

## **ALIGN TECHNOLOGY INC**

# Reported by **PRESCOTT THOMAS M**

#### FORM 4

(Statement of Changes in Beneficial Ownership)

### Filed 05/18/17 for the Period Ending 05/17/17

Address 2560 ORCHARD PARKWAY

SAN JOSE, CA 95131

Telephone 4087381500

CIK 0001097149

Symbol ALGN

SIC Code 3842 - Orthopedic, Prosthetic, and Surgical Appliances and Supplies

Industry Medical Equipment, Supplies & Distribution

Sector Healthcare

Fiscal Year 12/31





[] Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).

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

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### STATEMENT OF CHANGES IN 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 *				2. Issuer Name <b>and</b> Ticker or Trading Symbol									5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
THOMA	AS M		Al	LIG	SN TE	CHNO	LOC	GY I	NC	<b>A</b>	LGN		•	incubic)				
(Last) (First) (Middle)				3. Date of Earliest Transaction (MM/DD/YYYY)							)		X Director 10% Owner Officer (give title below) Other (specify below)					
		INC, 25	560			5/1	7/20	)17										
(Stre	et)		4. ]	If Aı	nendme	nt, Date (	Origir	nal Fi	led (M	M/DI	D/YYYY	7) 6	5. Individual o	or Joint/G	roup Filing	(Check Appl	icable Line)	
		)										-				'erson		
	,	Table I - N	on-Dei	ivat	ive Secu	urities Ac	quir	ed, D	ispose	d o	f, or B	enef	ficially Owne	ed				
1.Title of Security (Instr. 3) 2. Trans. I			ans. Date	Exec	cution	3. Trans. C (Instr. 8)	or Disposed of (D		of (Ď)	D) Fo		Following Reported Transaction(s)			6. 7. Nature of Indirect Beneficial			
						Code	V	Amor			Price						Ownership (Instr. 4)	
		5/1′	7/2017	5/1	7/2017	M		5000	0	A	\$0		1	56381		D		
Tabl	e II - Deri	vative Seci	urities l	Bene	eficially	Owned (	e.g.	, puts	s, calls	, wa	arrants	s, op	ptions, conve	rtible sec	urities)			
2. Conversion or Exercise Price of Derivative	3. Trans. Date	Execution	Code	Derivative So Acquired (A) Disposed of		e Securities (A) or of (D)	Securities Expira A) or of (D)				Securities U Derivative S		derlying curity	Derivative Security (Instr. 5)	derivative Securities Beneficially Owned	10. Ownership Form of Derivative Security:	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
Security			Code	v	Exer		Date Exerc	cisable	sable Expiration Date		Title		Number of		Reported	or Indirect		
\$0.0001 (1)	5/17/2017	5/17/2017	M			5000	<u>(</u>	<u>(2)</u>	(2)		Commo Stock	on	5000	\$0	0	D		
\$0.0001 (1)	5/17/2017	5/17/2017	A		3115		9	(3)	(3)		Commo	on	3115	\$0	3115	D		
	THOMA (First) TECHN PARKW (Stre CA 9513: ity) (Sta  Tabl  2. Conversion or Exercise Price of Derivative Security  \$0.0001 (1)	THOMAS M  (First) (Mic  TECHNOLOGY PARKWAY  (Street)  CA 95131  (ity) (State) (Zip  Table II - Deriv  2. (Conversion or Exercise Price of Derivative Security  S0.0001 (1) 5/17/2017	THOMAS M	THOMAS M	THOMAS M	THOMAS M	THOMAS M  (First) (Middle)  3. Date of Earliest Trans  TECHNOLOGY INC, 2560 PARKWAY  (Street)  4. If Amendment, Date (CA 95131 ity) (State)  (State)  Table I - Non-Derivative Securities Accurate Execution Date, if any  Table II - Derivative Securities Beneficially Owned (Instr. 8)  Table II - Derivative Securities Beneficially Owned (Instr. 8)  Table II - Derivative Securities Beneficially Owned (Instr. 8)  Conversion or Exercise Price of Derivative Security  Security  Code V (A) (D)  S0.0001 (1) 5/17/2017 5/17/2017 M	THOMAS M  (First) (Middle)  3. Date of Earliest Transactio  TECHNOLOGY INC, 2560 PARKWAY  (Street)  4. If Amendment, Date Origin  CA 95131  (ity) (State) (Zip)  Table I - Non-Derivative Securities Acquir  2. Trans. Date Execution Date, if any  Table II - Derivative Securities Beneficially Owned (e.g.  2. Conversion or Exercise Price of Derivative Security  ALIGN TECHNOLOGY  5/17/20  5/17/20  4. If Amendment, Date Origin  3. Trans. Code (Instr. 8)  Code V  Code V  (Instr. 8)  Code V  (Instr. 3)  Code V  (A) (D)  So.0001 (1) 5/17/2017 M  Source  Code V  (A) (D)  Source  Code V  (A) (D)  Source  Code V  (A) (D)	ALIGN TECHNOLOGY INC, 2560 PARKWAY  (Street)  Table I - Non-Derivative Securities Acquired, D  Table II - Derivative Securities Beneficially Owned (e.g., puts)  Table II - Derivative Securities Beneficially Owned (e.g., puts)  Table II - Derivative Securities Beneficially Owned (e.g., puts)  Conversion or Exercise Price of Derivative Security  Sound III   5/17/2017   5/17/201	ALIGN TECHNOLOGY INC   3. Date of Earliest Transaction (MM/DD/YY   5/17/2017   4. If Amendment, Date Original Filed (MI   5/17/2017   5/17	THOMAS M  (First) (Middle)  3. Date of Earliest Transaction (MM/DD/YYYY  TECHNOLOGY INC, 2560 PARKWAY  (Street)  CA 95131  (ity) (State) (Zip)   Table I - Non-Derivative Securities Acquired, Disposed of Execution Date, if any  Solution of Exercise Price of Derivative Securities Acquired (A) and Execution Date, if any  Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, was acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)  Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, was acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)  Solution of Exercise Price of Derivative Securities Date  Code V (A) (D)  Solution (MM/DD/YYYY)  4. If Amendment, Date Original Filed (MM/DI (MM/DI)  Solution (MM/DD/YYYY)  4. If Amendment, Date Original Filed (MM/DI)  Solution (MM/DD/YYYY)  4. If Amendment, Date Original Filed (MM/DI)  Solution (MM/DD/YYYY)  4. If Amendment, Date Original Filed (MM/DI)  Solution (MM/DD/YYYY)  4. If Amendment, Date Original Filed (MM/DI)  Solution (MM/DD/YYYY)  4. If Amendment, Date Original Filed (MM/DI)  Solution (MM/DD/YYYY)  4. If Amendment, Date Original Filed (MM/DI)  Solution (MM/DD/YYYY)  4. If Amendment, Date Original Filed (MM/DI)  Solution (MM/DD/YYYY)  4. If Amendment, Date Original Filed (MM/DI)  Solution (	ALIGN TECHNOLOGY INC [ ALGN  (First) (Middle) 3. Date of Earliest Transaction (MM/DD/YYYY)  TECHNOLOGY INC, 2560  PARKWAY  (Street) 4. If Amendment, Date Original Filed (MM/DD/YYYY)  CA 95131  ity) (State) (Zip)  Table I - Non-Derivative Securities Acquired, Disposed of, or B  2. Trans. Date Execution Date, if any  2. Trans. Date State of Code V Amount (A) or Disposed of (D) (Instr. 3, 4 and 5)  Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants)  2. Conversion or Exercise Price of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)  Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants)  2. Conversion or Exercise Date Execution Date (Instr. 8)  Date Exercisable and 7. Title acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)  Code V (A) (D)  Date Expiration Date Securities Code (Instr. 3, 4 and 5)  Title So.0001 (1) 5/17/2017 5/17/2017 M 5000 (2) (2) Commu Stock	ALIGN TECHNOLOGY INC [ ALGN ]  (First) (Middle) 3. Date of Earliest Transaction (MM/DD/YYYY)  TECHNOLOGY INC, 2560 PARKWAY  (Street) 4. If Amendment, Date Original Filed (MM/DD/YYYY) 6  CA 95131  ity) (State) (Zip)  Table I - Non-Derivative Securities Acquired, Disposed of, or Bene  2. Trans. Date Execution Date, if any 2  Solution State Securities Acquired (A) or Disposed of (D) (Instr. 8) (I	ALIGN TECHNOLOGY INC [ ALGN ]  (First) (Middle) 3. Date of Earliest Transaction (MM/DD/YYYY) 5. Director Officer (given to the part of the	ALIGN TECHNOLOGY INC [ ALGN ]  (First) (Middle)  3. Date of Earliest Transaction (MM/DD/YYYY)  TECHNOLOGY INC, 2560  S/17/2017  ALIGN TECHNOLOGY INC [ ALGN ]  X _ Director	ALIGN TECHNOLOGY INC [ ALGN ]  (First) (Middle)  TECHNOLOGY INC, 2560  TECHNOLOGY INC, 2560  TECHNOLOGY INC, 2560  S/17/2017  A. If Amendment, Date Original Filed (MM/DD/YYYY)  (Street)  A. If Amendment, Date Original Filed (MM/DD/YYYY)  (State)  (A. If Amendment, Date Original Filed (MM/DD/YYYY)  (State)  Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned    2. Trans. Date   2. A. Deemed   2. Trans. Date   2. A. Deemed   2. Trans. Date   2. A. Deemed   3. Trans. Code   4. Securities Acquired (A)   (Instr. 8)   (Instr. 3. 4 and 5)    5/17/2017	ALIGN TECHNOLOGY INC [ ALGN ]  ALIGN TECHNOLOGY INC [ ALGN ]  S. Date of Earliest Transaction (MM/DD/YYYY)  GStreet)  4. If Amendment, Date Original Filed (MM/DD/YYYY)  (State)  4. If Amendment, Date Original Filed (MM/DD/YYYYY)  (State)  4. If Amendment, Date Original Filed (MM/DD/YYYYY)  (State)  5/17/2017  Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned  2. Trans. Date  2. Trans. Date  2. Trans. Date  Execution  Date, if any  5/17/2017  M Soud A So Is6381  D  Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)  2. Conversion or Exercise Price of Derivative Securities  3. Trans. Code  Code  V Amount (A) or (D) Price  Code  Code  V Amount of Securities Denficially Owned (e.g., puts, calls, warrants, options, convertible securities)  3. Trans. Code  Code  Code  V Amount of Securities Denficially Owned  Conversion Date, if any  Direvative Securities Denficially Owned (e.g., puts, calls, warrants, options, convertible securities)  3. Trans. Code  Code  V Amount of Securities Denficially Owned  (A) or (D) Price  Security  Derivative Securities  Security  Derivative Securities  Securities  Securities  Securities  Securities  Derivative Securities  Following Reported Transaction(s)  Ownership  Derivative Securities  Securities	

#### **Explanation of Responses:**

- (1) Represents par value of ALGN common stock
- (2) 100% of the restricted stock unit granted on May 18, 2016 became vested on May 17, 2017 and shares were delivered to reporting person on May 17, 2017.
- (3) 100% of the restricted stock unit will become vested upon the earlier of (1) one year after the date of grant or (2) the date of issuer's annual meeting of stockholders to be held in 2018. Shares will be delivered to reporting person on the vest date.

**Reporting Owners** 

Reporting Owner Name / Address	Relationships							
Reporting Owner Name / Address	Director	10% Owner	Officer	Other				
PRESCOTT THOMAS M C/O ALIGN TECHNOLOGY INC 2560 ORCHARD PARKWAY SAN JOSE, CA 95131	X							

#### **Signatures**

Roger E. George Atty-in-Fact for Thomas M. Prescott

\*\*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 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).

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 control number.