

ALIGN TECHNOLOGY INC  
Form 4  
March 01, 2005

**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  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**LACOB JOSEPH**

(Last) (First) (Middle)

**C/O ALIGN TECHNOLOGY  
INC, 881 MARTIN AVE.**

(Street)

**SANTA CLARA, CA 94025**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**ALIGN TECHNOLOGY INC**  
**[ALGN]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**02/28/2005**

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner  
☐ Officer (give title below) ☐ Other (specify below)

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ 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) | 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                    | 02/28/2005                           | 02/28/2005                                         | P                              |                                                                   | 500    | A          | \$ 7.48 | 760,208                                                                                       | I                                                        | By Lacob Trust <sup>(1)</sup>                         |
| Common Stock                    | 02/28/2005                           | 02/28/2005                                         | P                              |                                                                   | 5,200  | A          | \$ 7.49 | 765,408                                                                                       | I                                                        | By Lacob Trust <sup>(1)</sup>                         |
| Common Stock                    | 02/28/2005                           | 02/28/2005                                         | P                              |                                                                   | 1,800  | A          | \$ 7.5  | 767,208                                                                                       | I                                                        | By Lacob Trust <sup>(1)</sup>                         |
| Common Stock                    | 02/28/2005                           | 02/28/2005                                         | P                              |                                                                   | 1,608  | A          | \$ 7.51 | 768,816                                                                                       | I                                                        | By Lacob Trust <sup>(1)</sup>                         |
| Common Stock                    | 02/28/2005                           | 02/28/2005                                         | P                              |                                                                   | 1,892  | A          | \$ 7.52 | 770,708                                                                                       | I                                                        | By Lacob Trust <sup>(1)</sup>                         |

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|              |            |            |   |       |   |         |           |   |                               |
|--------------|------------|------------|---|-------|---|---------|-----------|---|-------------------------------|
| Common Stock | 02/28/2005 | 02/28/2005 | P | 5,200 | A | \$ 7.53 | 775,908   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 4,900 | A | \$ 7.54 | 780,808   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 3,200 | A | \$ 7.55 | 784,008   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 5,500 | A | \$ 7.56 | 789,508   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 2,800 | A | \$ 7.57 | 792,308   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 1,900 | A | \$ 7.58 | 794,208   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 1,500 | A | \$ 7.59 | 795,708   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 2,700 | A | \$ 7.61 | 798,408   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 2,200 | A | \$ 7.62 | 800,608   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 4,600 | A | \$ 7.63 | 805,208   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 3,500 | A | \$ 7.64 | 808,708   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 2,000 | A | \$ 7.65 | 810,708   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 900   | A | \$ 7.66 | 811,608   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 4,200 | A | \$ 7.67 | 815,808   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 1,400 | A | \$ 7.69 | 817,208   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 1,100 | A | \$ 7.71 | 818,308   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 1,300 | A | \$ 7.73 | 819,608   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock | 02/28/2005 | 02/28/2005 | P | 1,919 | A | \$ 7.75 | 821,527   | I | By Lacob Trust <sup>(1)</sup> |
| Common Stock |            |            |   |       |   |         | 1,131,202 | D |                               |
| Common Stock |            |            |   |       |   |         | 1,492,421 | I | By KPCB VIII <sup>(2)</sup>   |
|              |            |            |   |       |   |         | 86,526    | I |                               |

Common  
StockBy KPCB  
VIII FF <sup>(2)</sup>Common  
Stock

40,516 I

By KPCB  
Life <sup>(2)</sup>

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)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>Derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction<br>(Instr. 6) |
|-----------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|
|                                                     |                                                                    |                                         |                                                             | Code                                 | V (A) (D)                                                                                                          | Date<br>Exercisable                                            | Expiration<br>Date                                                        | Title                                               | Amount<br>or<br>Number<br>of<br>Shares                                                                                  |

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director 10% Owner Officer Other

LACOB JOSEPH  
C/O ALIGN TECHNOLOGY INC  
881 MARTIN AVE.  
SANTA CLARA, CA 94025

X

## Signatures

Joseph Lacob

03/01/2005

\_\_Signature of  
Reporting Person

Date

## 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) Mr. Lacob disclaims beneficial ownership of the shares of the Issuer's Common Stock held by the Lacob Trust except to the extent of any indirect pecuniary interest in his distributive share therein.

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- Mr. Lacob is a general partner of KPCB VIII Associates, L.P., a CA limited partnership ("KPCB VIII Associates"). KPCB VIII Associates is the general partner of Kleiner Perkins Caufield & Byers VIII, L.P., a CA limited partnership ("KPCB VIII") and KPCB Founders Fund, L.P., a CA limited partnership ("KPCB VIII FF"). Mr. Lacob is also a general partner of KPCB VII Associates, a CA
- (2) limited partnership ("KPCB VII Associates"). KPCB VII Associates is the general partner of KPCB Life Sciences Zaibatsu Fund II, L.P., a CA limited partnership ("KPCB Life"). Mr. Lacob disclaims beneficial ownership of the shares of the Issuer's Common Stock held directly by KPCB VIII, KPCB VIII FF and KPCB Life, except to the extent of any indirect pecuniary interest in his distributive share therein.

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

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