

GEORGE ROGER E

Form 4

February 22, 2019

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
GEORGE ROGER E

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)  
02/20/2019

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)  
SVP, Legal Affairs & GC

C/O ALIGN TECHNOLOGY  
INC., 2820 ORCHARD PARKWAY

(Street)

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  
Person

SAN JOSE, CA 95131

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|-------------------------------------------------------------------|
| Common<br>Stock                       | 02/20/2019                              |                                                             | M                                    | 21,375 A                                                                | \$ 0 25,352 <sup>(1)</sup>                                                                                         | D                                                                       |                                                                   |
| Common<br>Stock                       | 02/20/2019                              |                                                             | F                                    | 10,352 A                                                                | \$ 253.79 9,475 <sup>(2)</sup>                                                                                     | 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.**

SEC 1474  
(9-02)

# Edgar Filing: GEORGE ROGER E - Form 4

**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) |                 |              |                            |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|--------|---------------------------------------------------------------|-----------------|--------------|----------------------------|
|                                            |                                                        |                                      |                                                    | Code                           | V                                                                                       | (A)                                                      | (D)    | Date Exercisable                                              | Expiration Date | Title        | Amount or Number of Shares |
| Restricted Stock Unit                      | \$ 0.0001<br>(3)                                       | 02/20/2019                           |                                                    | M                              |                                                                                         |                                                          | 2,675  | (4)                                                           | (4)             | Common Stock | 2,675                      |
| Restricted Stock Unit                      | \$ 0.0001<br>(3)                                       | 02/20/2019                           |                                                    | M                              |                                                                                         |                                                          | 2,375  | (5)                                                           | (5)             | Common Stock | 2,375                      |
| Restricted Stock Unit                      | \$ 0.0001<br>(3)                                       | 02/20/2019                           |                                                    | M                              |                                                                                         |                                                          | 1,625  | (6)                                                           | (6)             | Common Stock | 1,625                      |
| Restricted Stock Unit                      | \$ 0.0001<br>(3)                                       | 02/20/2019                           |                                                    | M                              |                                                                                         |                                                          | 450    | (7)                                                           | (7)             | Common Stock | 450                        |
| Market Stock Unit                          | \$ 0.0001<br>(3)                                       | 02/20/2019                           |                                                    | M                              |                                                                                         |                                                          | 14,250 | (8)                                                           | (8)             | Common Stock | 14,250                     |
| Restricted Stock Unit                      | \$ 0.0001<br>(3)                                       | 02/20/2019                           |                                                    | A                              |                                                                                         | 1,935                                                    |        | (9)                                                           | (9)             | Common Stock | 1,935                      |
| Market Stock Unit                          | \$ 0.0001<br>(3)                                       | 02/20/2019                           |                                                    | A                              |                                                                                         | 9,675                                                    |        | (10)                                                          | (10)            | Common Stock | 9,675                      |

## Reporting Owners

| Reporting Owner Name / Address                                                            | Relationships                    |
|-------------------------------------------------------------------------------------------|----------------------------------|
|                                                                                           | Director 10% Owner Officer Other |
| GEORGE ROGER E<br>C/O ALIGN TECHNOLOGY INC.<br>2820 ORCHARD PARKWAY<br>SAN JOSE, CA 95131 | SVP, Legal Affairs & GC          |

## Signatures

Roger E. George 02/22/2019  
 \*\*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 25 shares acquired under the ALGN ESPP on January 31, 2019.

## Edgar Filing: GEORGE ROGER E - Form 4

- (2) 5,525 shares were transferred to the reporting person's former spouse pursuant to a domestic relations order.
- (3) Represents par value of ALGN common stock.
- (4) 1/4th of the restricted stock unit granted on February 20, 2015 became vested on February 20, 2019 and shares were delivered to reporting person on such vest date.  
1/4th of the restricted stock unit granted on February 20, 2016 became vested on February 20, 2019 and shares were delivered to reporting person on such vest date. The restricted stock unit will continue to vest annually and shares will be delivered to reporting person on each vest date.
- (5) 1/4th of the restricted stock unit granted on February 20, 2017 became vested on February 20, 2019 and shares were delivered to reporting person on such vest date. The restricted stock unit will continue to vest annually and shares will be delivered to reporting person on each vest date.
- (6) 1/4th of the restricted stock unit granted on February 20, 2018 became vested on February 20, 2019 and shares were delivered to reporting person on such vest date. The restricted stock unit will continue to vest annually and shares will be delivered to reporting person on each vest date.
- (7) Represents the maximum number of shares issued under the market stock unit granted on February 20, 2016. Shares were delivered to reporting person on such vest date.
- (8) 1/4th of the restricted stock unit granted on February 20, 2019 will become vested on February 20, 2020 and shares will be delivered to reporting person on such vest date. The restricted stock unit will continue to vest annually and shares will be delivered to reporting person on each vest date.
- (9) Represents the maximum number of shares which may be issued under the market stock unit. All of the shares which may be issued under the market stock unit will vest on the last day of the third year of the Performance Period (as defined in the market stock unit agreement).
- (10)

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.