Edgar Filing: ALIGN TECHNOLOGY INC - Form 4

| ALIGN TE Form 4 August 28, 1 | CHNOLOGY IN 2014 | C | | | | | | | | | |
|---|---|---|--|--------------------------|------------------|--|-------------------|--|--|---|--|
| FORM | 14 UNITED | UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 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 | | | | | | | | OMB APPROVAL OMB 3235-0287 Number: January 31, 2005 Estimated average burden hours per response 0.5 | |
| Check th if no lor subject to Section Form 4 Form 5 obligation may cor <i>See</i> Inst 1(b). | nger to 16. or Dins ttinue. Section 17(| | | | | | | | | | |
| (Print or Type | Responses) | | | | | | | | | | |
| 1. Name and a GEORGE | 2. Issuer Name and Ticker or Trading Symbol ALIGN TECHNOLOGY INC [ALGN] | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | | | |
| (Last) C/O ALIGI INC, 2560 | 3. Date of Earliest Transaction (Month/Day/Year) 08/27/2014 | | | | | Director 10% Owner Officer (give title Other (specify below) VP Leg. Affairs & Gen. Counsel | | | | | |
| (Street) SAN JOSE, CA 95131 | | | 4. If Amendment, Date Original Filed(Month/Day/Year) | | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting | | | |
| (City) | (State) | (Zip) | Tah | le I - Non-l | Derivative | Secu | | Person iired, Disposed of, | or Beneficiall | v Owned | |
| 1.Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | | ed Date, if | 3. Transactic Code | | ies Ac ed of (| quired (A) (D) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| Common Stock | 08/27/2014 | 08/27/20 |)14 | Code V M | Amount 10,677 | (D) A | Price \$ 20.79 | (Instr. 3 and 4) $10,875 (1)$ | D | | |
| Common Stock | 08/27/2014 | 08/27/20 |)14 | S | 10,875 | D | \$ 55.8469 | 9 0 | D | | |

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.

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 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. Transacti Code (Instr. 8) | 5. Number of orDerivative 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) | |
|---|---|---|---|---------------------------------------|--|--|--------------------|---|-------------------------------------|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Right to Buy (Common Stock) | \$ 20.79 | 08/27/2014 | 08/27/2014 | М | 10,677 | 02/18/2012 | 02/18/2018 | Common Stock | 10,677 |

Reporting Owners

| Reporting Owner Name / Add | ress | Relationships | | | | | |
|--|------------|---------------|--------------------------------|-------|--|--|--|
| | Director | 10% Owner | Officer | Other | | | |
| GEORGE ROGER E C/O ALIGN TECHNOLOGY INC 2560 ORCHARD PARKWAY SAN JOSE, CA 95131 | | | VP Leg. Affairs & Gen. Counsel | | | | |
| Signatures | | | | | | | |
| Roger E. George | 08/28/2014 | | | | | | |
| <u>**</u> Signature of | Date | | | | | | |

Reporting Person

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) Includes 198 shares acquired under the ALGN Employee Stock Purchase Plan on July 31, 2014.

(2) The price reported in column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$55.50 to \$56.68, inclusive. The reporting person undertakes to provide Align Technology, Inc., any security holder of Align Technology, Inc. or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

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.