

ALIGN TECHNOLOGY INC

Form 3

November 15, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 Kolli Sreelakshmi

(Last) (First) (Middle)

C/O ALIGN TECHNOLOGY
INC.,Â 2560 ORCHARD
PARKWAY

(Street)

SAN JOSE,Â CAAÂ 94131

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

11/07/2016

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, Info Technology

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 Owned1. 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

16,099

D Â

Common Stock

2,400

I Jointly with spouse

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

SEC 1473 (7-02)

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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

4. Conversion or Exercise

5. Ownership Form of

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

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	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	
Restricted Stock Unit	Â (1)	Â (1)	Common Stock	1,250	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (3)	Â (3)	Common Stock	2,350	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (4)	Â (4)	Common Stock	1,106	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (5)	Â (5)	Common Stock	4,140	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (6)	Â (6)	Common Stock	2,598	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (7)	Â (7)	Common Stock	5,460	\$ 0.0001 (2)	D	Â
Restricted Stock Unit	Â (8)	Â (8)	Common Stock	7,609	\$ 0.0001 (2)	D	Â

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	Â	Â	Â VP, Info Technology	Â

Signatures

Roger E George Atty-in-Fact for Sreelakshmi
Kolli 11/14/2016

__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).

This restricted stock unit was granted on January 2, 2013, and a portion of the restricted stock unit vested prior to the date reporting person became subject to Section 16. These shares will become vested on December 20, 2016 provided that reporting person is a service provider to the Company on such vest date, and shares will be delivered to reporting person on such vest date.

(2) Represents par value of ALGN Common Stock

This restricted stock unit was granted on February 20, 2013, and a portion of the restricted stock unit vested prior to the date reporting person became subject to Section 16. These shares will become vested on February 20, 2107, provided that reporting person is a service provider to the Company on such vest date, and shares will be delivered to reporting person on such vest date.

(4)

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This restricted stock unit was granted on December 20, 2013 and portion of the restricted stock unit became subject to Section 16. One-half of the shares noted in column 3 will become vested on December 20, 2106, provided that reporting person is a service provider to the Company on such vest date, and shares will be delivered to reporting person on such vest date. The remaining shares will vest on December 20, 2017 and shares will be delivered to reporting person on such vest date.

- (5) This restricted stock unit was granted on February 20, 2014, and a portion of the restricted stock unit vested prior to the date reporting person became subject to Section 16. One-half of the shares noted in column 3 will become vested on February 20, 2017, provided that reporting person is a service provider to the Company on such vest date, and shares will be delivered to reporting person on such vest date. The remaining shares will vest on February 20, 2018 and shares will be delivered to reporting person on such vest date.

- (6) This restricted stock unit was granted on February 20, 2014, and a portion of the restricted stock unit vested prior to the date reporting person became subject to Section 16. The shares noted in column 3 will become vested on February 20, 2017, provided that reporting person is a service provided to the Company on such vest date, and shares will be delivered to reporting person on such vest date.

- (7) This restricted stock unit was granted on February 20, 2015 and a portion of the restricted stock unit vested prior to the date reporting person became subject to Section 16. 1,820 of the shares noted in column 3 will become vested on February 20, 2017 provided that reporting person is a service provider to the Company on such vest date, and shares will be delivered to reporting person on such vest date. 1,820 of the remaining shares will vest annually thereafter, and vested shares will be delivered to reporting person on each vest date.

- (8) 1/4th of the restricted stock unit granted on February 20, 2016 will become vested on February 20, 2017 and shares will be delivered to reporting person on such vest date. 1/4th of the restricted stock unit will vest annually thereafter, and shares will be delivered to reporting 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.

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