SEC Form 4

FORM 4

JNITED	STATES	SECURITIES	AND	EXCHANGE	COMMISSIO	N
				05.00		

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 OMB APPROVAL
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1. Name and Address of Reporting Person [*] Hockridge Stuart A			2. Issuer Name and Ticker or Trading Symbol <u>ALIGN TECHNOLOGY INC</u> [ALGN]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner Officer (give title Other (specify
	(First) ECHNOLOGY RD PARKWAY		3. Date of Earliest Transaction (Month/Day/Year) 02/20/2019	SVP Global HR
(Street) SAN JOSE CA		95131 (Zip)	4. If Amendment, Date of 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

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

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)			4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)	
Common Stock	02/20/2019		М		1,950	A	\$0.00	3,310 ⁽¹⁾	D		
Common Stock	02/20/2019		F		737	D	\$253.79	2,573	D		

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. Transa Code (8)		Derivati Securiti Acquire or Disp	Number of erivative scurities cquired (A) 5 (D) (Instr. 3, and 5)		te of Securities		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Restricted Stock Unit	\$0.0001 ⁽²⁾	02/20/2019		М			1,500	(3)	(3)	Common Stock	1,500	\$0.00	3,000	D	
Restricted Stock Unit	\$0.0001 ⁽²⁾	02/20/2019		М			450	(4)	(4)	Common Stock	450	\$0.00	1,350	D	
Restricted Stock Unit	\$0.0001 ⁽²⁾	02/20/2019		Α		2,084		(5)	(5)	Common Stock	2,084	\$0.00	2,084	D	
Market Stock Unit	\$0.0001 ⁽²⁾	02/20/2019		A		10,418		(6)	(6)	Common Stock	10,418	\$0.00	10,418	D	

Explanation of Responses:

1. Includes 241 shares acquired under the ALGN ESPP on January 31, 2019.

2. Represents par value of ALGN common stock.

3. 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. 1/4th of the restricted stock unit will vest annually thereafter and shares will be delivered to reporting person on each vest date.

4. 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. 1/4th of the restricted stock unit will vest annually thereafter and shares will be delivered to reporting person on each vest date.

5. 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.

6. 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).

Remarks:

Roger E. George Atty-in-Fact for Stuart Hockridge

02/22/2019

** Signature of Reporting Person

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

 \ast 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

Date