Share on a one-to-0.1009 ratio, each Series D-2 Convertible Preferred Share on a one-to-0.1256 ratio, and each Series E Convertible Preferred on a one-to-0.0769 ratio. Amounts shown include shares of common stock issuable upon such conversion in exchange for accrued dividends on the preferred stock at the following rates: Series A at \$9.6083 per share, Series C-2 at \$7.5595 per share, Series D-2 at \$6.6690 per share, and Series E at \$3.6478 per share.
- (1)
  - (2) Consists of shares of Common Stock held by the Reporting Person's son, Mark Mikolajczyk. The Reporting Person disclaims beneficial ownership of these shares.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.