

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 *     |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol                     |  |
| Â Tay Julie                                   |         | (Month/Day/Year)                     | ALIGN TECHNOLOGY INC [ALGN]  |  |
| (Last)  | (First) | (Middle)                             | 4. Relationship of Reporting Person(s) to Issuer                       | 5. If Amendment, Date Original Filed(Month/Day/Year) |
|   |         | 07/22/2015                           |  |  |
| ALIGN TECHNOLOGY, INC.,Â 2560 ORCHARD PARKWAY |         |                                      | (Check all applicable)   |  |
| (Street)                                      |         |                                      | <input type="checkbox"/> Director                                      | <input type="checkbox"/> 10% Owner                   |
|   |         |                                      | <input checked="" type="checkbox"/> Officer                            | <input type="checkbox"/> Other                       |
|   |         |                                      | (give title below) (specify below)                                     |  |
|   |         |                                      | VP, Asia Pacific   |  |
| SAN JOSE,Â CAÂ 95131                          |         |                                      | 6. Individual or Joint/Group Filing(Check Applicable Line)             |  |
| (City)  | (State) | (Zip)                                | <input checked="" type="checkbox"/> Form filed by One Reporting Person |  |
|   |         |                                      | <input type="checkbox"/> 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)

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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 (Instr. 4) | 4. Conversion or Exercise Price of Derivative | 5. Ownership Form of Derivative Security | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|---|--|---|
|--|--|---|---|--|---|

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|                       | 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<br>ALIGN TECHNOLOGY, INC.<br>2560 ORCHARD PARKWAY<br>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

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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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