

deSouza Francis A
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
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 *
deSouza Francis A

(Last) (First) (Middle)

5200 ILLUMINA WAY

(Street)

SAN DIEGO, CA 92122

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
ILLUMINA INC [ILMN]

3. Date of Earliest Transaction
(Month/Day/Year)
02/12/2019

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)

President and CEO

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 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)
Common Stock	02/12/2019		M	Amount <u>16,508</u> (1)	A \$ 0 80,720	D	
Common Stock	02/12/2019		A	<u>3,467</u> (2)	A \$ 0 84,187	D	
Common Stock	02/12/2019		F	9,390	D \$ 292.2 74,797	D	
Common Stock	02/12/2019		M	<u>8,113</u> (3)	A \$ 0 82,910	D	
Common Stock	02/12/2019		A	<u>1,704</u> (4)	A \$ 0 84,614	D	

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Common Stock 02/12/2019 F 4,868 D \$ 292.2 79,746 ⁽⁵⁾ D

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

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(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. Transaction Code (Instr. 8)	5. Number of 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	<u>(1)</u>	02/12/2019		M	16,508 <u>(1)</u>	<u>(1)</u> 12/30/2018	Common Stock 16,508
Performance Shares	<u>(3)</u>	02/12/2019		M	8,113 <u>(3)</u>	<u>(3)</u> 12/30/2018	Common Stock 8,113

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
deSouza Francis A 5200 ILLUMINA WAY SAN DIEGO, CA 92122	X President and CEO

Signatures

By: Scott M. Davies for Francis A. deSouza

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.

(2)

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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 5, 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 5, 2016.
- (5) Balance includes 108 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.

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