SEC Form 3 FORM 3

## UNITED STATES SECURITIES AND EXCHANGE

COMMISSION Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Estimated average burden hours per response: 0.5

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 A Freeman		Requiring (Month/Da	2. Date of Event Requiring Statement (Month/Day/Year) 03/26/2021 3. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Alignment Healthcare, Inc.</u> [ ALHC ]							
(Last) (First) (Middle) C/O ALIGNMENT HEALTHCARE, INC. 1100 W. TOWN & COUNTRY ROAD, SUITE 1600 (Street)			_		4. Relationship of Reportin Issuer (Check all applicable) Director X Officer (give title below) Chief Financia	10% O Other ( below)	wner specify	5. If Amendment, Date of Original Filed (Month/Day/Year) 03/26/2021 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One		
ORANGE (City)	CA (State)	92868 (Zip)	-					Form filed Reporting I		
Table I - Non-Derivative Securities Beneficially Owned										
1. Title of Security (Instr. 4)				2. Amount of Securities Beneficially Owned (Instr. 4)	3. Owne Form: D (D) or Ir (I) (Instr	oirect Ov direct	4. Nature of Indirect Beneficial Ownership (Instr. 5)			
Common Stock, par value \$0.001 per share ("Common Stock")					283,916 <sup>(1)(2)</sup>	Г				
Common Stock				879,137 <sup>(3)</sup>	I	Se	ee Footnote <sup>(4)</sup>			
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 Se Underlying Derivative Se (Instr. 4)		4. Conversio or Exercis Price of	ise Form:	6. Nature of Indirect Beneficial Ownership (Instr.		
			Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	or Indirect (I) (Instr. 5)	5)	
Stock Option	n (right to bu	ıy)	(5)	03/25/2031	Common Stock	762,720	18	D		

## Explanation of Responses:

1. Represents 116,506 shares of Common Stock of Alignment Healthcare, Inc. (the "Company"); 106,841 restricted shares of Common Stock of the Company that will vest upon a change of control of the Company or otherwise (A) if received in exchange for pre-IPO (as defined below) transaction-based incentive units, on the later of (x) the four-year anniversary of the initial vesting date, or (y) 50% on the first anniversary of Company's initial public offering (the "IPO") and 50% on the second anniversary of the IPO, in each case, subject to Mr. Freeman's continued employment or service on each such vesting date and (B) if received in exchange for pre-IPO service-based incentive units, according to the pre-IPO vesting schedule applicable to Mr. Freeman disclosed in the "Executive Compensation - Outstanding Equity Awards at Fiscal Year End" section of the Company's registration statement on Form S-1.

2. Also represents 60,569 restricted stock units, each restricted stock unit representing the right to receive one share of Common Stock of the Company, that will vest 25% on the first four anniversaries of the initial vesting date.

3. Represents 381,535 shares of Common Stock of the Company and 497,602 restricted shares of Common Stock of the Company that will vest upon a change of control of the Company or otherwise (A) if received in exchange for pre-IPO transaction-based incentive units, on the later of (x) the four-year anniversary of the initial vesting date, or (y) 50% on the first anniversary of Company's IPO and 50% on the second anniversary of the IPO, in each case, subject to Mr. Freeman's continued employment or service on each such vesting date and (B) if received in exchange for pre-IPO service-based incentive units, according to the pre-IPO vesting schedule applicable to Mr. Freeman disclosed in the "Executive Compensation - Outstanding Equity Awards at Fiscal Year End" section of the Company's registration statement on Form S-1.

4. Represents securities held by FCO Holdings LLC, a limited liability company owned by FCO Holdings Trust One, an irrevocable trust of which Mr. Freeman is an indirect beneficiary.

5. Vest 25% on the first four anniversaries of the initial vesting date.

## **Remarks:**

This Form 3 amends and restates in its entirety the Form 3 filed by Mr. Freeman on March 26, 2021. The purpose of this Form 3 is to correct the form of ownership of 45,427 restricted stock units and 572,040 stock options which were inadvertently reported as being held indirectly in the original Form 3. Such restricted stock units and stock options are held directly by Mr. Freeman. This amendment does not affect Mr. Freeman's aggregate beneficial ownership of non-derivative and derivative securities of the Company.

/s/ Richard A. Cross, as

Person

05/13/2021

Attorney-in-Fact, for Robert Thomas Freeman \*\* Signature of Reporting

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Date

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 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).

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.