

ALIGN TECHNOLOGY INC  
Form 4  
December 21, 2016

**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 \*  
Kolli Sreelakshmi

2. Issuer Name and Ticker or Trading Symbol  
ALIGN TECHNOLOGY INC  
[ALGN]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

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

C/O ALIGN TECHNOLOGY INC., 2560 ORCHARD PARKWAY

12/20/2016

VP, Info Technology

(Street)

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

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

SAN JOSE, CA 94131

Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D) Code V Amount (D) Price                                |   |  |                                   |
| Common Stock                    | 12/20/2016                           | 12/20/2016   | M                              | 1,803 A \$ 0  | 17,902  | D  |                                   |
| Common Stock                    | 12/20/2016                           | 12/20/2016   | F                              | 796 D \$ 99.39  | 17,106  | D  |                                   |
| Common Stock                    |                                      |  |                                |   | 2,400   | I  | Held jointly with spouse          |

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) | 8. Pr Deriv Secur (Instr |                            |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------------------|----------------------------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                    | Amount or Number of Shares |
| Restricted Stock Unit                      | \$ 0.0001<br>(1)                                       | 12/20/2016                           | 12/20/2016   | M                              | 1,250   | (2)  | (2)   | Common Stock             | 1,250                      |
| Restricted Stock Unit                      | \$ 0.0001<br>(1)                                       | 12/20/2016                           | 12/20/2016   | M                              | 553   | (3)  | (3)   | Common Stock             | 553                        |

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

Kolli Sreelakshmi  
C/O ALIGN TECHNOLOGY INC.  
2560 ORCHARD PARKWAY  
SAN JOSE, CA 94131

VP, Info Technology

## Signatures

Roger E George Atty-in-Fact for Sreelakshmi  
Kolli

12/21/2016

\_\_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
- (2) 1/4th of the restricted stock unit granted on January 3, 2013 became vested on December 20, 2016 and shares were delivered to reporting person.
- (3) 1/4th of the restricted stock unit granted on December 20, 2013 became vested on December 20, 2016 and shares were delivered to reporting person. The restricted stock unit will continue to vest annually and shares will be delivered to reporting person on each vest

## Edgar Filing: ALIGN TECHNOLOGY INC - Form 4

date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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