Rubicon Technology, Inc. Form 4

May 14, 2008

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

2005

0.5

January 31, Expires:

**OMB APPROVAL** 

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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

1(b).

(Last)

(Print or Type Responses)

See Instruction

1. Name and Address of Reporting Person \* Cross Atlantic Capital Partners, Inc.

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

(First)

Rubicon Technology, Inc. [RBCN]

(Check all applicable)

FIVE RADNOR CORPORATE

(Street)

(State)

05/12/2008

**CENTER. SUITE 555. 100** MATSONFORD ROAD

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

05/12/2008

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

(Zip)

(Middle)

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

Form filed by One Reporting Person \_X\_ Form filed by More than One Reporting

Person

**RADNOR, PA 19087** 

(City)

Stock

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

3. 4. Securities Acquired (A) Transaction Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

(1)(2)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 5. Amount of 6. Securities Ownership Beneficially Form: Owned Direct (D)

7. Nature of Indirect Beneficial Ownership

(Instr. 4)

(Month/Day/Year)

S

Reported (I) (A) Transaction(s) (Instr. 3 and 4)

**Following** 

(Instr. 4)

or Indirect

Code V Common

or (D) Price Amount 2,053,852

D

22.77

5,952,073 (1)

See Footnote (1)

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

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**SEC 1474** (9-02)

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

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9. Nu Deriv Secur Bene Own

Follo Repo Trans (Insti

1. Title of	2.	3. Transaction Date		4.	5.	6. Date Exerc			le and	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transact	ionNumber	Expiration D	ate	Amou	unt of	Derivative
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Unde	rlying	Security
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Secur	rities	(Instr. 5)
	Derivative		•	, , ,	Securities			(Instr	. 3 and 4)	,
	Security				Acquired					
					(A) or					
					Disposed					
					of (D)					
					(Instr. 3,					
					4, and 5)					
									Amount	
							Expiration	of		
							Date		Number	
				Code V	(A) (D)				Shares	

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
Reporting Owner Funder Funders	Director	10% Owner	Officer	Other		
Cross Atlantic Capital Partners, Inc. FIVE RADNOR CORPORATE CENTER, SUITE 555 100 MATSONFORD ROAD RADNOR, PA 19087		X				
CROSS ATLANTIC TECHNOLOGY FUND L P FIVE RADNOR CORPORATE CENTER, SUITE 555 100 MATSONFORD ROAD RADNOR, PA 19087		X				
XATF Management, L.P. FIVE RADNOR CORPORATE CENTER, SUITE 555 100 MATSONFORD ROAD RADNOR, PA 19087		X				
CROSS ATLANTIC TECHNOLOGY FUND II LP FIVE RADNOR CORPORATE CENTER, SUITE 555 100 MATSONFORD ROAD RADNOR, PA 19087		X				
XATF MANAGEMENT II LP FIVE RADNOR CORPORATE CENTER, SUITE 555 100 MATSONFORD ROAD RADNOR, PA 19087		X				
CROSS ATLANTIC CAPITAL PARTNERS II INC FIVE RADNOR CORPORATE CENTER, SUITE 555 100 MATSONFORD ROAD RADNOR, PA 19087		X				
CO INVESTMENT 2000 FUND LP FIVE RADNOR CORPORATE CENTER, SUITE 555 100 MATSONFORD ROAD		X				

Reporting Owners 2

X

X

RADNOR, PA 19087

Co-Invest Management LP

FIVE RADNOR CORPORATE CENTER, SUITE 555

100 MATSONFORD ROAD

RADNOR, PA 19087

Co-Invest Capital Partners Inc

FIVE RADNOR CORPORATE CENTER, SUITE 555

100 MATSONFORD ROAD

RADNOR, PA 19087

## **Signatures**

/s/ Scott Glickson, attorney-in-fact 05/14/2008

\*\*Signature of Reporting Person Date

/s/ Scott Glickson, attorney-in-fact 05/14/2008

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/s/ Scott Glickson, 05/14/2008

attorney-in-fact

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/s/ Scott Glickson, attorney-in-fact 05/14/2008

\*\*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).
- (1) Consists of shares held by Cross Atlantic Technology Fund, L.P., Cross Atlantic Technology Fund, II, L.P., and/or The Co-Investment 2000 Fund, L.P. Donald R. Caldwell, a director of the issuer, is the owner and director of Cross Atlantic Capital Partners, Inc., which is

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the general partner of XATF Management, L.P., which is the general partner of Cross Atlantic Technology Fund, L.P. Donald R. Caldwell is a director, shareholder and officer of Cross Atlantic Capital Partners II, Inc., which is the general partner of 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.

- As part of the issuer's secondary offering, Cross Atlantic Technology Fund, L.P. sold 243,901 shares of its common stock, Cross Atlantic (2) Technology Fund II, L.P. sold 851,558 shares of its common stock and The Co-Investment 2000 Fund, L.P. sold 958,393 shares of its common stock.
- After the sale of shares in the issuer's secondary offering, Cross Atlantic Technology Fund, L.P. holds 735,489 shares of common stock, (3) Cross Atlantic Technology Fund II, L.P. holds 2,465,951 shares of common stock and The Co-Investment 2000 Fund, L.P. holds 2,750,633 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.