

# California Transparency in Supply Chains Act, United Kingdom Modern Slavery Act, & Australian Modern Slavery Act Disclosure Statement 2022

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, section 54 of the United Kingdom Modern Slavery Act 2015 and the Australian Modern Slavery Act 2018. This statement relates to the financial year ending 2 January 2023.

Illumina is committed to conducting its business lawfully and with integrity and to continually strengthen 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 largescale 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 a range of manufacturing, clinical, distribution, and other commercial operations that span 17 countries. Illumina has approximately 10,200 employees and had revenues in excess of USD \$4.5 billion in 2022.

Illumina’s main manufacturing facilities are in the U.S. and Singapore. We directly source components for our products, design parts, prototype parts, software, and manufacturing equipment from over 20 countries across the Americas, Asia, Europe, and Africa, and the first tier of our supply chain includes approximately 500 suppliers. We currently have over 190 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 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, health and safety. Suppliers are expected to ensure that their own subcontractors comply with the standards set out in the Supplier 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. The Channel Partner Code of Conduct includes a commitment to proactively contribute to continued education, fair treatment, and safe working conditions for all Channel Partner employees. It also includes a commitment to never employ under-age individuals, use forced labor, or corporal punishment to discipline employees.

## Working with Business Partners

Illumina seeks to build relationships with Business Partners who share our commitment to satisfying all legal, ethical, and human rights obligations. We seek Business Partners who are proactive in contributing to the continued education, fair treatment, working conditions and betterment of employees and who provide equal employment opportunity. Illumina is committed to respecting human rights and to treating every person with dignity and respect, and we expect our Business Partners to do the same. As set out in our Commitment to Human Rights, Illumina expects our Business Partners to act in accordance with internationally recognized human rights standards, including the United Nations Universal Declaration of Human Rights, International Covenant on Civil and Political Rights, the International Labor Organization's Declaration on Fundamental Principles and Rights at Work, and the United Nations Guiding Principles on Business and Human Rights.

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

*How do we achieve this?*

## Risk Assessment, 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 periodic assessments of performance. We additionally implement contractual and procedural safeguards to monitor compliance with our human rights expectations for Business Partners.

Illumina is aware that certain regions and industries in its supply chain pose a higher risk for modern slavery. For this reason, Illumina takes steps to enhance its Modern Slavery risk mitigation strategies for such higher risk areas. For example, as set out in our Supplier Code of Conduct, Illumina expects suppliers that procure tantalum, tin, tungsten, and gold to commit to the Responsible Business

Alliance Code of Conduct. The Responsible Business Alliance seeks to leverage collective action to tackle systemic risks surrounding Modern Slavery in the sourcing of certain metals lower down in the supply chain. In addition, Illumina partners with Source Intelligence to evaluate our supply chain regarding the use of conflict minerals, and Beroe Inc. to calculate environmental, social, and governance impact scores for our direct suppliers.

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 human rights and ethics team ([ethicsteam@illumina.com](mailto:ethicsteam@illumina.com)) or our compliance hotline which may be accessed on Illumina's webpage [here](#).

## Supply Chain Contractual Controls, Audits, and Certification

Illumina requires 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 direct suppliers and Channel Partners, and we are vigilant for any signs that third parties are violating legal or ethical requirements, including local environmental, employment, and safety laws.

## Internal Accountability

Illumina established a Compliance Committee to assist in ensuring an effective compliance program is in place. This program includes the 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. Illumina takes the obligation to investigate reports of potential violations of law, non-compliance with Illumina's Code of Conduct and Corporate Policies, and unethical conduct very seriously. Illumina is committed to impartially investigating all such reports where warranted and remediating any such violations in a fair and consistent manner. Illumina takes all reasonable steps permissible to protect reporting or cooperating parties from 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

As its business and operations grow, Illumina identifies and builds 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. In 2022, Illumina started trials of different software platforms for managing and monitoring supply chain partners for modern slavery risks. These tools enable Illumina to measure its suppliers' risk on an aggregated and individual scale. Illumina is committed to using these tools for assessing its efforts to prevent modern slavery in its supply chains.

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 statement for the financial year ending 2 January 2023.

Illumina, Inc. has produced this Modern Slavery statement through a risk-based and targeted consultation with key leaders and senior executives where relevant to its business. This included consulting with relevant leaders and senior executives of relevant subsidiaries.

The statement has been approved by the Board of Directors of Illumina, Inc on January 31, 2023, 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

For purposes of the Australian Modern Slavery Act, the principal governing body of Illumina Australia Pty Ltd ("Illumina Australia") is its Board of Directors. Illumina Australia is a wholly owned, indirect subsidiary of Illumina, Inc.. The statement has been approved by the Board of Directors of Illumina Australia on December 12, 2022, and the Illumina Australia board has authorized Paul Lumley, a director of the company, to sign the statement on the company's behalf.



Paul Lumley  
Sr. Director

\*Our last Modern Slavery Act statement, for the financial year ending 2 January, 2022, can be found [here](#).

[www.illumina.com](http://www.illumina.com)

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