

ALIGN TECHNOLOGY INC  
Form 3  
July 31, 2015

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

## INITIAL STATEMENT OF 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 \*

Â Tay Julie

(Last) (First) (Middle)

ALIGN TECHNOLOGY,  
INC.,Â 2560 ORCHARD  
PARKWAY

(Street)

SAN JOSE,Â CAAÂ 95131

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

07/22/2015

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

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

\_\_\_ Director \_\_\_ 10% Owner

☒ Officer \_\_\_ Other  
(give title below) (specify below)

VP, Asia Pacific

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person

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

### Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security  
(Instr. 4)

2. Amount of Securities Beneficially Owned  
(Instr. 4)

3. Ownership Form:  
Direct (D)  
or Indirect (I)  
(Instr. 5)

4. Nature of Indirect Beneficial Ownership  
(Instr. 5)

Common Stock

2,500

D Â

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

SEC 1473 (7-02)

**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.**

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

1. Title of Derivative Security  
(Instr. 4)

2. Date Exercisable and Expiration Date  
(Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security  
(Instr. 4)

4. Conversion or Exercise Price of Derivative

5. Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership  
(Instr. 5)

## Edgar Filing: ALIGN TECHNOLOGY INC - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Unit	Â (1)	Â (1)	Common Stock	6,000	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (3)	Â (3)	Common Stock	3,750	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (4)	Â (4)	Common Stock	3,370	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (5)	Â (5)	Common Stock	5,260	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (6)	Â (6)	Common Stock	5,920	\$ 0.0001 (2)	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Tay Julie ALIGN TECHNOLOGY, INC. 2560 ORCHARD PARKWAY SAN JOSE, CA 95131	Â	Â	Â VP, Asia Pacific	Â

## Signatures

Roger E. George Atty-in-Fact for Julie Tay 07/31/2015

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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) 1/4th of restricted stock unit granted on April 1, 2013 becomes vested and exercisable annually on the anniversary of the grant date, provided that reporting person is a service provider to the Company on each vest date. Vested shares are delivered to reporting on each vest date.
  - (2) Represents par value of ALGN common stock.
  - (3) 1/4th of the restricted stock unit granted on November 20, 2013 becomes vested and exercisable annually on the anniversary of the grant date, provided the reporting person is a service provider to the Company on each vest date. Vested shares are delivered to reporting person on each vest date.
  - (4) 1/4th of the restricted stock unit granted on February 20, 2014 becomes vested and exercisable annually on the anniversary of the grant date, provided that reporting person is a service provider to the Company on each vest date. Vested shares are delivered to the reporting person on each vest date.
  - (5) 1/3rd of the restricted stock unit granted on February 20, 2014 became vested and exercisable on the second anniversary of the grant date and 2/3rd of the restricted stock unit will vest on the third anniversary of the grant date, provided that reporting person is a service provider to the Company on each vest date. Vested shares are delivered to reporting person on each vest date.
  - (6) 1/4th of the restricted stock unit granted on February 20, 2015 will vest and become exercisable annually on the anniversary of the grant date, provided that reporting person is a service provider to the Company on each vest date. Vested shares will be delivered to reporting

## Edgar Filing: ALIGN TECHNOLOGY INC - Form 3

person on each vest date.

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.