

ALIGN TECHNOLOGY INC
Form 3
January 17, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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)

<p>1. Name and Address of Reporting Person *</p> <p>Â Pascaud Raphael</p> <p>(Last) (First) (Middle)</p> <p>C/O ALIGN TECHNOLOGY, INC., Â 2560 ORCHARD PARKWAY</p> <p>(Street)</p> <p>SAN JOSE, Â CA Â 95131</p> <p>(City) (State) (Zip)</p>	<p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>01/13/2014</p>	<p>3. Issuer Name and Ticker or Trading Symbol</p> <p>ALIGN TECHNOLOGY INC [ALGN]</p>	<p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below)</p> <p>VP, International</p>	<p>5. If Amendment, Date Original Filed(Month/Day/Year)</p>	<p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person</p>
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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	467	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)	
Right to Buy (Common Stock)	11/15/2011	12/01/2017	Common Stock	5,400 ⁽¹⁾	\$ 17.97	D	Â
Restricted Stock Unit	02/20/2013	02/20/2019	Common Stock	3,000 ⁽²⁾	\$ 0.0001 ⁽³⁾	D	Â
Restricted Stock Unit	02/20/2014	02/20/2020	Common Stock	3,500 ⁽⁴⁾	\$ 0.0001 ⁽³⁾	D	Â
Restricted Stock Unit	02/20/2014	03/01/2020	Common Stock	4,000 ⁽⁴⁾	\$ 0.0001 ⁽³⁾	D	Â
Restricted Stock Unit	11/20/2014	11/20/2020	Common Stock	5,000 ⁽⁵⁾	\$ 0.0001 ⁽³⁾	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Pascaud Raphael C/O ALIGN TECHNOLOGY, INC. 2560 ORCHARD PARKWAY SAN JOSE, CA 95131	Â	Â	Â VP, International	Â

Signatures

Roger E. George Atty-in-Fact for Raphael Pascaud 01/17/2014

**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) Represents an option in which 1/48th of the shares subject to the option vest each month after the Date Exercisable set forth above, subject to the reporting person's continued employment with the issuer.
- (2) 1/4th of the restricted stock unit becomes vested on February 20, 2013 and 1/4th of the restricted stock unit will vest annually thereafter. Shares will be delivered to reporting person on each vest date.
- (3) Represents par value of ALGN common stock.
- (4) 1/4th of the restricted stock unit becomes vested on February 20, 2014 and 1/4th of the restricted stock unit will vest annually thereafter. Shares will be delivered to reporting person on each vest date.
- (5) 1/4th of the restricted stock unit becomes vested on November 20, 2014 and 1/4th of the restricted stock until will vest annually thereafter. Shares will be delivered to reporting 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. 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.