

EASTHAM KARIN
Form 4
January 04, 2019

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
EASTHAM KARIN

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
5200 ILLUMINA WAY
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
11/06/2018

Director 10% Owner
 Officer (give title below) Other (specify below)

SAN DIEGO, CA 92122

4. If Amendment, Date Original Filed (Month/Day/Year)

6. Individual or Joint/Group Filing (Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(City) (State) (Zip)

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 | | 4. Securities Acquired (A) 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) |
|---------------------------------|--------------------------------------|--|---------------------|---|---|-----|---|--|---|
| | | | Code | V | Amount | (D) | | | |
| Common Stock | 11/06/2018 | | G | V | 184 | D | \$ 0 | 12,655 | D |
| Common Stock | 11/27/2018 | | G | V | 315 | D | \$ 0 | 12,340 | D |
| Common Stock | 11/28/2018 | | G | V | 458 | D | \$ 0 | 11,882 | D |
| Common Stock | 12/03/2018 | | G | V | 44 | D | \$ 0 | 11,838 | D |
| Common Stock | 01/02/2019 | | M | | 4,000 (1) | A | \$ 71.09 | 15,838 | D |
| | 01/02/2019 | | S | | 333 (1) | D | | 15,505 | D |

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| | | | | | | | |
|--------------|------------|---|------------------|---|-------------------------------|--------|---|
| Common Stock | | | | | \$ 291.0292 <u>(2)</u> | | |
| Common Stock | 01/02/2019 | S | 566 <u>(1)</u> | D | \$ 292.4054 <u>(3)</u> | 14,939 | D |
| Common Stock | 01/02/2019 | S | 1,202 <u>(1)</u> | D | \$ 293.6279 <u>(4)</u> | 13,737 | D |
| Common Stock | 01/02/2019 | S | 1,068 <u>(1)</u> | D | \$ 294.7482 <u>(5)</u> | 12,669 | D |
| Common Stock | 01/02/2019 | S | 365 <u>(1)</u> | D | \$ 295.7205 <u>(6)</u> | 12,304 | D |
| Common Stock | 01/02/2019 | S | 466 <u>(1)</u> | D | \$ 296.5694 <u>(7)</u> | 11,838 | D |
| Common Stock | 01/02/2019 | S | 67 <u>(1)</u> | D | \$ 291.0191 <u>(8)</u> | 11,771 | D |
| Common Stock | 01/02/2019 | S | 134 <u>(1)</u> | D | \$ 292.2653 <u>(9)</u> | 11,637 | D |
| Common Stock | 01/02/2019 | S | 350 <u>(1)</u> | D | \$ 293.585 <u>(10)</u> | 11,287 | D |
| Common Stock | 01/02/2019 | S | 232 <u>(1)</u> | D | \$ 294.7325 <u>(11)</u> | 11,055 | D |
| Common Stock | 01/02/2019 | S | 117 <u>(1)</u> | D | \$ 295.9309 <u>(12)</u> | 10,938 | D |
| Common Stock | 01/02/2019 | S | 100 <u>(1)</u> | D | \$ 296.7756 <u>(13)</u> | 10,838 | 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)

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| 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 (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 Security (Instr. 3 and 4) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|--|--|---|----------------------------|
| Non-qualified Stock Option (Right to Buy) | \$ 71.09 | 01/02/2019 | | M | 4,000 <u>(1)</u> | 05/29/2014 05/29/2023 | Common Stock | 4,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| EASTHAM KARIN 5200 ILLUMINA WAY SAN DIEGO, CA 92122 | | X | | |

Signatures

By: Scott M. Davies for Karin Eastham 01/04/2019

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) The sale was made pursuant to a 10b5-1 plan.
- (2) Weighted average sale price representing 333 shares sold ranging from \$290.63 to \$291.42 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (3) Weighted average sale price representing 566 shares sold ranging from \$292.02 to \$293.00 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (4) Weighted average sale price representing 1,202 shares sold ranging from \$293.02 to \$294.01 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (5) Weighted average sale price representing 1,068 shares sold ranging from \$294.17 to \$295.08 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (6) Weighted average sale price representing 365 shares sold ranging from \$295.17 to \$296.10 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (7) Weighted average sale price representing 466 shares sold ranging from \$296.18 to \$297.00 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (8) Weighted average sale price representing 67 shares sold ranging from \$290.63 to \$291.42 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.

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- (9) Weighted average sale price representing 134 shares sold ranging from \$292.02 to \$292.77 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (10) Weighted average sale price representing 350 shares sold ranging from \$293.02 to \$294.01 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (11) Weighted average sale price representing 232 shares sold ranging from \$294.20 to \$295.08 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (12) Weighted average sale price representing 117 shares sold ranging from \$295.56 to \$296.18 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.
- (13) Weighted average sale price representing 100 shares sold ranging from \$296.64 to \$297.00 per share. Number of shares sold at each separate price will be made available to the SEC staff, the issuer, or a security holder of the issuer upon request.

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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