

# California Transparency in Supply Chains Act & UK Modern Slavery Act Disclosure Statement 2020

This statement is published by Illumina, Inc. on behalf of all relevant subsidiaries (collectively, "Illumina"), for the purposes of meeting Illumina's obligations under the California Transparency in Supply Chains Act of 2010 and section 54 of the UK Modern Slavery Act 2015. This statement relates to the financial year ending 31 January 2021.

Illumina is committed to conducting its business lawfully and with integrity and to continually strengthening its practices that seek to eliminate human trafficking, slavery, or forced or compulsory labor (hereafter, "Modern Slavery") from any part of its supply chains and global operations. We seek to ensure that our suppliers, Channel Partners (distributors) and other vendors (together "Business Partners") do not use Modern Slavery in any of its forms in providing goods or services to Illumina. Key aspects of Illumina's current controls on Modern Slavery appear in this statement.

## Organization Structure and Supply Chains

Illumina is a leading developer, manufacturer, and marketer of life science tools and integrated systems for large-scale analysis of genetic variation and function. Our mission is to improve human health by unlocking the power of the genome. Illumina is headquartered in San Diego, California and has operations - being a mix of manufacturing, clinical, distribution and other commercial operations - in 11 countries, has approximately 7,800 employees and had revenues in excess of USD 3 billion in 2020.

Illumina's main manufacturing facilities are in the U.S. and Singapore. We source components for our products, design parts, prototype parts, software and manufacturing equipment from 28 countries across the Americas, Asia, Europe and Africa and the first tier of our supply chain includes approximately 2000 suppliers. We currently have over 100 Channel Partners who we consider to be a key component of our global supply chain.

## Policy

Illumina is committed to conducting its business in compliance with all applicable laws and regulations, and with the highest ethical standards. We have therefore adopted several relevant policies applying to key stakeholders:

- **Illumina Code of Conduct:** applies to all of Illumina's employees, consultants, temporary workers, officers, and members of the Board of Directors, regardless of location, seniority level, business unit, function, or region. The Code of Conduct requires Illumina personnel to bring our company expectations regarding legal and ethical conduct to the attention of all suppliers and channel partners (including expectations regarding forced and child labor, and human trafficking), to perform due diligence when choosing business partners to ensure that suppliers meet Illumina's standards and to be vigilant for any signs that third parties are violating legal or ethical requirements, including local employment and safety laws.

- Supplier Code of Conduct: applies to all of Illumina's suppliers and requires suppliers to comply with standards relating to various issues, including Modern Slavery, human rights, labor rights as well as environment and health and safety. Suppliers are expected to ensure that their own subcontractors comply with the standards set out in the code of conduct.
- Channel Partner Code of Conduct: applies to all of Illumina's Channel Partners as well as their affiliates and subsidiaries across the globe and outlines responsibilities with respect to ensuring that their business is conducted with integrity and follows all applicable laws and regulations.

## Working with Business Partners

Illumina seeks to build relationships with Business Partners who share our commitment to satisfying all legal and ethical obligations. We favor competitive Business Partners who are proactive in contributing to the continued education, fair treatment and working conditions and betterment of employees and who provide equal employment opportunity.

We do not knowingly do business with Business Partners who employ under-age individuals, employ forced labor, or use corporal punishment to discipline employees, regardless of whether such practices are permitted by applicable law.

*How do we achieve this?*

## Verification and Due Diligence

Illumina performs due diligence when choosing Business Partners to verify that they meet our standards, as set out in our Supplier Code of Conduct and Channel Partner Code of Conduct, as applicable. Our due diligence includes conducting risk assessments when on-boarding new suppliers or Channel Partners and conducting some periodic assessments of performance.

Illumina takes steps to enhance its Modern Slavery risk mitigation strategies for areas of higher risk in its supply chains. For example, Illumina is a member of the Responsible Business Alliance and seeks to leverage collective action through this platform to tackle systemic risks surrounding Modern Slavery in the sourcing of certain metals lower down in the supply chain.

Illumina is committed to ensuring that it has appropriate grievance mechanisms in place so that employees and other stakeholders are able to raise concerns about conduct in our supply chains and global operations that might suggest Modern Slavery. To that end, the Illumina Code of Conduct directs all employees and Business Partners to report potential violations or concerns through a variety of channels, including to our legal team and/or our compliance hotline.

## Supply Chain Contractual Controls, Audits, and Certification

Illumina requires by contract that its suppliers and Channel Partners comply with applicable laws and regulations. We share our Supplier Code of Conduct and Channel Partner Code of Conduct, which describes Illumina's expectations for legal and ethical conduct, with all suppliers and Channel Partners and are vigilant for any signs that third parties are violating legal or ethical requirements, including local environmental, employment, and safety laws.

## Internal Accountability

Illumina has established a Compliance Committee to direct and oversee compliance activities, including administration of Illumina's Code of Conduct. Illumina's Channel Partner Compliance and Supply Chain groups oversee compliance with the Channel Partner Code of Conduct and the Supply Chain Code of Conduct. In the event that an actual or potential instance of non-compliance with one of Illumina's Codes of Conduct is identified through a due diligence process, monitoring activity, or report from an Illumina employee or third party, Illumina's Compliance Department will investigate the matter, address any non-compliance, and develop risk mitigation and monitoring plans in collaboration with relevant stakeholders, as appropriate. In all cases, Illumina takes all steps necessary to protect reporting or cooperating parties from any form of retaliation.

## Training of Internal Stakeholders

Illumina requires annual training on its Code of Conduct for all employees, as well as training on other company policies. Training is conducted through Illumina's Learning Management System and training records are documented for all employees.

## Measuring Performance

Illumina is in the process of developing Key Performance Indicators (KPIs) against which the company can assess year on year progress in ensuring it is effectively tackling Modern Slavery in its supply chains and global operations.

As Illumina expands its business activities and works with suppliers domestically and globally, Illumina remains committed to human rights and safety and ensuring that no Modern Slavery is involved in our operations or supply chain.

## Statement of Approval

This statement constitutes Illumina's modern slavery and human trafficking statement for the financial year ending 3 January 2021\*. The statement has been approved by the board of directors of the Company, and the board has authorized Francis deSouza, a director of the company, to sign the statement on the company's behalf.



Francis deSouza  
President & CEO

\*Our last Modern Slavery Act statement, dated December 31, 2019, can be found [here](#).