#### ALIGN TECHNOLOGY INC

Form 4

February 23, 2017

## FORM 4

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

OMB 3235-0287 Number:

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005

0.5

**OMB APPROVAL** 

Form 4 or Form 5 obligations may continue.

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

Estimated average burden hours per response...

See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

2. Issuer Name and Ticker or Trading

Issuer

**Beard Simon** 

ALIGN TECHNOLOGY INC

(Check all applicable)

5. Relationship of Reporting Person(s) to

[ALGN]

(Month/Day/Year)

Symbol

(Last)

(City)

(Middle)

(Zin)

3. Date of Earliest Transaction

Director 10% Owner X\_ Officer (give title

C/O ALIGN TECHNOLOGY

(State)

(First)

Other (specify below)

VP and Mgng Director, EMEA

02/20/2017 INC., 2560 ORCHARD PARKWAY

> (Street) 4. If Amendment, Date Original

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

Filed(Month/Day/Year)

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

SAN JOSE, CA 95131

(City)	(State)	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Own							
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)		sed of	` '	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)
Common Stock	02/20/2017	02/20/2017	M	2,125	A	\$ 0	4,669	D	
Common Stock	02/20/2017	02/20/2017	F	774	D	\$ 101.765	3,895	D	

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

### Edgar Filing: ALIGN TECHNOLOGY INC - Form 4

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

1. Title of Derivativ Security (Instr. 3)		3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of orDerivative 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)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Restrict Stock U		02/20/2017	02/20/2017	M		2,125	(2)	(2)	Common Stock	2,125
Restrict Stock U		02/20/2017	02/20/2017	A	6,000		(3)	(3)	Common Stock	6,000
Market Stock U	\$ 0.0001 Jnit (1)	02/20/2017	02/20/2017	A	12,000		<u>(4)</u>	<u>(4)</u>	Common Stock	12,000

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Beard Simon

C/O ALIGN TECHNOLOGY INC. 2560 ORCHARD PARKWAY SAN JOSE, CA 95131

VP and Mgng Director, EMEA

## **Signatures**

Roger E. George Atty-in-Fact for Simon Beard

02/22/2017

\*\*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) Represents par value of ALGN common stock.
- 1/4th of the restricted stock unit granted on February 20, 2016 became vested on February 20, 2017 and shares were delivered to(2) reporting person on February 21, 2017. 1/4th of the restricted stock unit will continue to vest annually and shares will be delivered to reporting person on each vest date.
- 1/4th of the restricted stock unit granted on February 20, 2017 will become vested on February 20, 2018 and shares will be delivered to reporting person on such vest date. 1/4th of the restricted stock unit will vest annually and shares will be delivered to reporting person on each vest date.
- (4) Represents the maximum number of shares which may be issued under the market stock unit. All of the shares which may be issued under the market stock unit will vest on the last day of the third year of the Performance Period (as defined in the market stock unit agreement).

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.

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