Ronaghi Mostafa Form 4 February 14, 2019

## 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

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

obligations may continue. See Instruction 1(b).

Form 5

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)

(Last)

1. Name and Address of Reporting Person \* Ronaghi Mostafa

(First)

(Street)

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

**OMB APPROVAL** 

3235-0287

January 31,

2005

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OMB

Number:

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ILLUMINA INC [ILMN]

(Check all applicable)

3. Date of Earliest Transaction (Month/Day/Year)

Director 10% Owner X\_ Officer (give title \_ Other (specify

02/12/2019

below) SVP & CTO

5200 ILLUMINA WAY

(Middle)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line)

Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

SAN DIEGO, CA 92122

(City)	(State)	(Zip) Tabl	e I - Non-D	erivative	Secur	ities Acq	uired, Disposed o	f, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	4. Securities Acquired on(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)		
Common Stock	02/12/2019		M	5,159 (1)	A	\$ 0	76,103	D	
Common Stock	02/12/2019		A	1,084 (2)	A	\$ 0	77,187	D	
Common Stock	02/12/2019		F	2,593	D	\$ 292.2	74,594	D	
Common Stock	02/12/2019		M	4,623 (3)	A	\$ 0	79,217	D	
Common Stock	02/12/2019		A	971 (4)	A	\$ 0	80,188	D	

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Common Stock 02/12/2019 F 2,774 D  $^{\$}$  77,414  $^{(5)}$  D

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

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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 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. Transactic Code (Instr. 8)	5. Number on 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 Underlying Securities (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Performance Shares	(1)	02/12/2019		M		5,159 (1)	<u>(1)</u>	12/30/2018	Common Stock	5,159
Performance Shares	<u>(3)</u>	02/12/2019		M		4,623	(3)	12/30/2018	Common Stock	4,623

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Ronaghi Mostafa

5200 ILLUMINA WAY SVP & CTO

SAN DIEGO, CA 92122

## **Signatures**

By: Scott M. Davies for Mostafa Ronaghi 02/14/2019

\*\*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) Represents shares of stock awarded as a result of the Company achieving at least 100% of the applicable performance criteria pursuant to the reporting person's grant of performance share units on December 8, 2015.

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- (2) Represents additional shares of stock awarded as a result of the Company achieving at least 121% of the applicable performance criteria pursuant to the reporting person's grant of performance share units on December 8, 2015.
- (3) Represents shares of stock awarded as a result of the Company achieving at least 100% of the applicable performance criteria pursuant to the reporting person's grant of performance share units on July 27, 2016.
- (4) Represents additional shares of stock awarded as a result of the Company achieving at least 121% of the applicable performance criteria pursuant to the reporting person's grant of performance share units on July 27, 2016.
- (5) Balance includes 109 shares acquired through Employee Stock Purchase Plan.

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.