

PROOF OF CLAIM AND RELEASE

UNITED STATES DISTRICT COURT
FOR THE SOUTHERN DISTRICT OF CALIFORNIA

IN RE ILLUMINA, INC. SECURITIES LITIGATION

Master File No. 3:16-cv-03044-L-MSB

IN RE ILLUMINA, INC SECURITIES LITIGATION
c/o JND Legal Administration
PO Box 91086
Seattle, WA 98111-9186

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Deadline for Submission: Postmarked or Submitted Online no later than April 27, 2020

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I. GENERAL INSTRUCTIONS

1. To recover as a member of the class based on your claims in the action entitled *In re Illumina, Inc. Securities Litigation*, 3:16-cv-03044-L-MSB (the “Consolidated Action”), you must complete and, on page 8 hereof, sign this Proof of Claim and Release Form. If you fail to file a properly addressed (as set forth in paragraph 3 below) Proof of Claim and Release Form, your claim may be rejected and you may be precluded from any recovery from the Settlement Fund created in connection with the proposed Settlement of the Consolidated Action.¹

2. Submission of this Proof of Claim and Release Form, however, does not assure that you will share in the proceeds of Settlement of the Consolidated Action. Your recovery, if any, will be calculated as described in the Plan of Allocation in the Notice of Pendency and Proposed Settlement of Class Action (the “Notice”).

3. **YOU MUST MAIL YOUR COMPLETED AND SIGNED PROOF OF CLAIM AND RELEASE FORM POSTMARKED OR SUBMITTED ONLINE ON OR BEFORE APRIL 27, 2020, ADDRESSED AS FOLLOWS:**

Illumina, Inc. Securities Litigation
c/o JND Legal Administration
P.O. Box 91086
Seattle, WA 98111-9186

4. If you are a Settlement Class Member, you are bound by the terms of any judgment entered in the Consolidated Action, **WHETHER OR NOT YOU SUBMIT A PROOF OF CLAIM AND RELEASE FORM** unless you timely and validly request exclusion from the Settlement Class pursuant to the Notice.

II. CLAIMANT IDENTIFICATION

1. If you purchased or otherwise acquired a legal or beneficial ownership interest in Illumina, Inc. Common Stock, during the period from July 26, 2016 through October 10, 2016, inclusive (the “Class Period”), and held the certificate(s) in your name, you are the beneficial purchaser or acquirer as well as the record purchaser or acquirer. If, however, the certificate(s) were registered in the name of a third party, such as a nominee or brokerage firm, you are the beneficial purchaser and the third party is a record purchaser.

2. Use Part I of the Proof of Claim and Release Form entitled “Claimant Identification” to identify each purchaser of record (“nominee”), if different from the beneficial purchaser of Illumina, Inc. Common Stock which form the basis of your claim. **THIS PROOF OF CLAIM AND RELEASE FORM MUST BE FILED BY THE ACTUAL BENEFICIAL PURCHASER OR PURCHASERS, OR THE LEGAL REPRESENTATIVE OF SUCH PURCHASER OR PURCHASERS OF THE ILLUMINA, INC. COMMON STOCK UPON WHICH THIS CLAIM IS BASED.**

¹ This Proof of Claim incorporates by reference the definitions in the Stipulation and Agreement of Settlement, dated June 11, 2019 (the “Settlement” or “Stipulation”), and all capitalized terms used but not defined herein shall have the same meanings as in the Settlement. A copy of the Settlement can be obtained at www.IlluminaSecuritiesSettlement.com.

3. All joint purchasers must sign this Proof of Claim and Release Form. Executors, administrators, guardians, conservators, and trustees must complete and sign this Proof of Claim and Release Form on behalf of Persons represented by them; their authority must accompany this claim and their titles or capacities must be stated. The Social Security (or taxpayer identification) number and telephone number of the beneficial owner may be used in verifying the claim. Failure to provide the foregoing information could delay verification of your claim or result in rejection of your Claim.

III. CLAIM FORM

1. Use Part II of the Proof of Claim and Release Form below entitled "Schedule of Transactions in Illumina, Inc. Common Stock" to supply all required details of your transaction(s) in Illumina, Inc. Common Stock. If you need more space or additional schedules, attach separate sheets giving all of the required information in substantially the same form. Sign and print or type your name on each additional sheet.

2. On the schedules, provide all of the requested information with respect to **all** of your purchases or acquisitions and **all** of your sales of Illumina, Inc. Common Stock which took place at any time from July 26, 2016 through October 10, 2016, inclusive, whether such transactions resulted in a profit or a loss. You must also provide all of the requested information with respect to all of the shares of Illumina, Inc. Common Stock you held at the close of trading on January 9, 2017. Failure to report all such transactions may result in the rejection of your Claim.

3. List each transaction in the Class Period separately and in chronological order by trade date, beginning with the earliest. You must accurately provide the month, day, and year of each transaction you list.

4. Broker confirmations or other documentation of your transactions in Illumina, Inc. Common Stock should be attached to your Proof of Claim and Release Form. Failure to provide this documentation could delay verification of your Claim or result in rejection of your Claim.

5. The above requests are designed to provide the minimum amount of information necessary to process your Claim.

6. NOTICE REGARDING ELECTRONIC FILES: Certain Claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. To obtain the mandatory electronic filing requirements and file layout, you may visit the settlement website at www.IlluminaSecuritiesSettlement.com. Any file not in accordance with the required electronic filing format will be subject to rejection.

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF CALIFORNIA
In re Illumina, Inc. Securities Litigation
Case No. 3:16-cv-03044

PROOF OF CLAIM AND RELEASE
**Must be Postmarked or Submitted Online No Later Than
April 27, 2020**

PART I – CLAIMANT IDENTIFICATION

Beneficial Owner's Name (First, Middle, Last):

Street Address:

City:

State or Province:

Zip Code or Postal Code:

Country:

Social Security Number or
Taxpayer Identification Number:

Individual

Corporation/Other

Telephone Number (Work):

Telephone Number (Home):

Record Owner's Name (if different from beneficial owner listed above):

Email:

PART II – SCHEDULE OF TRANSACTIONS IN ILLUMINA, INC. COMMON STOCK

A. Number of shares of Illumina, Inc. common stock held at the close of trading on July 25, 2016:

B. Purchases or acquisitions of Illumina, Inc. common stock between July 26, 2016 and October 10, 2016, inclusive. Be sure to attach documentation verifying your transactions. (Must be documented.)

| Trade Date (Month/Day/Year) | Number of Shares Purchased | Price Per Share | Total Amount | Purchased on U.S. Exchange | Purchased on Foreign Exchange |
|--------------------------------|----------------------------------|-----------------|--------------|----------------------------------|-------------------------------------|
| / / | | \$ | \$ | <input type="checkbox"/> | <input type="checkbox"/> |
| / / | | \$ | \$ | <input type="checkbox"/> | <input type="checkbox"/> |
| / / | | \$ | \$ | <input type="checkbox"/> | <input type="checkbox"/> |
| / / | | \$ | \$ | <input type="checkbox"/> | <input type="checkbox"/> |

C. Number of shares of Illumina, Inc. common stock purchased between October 11, 2016 and January 9, 2017, inclusive:

D. Sales or dispositions of Illumina, Inc. common stock between July 26, 2016 and January 9, 2017, inclusive. (Must be documented.)

| Trade Date (Month/Day/Year) | Number of Shares Sold | Price Per Share | Total Amount |
|--------------------------------|-----------------------|-----------------|--------------|
| / / | | \$ | \$ |
| / / | | \$ | \$ |
| / / | | \$ | \$ |
| / / | | \$ | \$ |

E. Number of shares of Illumina, Inc. common stock held at the close of trading on January 9, 2017 (must be documented):

If you require additional space, attach extra schedules in the same format as above. Sign and print your name on each additional page.

YOU MUST READ AND SIGN THE RELEASE ON PAGE 8. FAILURE TO SIGN THE RELEASE MAY RESULT IN A DELAY IN PROCESSING OR THE REJECTION OF YOUR CLAIM.

IV - SUBMISSION TO JURISDICTION OF COURT AND ACKNOWLEDGMENTS

I (We) submit this Proof of Claim and Release under the terms of the Stipulation and Agreement of Settlement, dated June 11, 2019 (“Settlement” or “Stipulation”) described in the Notice. I (We) also submit to the jurisdiction of the United States District Court for the Southern District of California, with respect to my (our) Claim as a Settlement Class Member (as defined in the Notice) and for purposes of enforcing the Releases set forth in the Settlement and herein. I (We) further acknowledge that I am (we are) bound by and subject to the terms of any judgment that may be entered in the Consolidated Action. I (We) agree to furnish additional information to Lead Counsel or the Claims Administrator to support this claim if required to do so. I (We) have not submitted any other claim covering the same purchases or sales of Illumina, Inc. securities during the Class Period and know of no other Person having done so on my (our) behalf.

V. RELEASE

1. I (We) hereby acknowledge, on behalf of myself (ourselves) and each of my (our) past and present directors, officers, employees, agents, trustees, fiduciaries, guardians, servants, consultants, underwriters, attorneys, advisors, representatives, estate trustees, heirs, executors, administrators, predecessors, successors and assigns, and any other person claiming by, through or on behalf of me (us) that I (we): (a) fully, finally and forever settle, release, waive, relinquish, discharge, and dismiss each and every of the Released Claims against the Released Parties; (b) am (are) forever enjoined from commencing, instituting, or prosecuting any or all of the Released Claims against the Released Parties; and (c) am (are) forever enjoined from instituting, continuing, maintaining, or asserting, either directly or indirectly, whether in the United States or elsewhere, on my (our) own behalf or on behalf of any class or any other person, any action, suit, cause of action, claim or demand against any person or entity who may claim any form of contribution or indemnity from any of the Released Parties in respect of any Released Claim or any matter related thereto.

2. “Released Claims” means any and all claims, debts, demands, rights, causes of action, or liabilities whatsoever (including, but not limited to, any claims for damages, interest, attorneys’ fees, expert or consulting fees, and any other costs, penalties, expenses or liability whatsoever, whenever or wherever incurred), whether based on federal, state, local, foreign, statutory, or common law or any other law, rule, or regulation, whether fixed or contingent, accrued or unaccrued, liquidated or unliquidated, at law or in equity, matured or unmatured, whether class, individual, or otherwise in nature, whether personal or subrogated, whether suspected or unsuspected, including both known claims and Unknown Claims: (1) that have been or could have been asserted in any of the Complaints filed in this Consolidated Action, or (2) that, directly or indirectly, rise out of or are related to (i) any of the factual allegations in the Complaints, (ii) any misrepresentation or omission

or alleged misrepresentation or omission by any Released Party before or during the Class Period related to or in connection with Illumina, Inc., or any of its subsidiaries or the purchase or sale of Illumina, Inc. Common Shares, or (iii) any loss sustained or allegedly sustained as a result of the purchase, sale, or holding Common Shares issued by Illumina, Inc., during the Class Period. Notwithstanding the foregoing, “Released Claims” does not include any claims to enforce the Settlement or any of its terms.

3. “Unknown Claims” means any and all Released Claims that any Plaintiff or Settlement Class Member does not know or suspect to exist in his, her or its favor, and any of the Settled Defendants’ Claims that any Defendant does not know or suspect to exist in his, her or its favor, which if known by him, her or it might have affected his, her or its decision(s) with respect to the Settlement. With respect to any and all Released Claims and Settled Defendants’ Claims, Plaintiffs and Defendants stipulate and agree that upon the Effective Date, Plaintiffs and Defendants shall each, for themselves and all persons claiming by, through, or on behalf of them, expressly waive, and each Class Member shall be deemed to have waived, and by operation of the Judgment shall have expressly waived, any and all provisions, rights and benefits conferred by any law of any state or territory of the United States, or principle of common law, that is similar, comparable, or equivalent to Cal. Civ. Code §1542, which provides:

A general release does not extend to claims that the creditor or releasing party does not know or suspect to exist in his or her favor at the time of executing the release and that, if known by him or her, would have materially affected his or her settlement with the debtor or released party.

Plaintiffs and Defendants acknowledge, and all Class Members and any successors, assigns, and persons claiming through or on behalf of any of the foregoing, shall, by operation of law, be deemed to have acknowledged that the inclusion of “Unknown Claims” in the definitions of Released Claims and Settled Defendants’ Claims were separately bargained for and constitute material elements of the Settlement.

4. “Released Parties” means Defendants; each of their respective current and former officers, directors, employees, agents, servants, representatives, parents, subsidiaries, affiliates, trusts, controlled persons and entities, controlling persons and entities, successors predecessors, assigns, assignees, attorneys, accountants, advisors, insurers, family members and partners; and each of their respective heirs, executors, administrators, legal representatives, successors and assigns.

5. This release shall be of no force or effect unless and until the Court approves the Settlement set forth in the Stipulation and it becomes effective on the Effective Date.

6. I (We) hereby warrant and represent that I (we) have not assigned or transferred or purported to assign or transfer, voluntarily or involuntarily, any matter released pursuant to this release or any other part or portion thereof.

7. I (We) hereby warrant and represent that I (we) have included information about all of my (our) transactions in Illumina, Inc. Common Stock that occurred during the Class Period as well as the amount of Illumina, Inc. Common Stock held by me (us) at the opening of trading on July 26, 2016, and the close of trading on January 9, 2017.

8. I (We) certify that I am (we are) not subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code.

Note: If you have been notified by the Internal Revenue Service that you are subject to backup withholding, please strike out the language that you are not subject to backup withholding in the certification above.

I declare under penalty of perjury under the laws of the United States of America that the foregoing information supplied by the undersigned is true and correct.

Executed this _____ day of _____ in _____

(Sign your name here)

(Sign your name here)

(Type or print your name here)

(Type or print your name here)

(Capacity of person(s) signing, e.g., Beneficial Purchaser, Executor or Administrator)

(Capacity of person(s) signing, e.g., Beneficial Purchaser, Executor or Administrator)

**ACCURATE CLAIMS PROCESSING TAKES A SIGNIFICANT AMOUNT OF TIME.
THANK YOU FOR YOUR PATIENCE.**

REMINDER CHECKLIST



1. Please sign the above release and declaration
2. If this Claim is being made on behalf of Joint Claimants, then both must sign.
3. Remember to attach copies of supporting documentation, if available.



4. **Do not send** originals of certificates.
5. Keep a copy of your own claim form and all supporting documentation for your records.

6. If you desire an acknowledgment of receipt of your claim form please send it Certified Mail, Return Receipt Requested.



7. If you move, please send your new address to the address below.

8. **Do not use red pen or highlighter** on the Proof of Claim and Release form supporting documentation.



**THIS PROOF OF CLAIM FORM MUST BE POSTMARKED OR SUBMITTED ONLINE NO LATER THAN
APRIL 27, 2020,
ADDRESSED AS FOLLOWS**

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