

ILLUMINA INC  
Form 3  
May 24, 2017

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

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

**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)

|   |         |                                      |  |  |
|---|---------|--------------------------------------|--|--|
| 1. Name and Address of Reporting Person * |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol                         |  |
| Â Van Oene Mark                           |         | (Month/Day/Year)                     | ILLUMINA INC [ILMN]  |  |
| (Last)                                    | (First) | 05/22/2017                           |  |  |
| 5200 ILLUMINA WAY                         |         |                                      | 4. Relationship of Reporting Person(s) to Issuer                           | 5. If Amendment, Date Original Filed(Month/Day/Year)                   |
| (Street)                                  |         |                                      | (Check all applicable)   |  |
| SAN DIEGO,Â CAÂ 92122                     |         |                                      | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner       | 6. Individual or Joint/Group Filing(Check Applicable Line)             |
| (City)                                    | (State) | (Zip)                                | <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
|   |         |                                      | (give title below) (specify below)   | <input type="checkbox"/> Form filed by More than One Reporting Person  |
|   |         |                                      | SVP Chief Commercial Officer   |  |

**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 <sup>(1)</sup>     | 19,056  | 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 Security | 5. Ownership Form of Derivative Security: Direct (D) or Indirect | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|--|--|---|
|  | Date Exercisable   | Title   | Amount or Number of                                    |  |   |
|  | Expiration Date  |   |  |  |   |

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|   |                           |            |              | Shares |                   | (I)<br>(Instr. 5) |   |
|---|---------------------------|------------|--------------|--------|-------------------|-------------------|---|
| Non-qualified Stock Option (Right to Buy) | 01/05/2012 <sup>(2)</sup> | 12/05/2021 | Common Stock | 11,838 | \$ 29.44          | D                 | Â |
| Performance Shares                        | Â <sup>(3)</sup>          | 12/31/2017 | Common Stock | 2,212  | \$ <sup>(3)</sup> | D                 | Â |
| Performance Shares                        | Â <sup>(4)</sup>          | 12/30/2018 | Common Stock | 2,752  | \$ <sup>(4)</sup> | D                 | Â |
| Performance Shares                        | Â <sup>(4)</sup>          | 12/30/2018 | Common Stock | 2,887  | \$ <sup>(4)</sup> | D                 | Â |
| Performance Shares                        | Â <sup>(5)</sup>          | 12/29/2019 | Common Stock | 8,210  | \$ <sup>(5)</sup> | D                 | Â |

## Reporting Owners

| Reporting Owner Name / Address                            | Relationships |           |                                |       |
|---|---------------|-----------|--------------------------------|-------|
|   | Director      | 10% Owner | Officer                        | Other |
| Van Oene Mark<br>5200 ILLUMINA WAY<br>SAN DIEGO, CA 92122 | Â             | Â         | Â SVP Chief Commercial Officer | Â     |

## Signatures

By: Robert Maynes for Mark Van Oene  
05/24/2017

\_\_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) Includes 6,694 unvested restricted stock units which vest as follows, subject to awardee's continuing to be a service provider on such dates: 1,926 shares vesting 11/5/17; 787 vesting 1/29/18; 1,925 vesting 11/5/18; 1,372 vesting 11/5/19; 684 vesting 11/5/20.  
One forty-eighth (1/48) of the Shares subject to the Option become exercisable on the date indicated above, subject to Optionee's continuing to be a Service Provider on such date. An additional one-forty eighth (1/48) of the Shares subject to the Option shall become exercisable each full month thereafter, subject to Optionee's continuing to be a Service Provider on such date.
- (3) Each performance stock unit represents a contingent right to receive one share of common stock based on the Company's earnings per share for the fiscal year ending December 31, 2017. The number of shares issued will range from 0% to 150% of the amount specified above, based on the Company's actual earnings per share for the fiscal year ending December 31, 2017, relative to pre-defined objectives, subject to awardee's continuing to be a service provider on such dates.
- (4) Each performance stock unit represents a contingent right to receive one share of common stock based on the Company's earnings per share for the fiscal year ending December 30, 2018. The number of shares issued will range from 0% to 150% of the amount specified above, based on the Company's actual earnings per share for the fiscal year ending December 30, 2018, relative to pre-defined objectives, subject to awardee's continuing to be a service provider on such dates.
- (5) Each performance stock unit represents a contingent right to receive one share of common stock based on the Company's earnings per share for the fiscal year ending December 29, 2019. The number of shares issued will range from 0% to 150% of the amount specified above, based on the Company's actual earnings per share for the fiscal year ending December 29, 2019, relative to pre-defined objectives, subject to awardee's continuing to be a service provider on such dates.

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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