

ILLUMINA INC
Form 3
December 14, 2015

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 and Ticker or Trading Symbol | |
| Â ORPIN TRISTAN | | (Month/Day/Year) | ILLUMINA INC [ILMN] | |
| (Last) | (First) | (Middle) | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| 5200 ILLUMINA WAY | | 12/07/2015 | | |
| (Street) | | | (Check all applicable) | |
| SAN DIEGO,Â CAÂ 92122 | | | <input type="checkbox"/> Director | <input type="checkbox"/> 10% Owner |
| (City) | (State) | (Zip) | <input checked="" type="checkbox"/> Officer | <input type="checkbox"/> Other |
| | | | (give title below) | (specify below) |
| | | | EVP Clinical Genomics | 6. Individual or Joint/Group Filing(Check Applicable Line) |
| | | | | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| | | | | <input type="checkbox"/> Form filed by More than One Reporting Person |

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 <u>(1)</u> <u>(2)</u> | 99,427 | 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 | Expiration Date | Title | Amount or Number of | |

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| | | | | Shares | | (I) (Instr. 5) | |
|---|---------------------------|------------|--------------|--------|----------|-------------------|---|
| Non-qualified Stock Option (Right to Buy) | 02/27/2010 ⁽³⁾ | 01/27/2020 | Common Stock | 35,000 | \$ 37.04 | D | Â |
| Non-qualified Stock Option (Right to Buy) | 02/28/2011 ⁽³⁾ | 01/31/2021 | Common Stock | 5,000 | \$ 69.34 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| ORPIN TRISTAN 5200 ILLUMINA WAY SAN DIEGO, CA 92122 | Â | Â | Â EVP Clinical Genomics | Â |

Signatures

By: Scott M. Davies for Tristan B. Orpin
12/14/2015

**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 38,955 unvested performance stock units, which represent contingent right to receive one share of common stock based on the Company's earnings per share for fiscal years ending 1/3/16 (24,000 shares), 1/1/17 (8,438 shares), 12/31/17 (6,517 shares). Number of shares issued will range from 0% to 150% of the amount specified based on the Company's actual earnings per share for each fiscal year, relative to pre-defined objectives.

(2) Includes 7,716 unvested restricted stock units which vest as follows: 2,036 vesting 1/29/16, 1,312 vesting 3/8/16, 543 vesting 11/5/16, 2,036 vesting 1/29/17, 543 vesting 11/5/17, 703 vesting 1/29/18, 543 vesting 11/5/18.

(3) 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.

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.