

ILLUMINA INC  
Form 3  
February 17, 2017

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

OMB APPROVAL

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**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 Hampton Malcolm Garret                  |         | (Month/Day/Year)   | ILLUMINA INC [ILMN]   |  |
| (Last)                                    | (First) | (Middle)   | 01/26/2017  |  |
| 5200 ILLUMINA WAY                         |         | 4. Relationship of Reporting Person(s) to Issuer   |   |  |
| (Street)                                  |         | (Check all applicable)   |   |  |
| SAN DIEGO,Â CAÂ 92122                     |         | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other<br>(give title below)    (specify below)<br>EVP Clinical Genomics Group |   |  |
| (City)                                    | (State) | (Zip)  | 5. If Amendment, Date Original Filed(Month/Day/Year)  |  |
| 1. Title of Security (Instr. 4)           |         | 2. Amount of Securities Beneficially Owned (Instr. 4)  | 6. Individual or Joint/Group Filing(Check Applicable Line)  |  |
| Common Stock                              |         | 3,533 <sup>(1)</sup>   | <input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person |  |
|   |         |  | Direct (D)<br>or Indirect (I)<br>(Instr. 5)   |  |
|   |         |  | D    Â  |  |

**Table I - Non-Derivative Securities Beneficially Owned**

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)

**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.**

**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    Expiration Date                      | Title    Amount or Number of  |  |  |   |

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|                    |       |            |                 |        |        |                   |   |
|--------------------|-------|------------|-----------------|--------|--------|-------------------|---|
|                    |       |            |                 | Shares |        | (I)<br>(Instr. 5) |   |
| Performance Shares | Â (2) | 12/29/2019 | Common<br>Stock | 10,598 | \$ (2) | D                 | Â |

## Reporting Owners

| Reporting Owner Name / Address                                     | Relationships |           |         |                               |
|--|---------------|-----------|---------|-------------------------------|
|  | Director      | 10% Owner | Officer | Other                         |
| Hampton Malcolm Garret<br>5200 ILLUMINA WAY<br>SAN DIEGO, CA 92122 | Â             | Â         | Â       | EVP Clinical Genomics Group Â |

## Signatures

By: Robert Maynes for Malcolm Garret  
Hampton

02/17/2017

\_\_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) Grant of restricted stock units that vests as follows: 25% of the shares subject to the award become vested on January 9, 2018, January 9, 2019, January 9, 2020 and January 9, 2021, subject to awardee's continuing to be a service provider on such dates.
- (2) 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. 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.