

ILLUMINA INC
Form 4
August 15, 2014

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
HENRY CHRISTIAN O

(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)
08/13/2014

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)
Sr VP & Chief Commercial Ofcr

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 (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 (A) or (D) Price | | |
| Common Stock | 08/13/2014 | | M | | 10,000 (1) A \$ 37.04 | 38,630 | D |
| Common Stock | 08/13/2014 | | S | | 9,758 (1) D \$ 163.772 (2) | 28,872 | D |
| Common Stock | 08/13/2014 | | S | | 242 (1) D \$ 164.1952 (3) | 28,630 | D |
| Common Stock | 08/13/2014 | | M | | 10,000 (1) A \$ 69.34 | 38,630 | D |
| Common Stock | 08/13/2014 | | S | | 2,366 (1) D \$ 164.3783 | 36,264 | D |

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| | | | | | | | |
|--------------|------------|---|---------------------|---|------------------------------|-------------------|---|
| Common Stock | 08/13/2014 | S | 7,634 <u>(1)</u> | D | \$ 165.8972 <u>(5)</u> | 28,630 <u>(6)</u> | D |
|--------------|------------|---|---------------------|---|------------------------------|-------------------|---|

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

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.

SEC 1474
(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 Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|---|---|
| Non-Qualified Stock Option (right to buy) | \$ 37.04 | 08/13/2014 | | C | 10,000 <u>(1)</u> | Date Exercisable: 02/27/2010 Expiration Date: 01/27/2020 | Common Stock 10 |
| Non-Qualified Stock Option (right to buy) | \$ 69.34 | 08/13/2014 | | M | 10,000 <u>(1)</u> | Date Exercisable: 02/28/2011 Expiration Date: 01/31/2021 | Common Stock 10 |

Reporting Owners

Reporting Owner Name / Address

Relationships

HENRY CHRISTIAN O
5200 ILLUMINA WAY
SAN DIEGO, CA 92122

Director 10% Owner Officer Other

Sr VP & Chief Commercial Ofcr

Signatures

Scott M. Davies for Christian O.
Henry

08/15/2014

 **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 transaction was made pursuant to a 10b5-1 plan.
- (2) Weighted average sale price representing 9,758 shares sold ranging from \$163.19 to \$164.16 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 242 shares sold ranging from \$164.19 to \$164.22 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 2,366 shares sold ranging from \$164.22 to \$164.70 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 7,634 shares sold ranging from \$165.34 to \$166.22 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) Balance includes 111 shares acquired on Aug. 1, 2014 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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