

Rubicon Technology, Inc.  
Form 4  
March 25, 2014

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
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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 \*  
**CROSS ATLANTIC CAPITAL PARTNERS II INC**

(Last) (First) (Middle)

**FIVE RADNOR CORPORATE CENTER, SUITE 555, 100 MATSONFORD ROAD**

(Street)

**RADNOR, PA 19087**

(City) (State) (Zip)

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

3. Date of Earliest Transaction  
(Month/Day/Year)  
**03/24/2014**

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

6. Individual or Joint/Group Filing(Check Applicable Line)

\_\_\_ Form filed by One Reporting Person  
\_X\_ 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 Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
| Common Stock                    | 03/24/2014                           |  | S                              | V<br>Amount<br>2,500,000<br>(1) (2)                               | (A)<br>or<br>(D)<br>Price<br>\$ 2,217,851 (1)<br>12.42 (3)                                    | D  |  |

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

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(9-02)

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

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| 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) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Owned Following Transaction (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                                      | Amount or Number of Shares  |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |         |       |
|--|---------------|-----------|---------|-------|
|  | Director      | 10% Owner | Officer | Other |
| CROSS ATLANTIC CAPITAL PARTNERS II INC<br>FIVE RADNOR CORPORATE CENTER, SUITE 555<br>100 MATSONFORD ROAD<br>RADNOR, PA 19087 |               | X         |         |       |
| CROSS ATLANTIC TECHNOLOGY FUND II LP<br>FIVE RADNOR CORPORATE CENTER, SUITE 555<br>100 MATSONFORD ROAD<br>RADNOR, PA 19087   |               | X         |         |       |
| XATF MANAGEMENT II LP<br>FIVE RADNOR CORPORATE CENTER, SUITE 555<br>100 MATSONFORD ROAD<br>RADNOR, PA 19087                  |               | X         |         |       |
| CO INVESTMENT 2000 FUND LP<br>FIVE RADNOR CORPORATE CENTER, SUITE 555<br>100 MATSONFORD ROAD<br>RADNOR, PA 19087             |               | X         |         |       |
| Co-Invest Management LP<br>FIVE RADNOR CORPORATE CENTER, SUITE 555<br>100 MATSONFORD ROAD<br>RADNOR, PA 19087                |               | X         |         |       |
| Co-Invest Capital Partners Inc<br>FIVE RADNOR CORPORATE CENTER, SUITE 555<br>100 MATSONFORD ROAD<br>RADNOR, PA 19087         |               | X         |         |       |

## Signatures

/s/ Donald R.  
Caldwell

03/25/2014

\*\*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).

- Consists of shares held by Cross Atlantic Technology Fund II, L.P. and The Co-Investment 2000 Fund, L.P. Donald R. Caldwell, a director of the issuer, is a director, shareholder and officer of Cross Atlantic Capital Partners II, Inc., which is the general partner of
- (1) XATF Management II, L.P., which is the general partner of Cross Atlantic Technology Fund II, L.P. Donald R. Caldwell is a shareholder, director and officer of Co-Invest Capital Partners, Inc., which is the general partner of Co-Invest Management, L.P., which is the general partner of The Co-Investment 2000 Fund, L.P.
  - (2) As part of the issuer's secondary offering, Cross Atlantic Technology Fund II, L.P. sold 1,182,500 shares of its common stock and The Co-Investment 2000 Fund L.P. sold 1,317,500 shares of its common stock.
  - (3) After the sale of shares in the issuer's secondary offering, Cross Atlantic Technology Fund II, L.P. holds 1,047,698 shares of common stock and The Co-Investment 2000 Fund, L.P. holds 1,170,153 shares of common stock.

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.