

| OMB APPROVAL | |
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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| | | |
|---|---|---|
| 1. Name and Address of Reporting Person* <u>HOGAN JOSEPH M</u> (Last) (First) (Middle) <u>C/O ALIGN TECHNOLOGY INC.</u> <u>2820 ORCHARD PARKWAY</u> (Street) <u>SAN JOSE CA 95131</u> (City) (State) (Zip) | 2. Issuer Name and Ticker or Trading Symbol <u>ALIGN TECHNOLOGY INC [ALGN]</u> | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director 10% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) President and CEO |
| | 3. Date of Earliest Transaction (Month/Day/Year) <u>02/20/2020</u> | |
| | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applicable Line) <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 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) | 3. Transaction Code (Instr. 8) | | 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) | | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 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 | | | |
| Common Stock | 02/20/2020 | | M | | 95,499 | A | \$0.00 | 249,063 | D | |
| Common Stock | 02/20/2020 | | F | | 49,327 | D | \$272.49 | 199,736 | D | |
| Common Stock | | | | | | | | 1,500 | I | By resident of household ⁽¹⁾ |

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 Securities Underlying Derivative Security (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 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 |
| Restricted Stock Unit | \$0.0001 ⁽²⁾ | 02/20/2020 | | M | | | 7,500 | (3) | (3) | Common Stock | 7,500 | \$0.00 | 0 | D | |
| Restricted Stock Unit | \$0.0001 ⁽²⁾ | 02/20/2020 | | M | | | 6,250 | (4) | (4) | Common Stock | 6,250 | \$0.00 | 6,250 | D | |
| Restricted Stock Unit | \$0.0001 ⁽²⁾ | 02/20/2020 | | M | | | 2,400 | (5) | (5) | Common Stock | 2,400 | \$0.00 | 4,800 | D | |
| Restricted Stock Unit | \$0.0001 ⁽²⁾ | 02/20/2020 | | M | | | 3,349 | (6) | (6) | Common Stock | 3,349 | \$0.00 | 10,046 | D | |
| Market Stock Unit | \$0.0001 ⁽²⁾ | 02/20/2020 | | M | | | 76,000 | (7) | (7) | Common Stock | 76,000 | \$0.00 | 0 | D | |
| Restricted Stock Unit | \$0.0001 ⁽²⁾ | 02/20/2020 | | A | | 10,864 | | (8) | (9) | Common Stock | 10,864 | \$0.00 | 10,864 | D | |
| Market Stock Unit | \$0.0001 ⁽²⁾ | 02/20/2020 | | A | | 55,143 | | (9) | (8) | Common Stock | 55,143 | \$0.00 | 55,143 | D | |

Explanation of Responses:

- The reporting person disclaims beneficial ownership of these securities, and this report shall not be deemed an admission that the reporting person is the beneficial owner of the securities for purposes of Section 16 or any other purpose.
- Represents par value of ALGN common stock.
- 1/4th of the restricted stock unit granted on February 20, 2016 became vested on February 20, 2020 and shares were delivered to reporting person on such vest date.
- 1/4th of the restricted stock unit granted on February 20, 2017 became vested on February 20, 2020 and shares were delivered to reporting person on such vest date. 1/4th of the restricted stock unit will annually and shares will be delivered to reporting person on each vest date.
- 1/4th of the restricted stock unit granted on February 20, 2018 became vested on February 20, 2020 and shares were delivered to reporting person on such vest date. 1/4th of the restricted stock unit will annually and shares will be delivered to reporting person on each vest date.
- 1/4th of the restricted stock unit granted on February 20, 2019 became vested on February 20, 2020 and shares were delivered to reporting person on such vest date. 1/4th of the restricted stock unit will continue to vest annually and shares will be delivered to reporting person on each vest date.
- The market stock unit granted on February 20, 2017 became vested on February 20, 2020 and shares were delivered to reporting person on such vest date.
- 1/4th of the restricted stock unit granted on February 20, 2020 will become vested on February 20, 2021 and shares will be delivered to reporting person on such vest date. 1/4th of the restricted stock unit will continue to vest annually and shares will be delivered to reporting person on each vest date.
- 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:

Julie Ann Coletti Atty-in-Fact 02/24/2020
for Joseph Hogan

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

* 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.