

6 Apr. 2023 13:30:02 CEST

SIX Structured Products

CONNEXOR

PRODUCTS

Shares Bonds ETFs & Fonds Exchange Traded Products Listed Derivatives 

ISSUER REPORTING

User: Matthias Maurer

Group: Lonza Group AG

Login: 06.04.2023 - 13:29 CET

▼ Issuer Reporting
▼ Management Transactions / Disclosure of Shareholdings
Welcome
▼ Disclosure of Shareholdings
Welcome
Notifications concerning single shareholders
Notifications concerning a group of shareholders
Notifications concerning collective investment schemes
Summary of all notifications
► Management Transactions
My Profile
Admin
Logout

Notification concerning a single shareholder

ID TAN4600029

ISSUER

Name of the Issuer

Lonza Group AG

Part 1: PERSON SUBJECT TO REPORTING OBLIGATION

Beneficial owner / Person who has the discretionary power to exercise the voting rights

Company name

BlackRock, Inc.

Last name / First name

Street

ZIP / Residence / City

New York, NY

Country

USA

☒ Most recent☒ The notification is made on a consolidated basis within the meaning of art. 10 para. 2 sentences 2 and 3 FMIO-FINMA

Part 2: IN CASE OF INDIRECT PARTICIPATION

No information.

Remarks

Part 3: DATE AND REASON FOR THE REPORTING OBLIGATION

Date of the act which creates the obligation to notify

04.04.2023

Date of transfer of equity securities

Date of the notification by the shareholder

05.04.2023

Trigger for obligation to notify

☐ Acquisition☐ Sale☐ Creation of a group☐ Change in group composition☐ Termination of a group☐ Discretionary exercise of voting rights☒ Securities lending and comparable transactions☐ Granting (writing) of derivative holdings☐ Exercise, non-exercise or expiration of derivative holdings☐ Capital increase☐ Capital reduction☐ Ipso jure transfer or transfer due to a decision by a court or public authority☐ Change in the information subject to the obligation to notify☒ Other

Remarks

The obligation to notify was triggered by an acquisition of collateral (Acquisition and Share Position Obligation).

With recommendation of the Disclosure Office dated 15 July 2016 and 17 June 2019 and 8 July 2022, BlackRock, Inc. was

Voting rights total

Voting rights < 3%

☐ (for purchase positions as well as for sale positions)

Part 4: PURCHASE POSITIONS

Total of all purchase positions

10.03 %

1.) Equity securities or equity related securities:

Shares

1.1.) Registered share ▼

Number of rights

6'611'826

Number of voting rights

6'611'826

Percentage of voting rights

8.88 %

2.) Securities lending and comparable transactions in equity securities:

Of the equity securities mentioned in item 1 above, the following part is held due to securities lending and comparable transactions (Art. 17 FMIO-FINMA):

Shares

2.1.) Registered share ▼

Number of rights

216'716

Number of voting rights

216'716

Percentage of voting rights

0.29 %

Nature of the legal transaction

Other ▼

Agreed date of return transfer		or	Right to choose by	Other
Remarks	Repos (on the purchaser side) and/or collateral received with title transfer (non-repo).			

3.) Voting rights that can be exercised at one's own discretion:
The following voting rights were delegated by a third party and can be exercised at one's own discretion:

Number of voting rights	Percentage of voting rights
840'494	1.13 %

4.) Derivative holdings: **i**
Conversion and share purchase rights (such as call-options according to art. 15 para. 2 a FMIO-FINMA), granted (written) share sale rights and other derivative holdings:

Type of rights	Number of rights	Number of voting rights	Percentage of voting rights
4.1.) CFD	16'806	16'806	0.02 %
ISIN	or basic terms		
Identity of issuer			
Subscription ratio			
Exercise price			
Exercise period			
Exercise type	Cash Settlement and/or other terms		
Remarks	Contracts for difference issued by Goldman Sachs on Lonza Group AG (CH0013841017)		

5.) Securities lending and comparable transactions in derivative holdings:
Of the derivative holdings mentioned in item 4 above, the following part is held due to securities lending and comparable transactions (Art. 17 FMIO-FINMA):

No information.

Part 5: SALE POSITIONS

Total of all sale positions 0.08 %

Derivative holdings: **i**
Share sale rights (such as put-options according to art. 15 para. 2 a FMIO-FINMA), granted (written) conversion and share purchase rights and other derivative holdings:

Type of rights	Number of rights	Number of voting rights	Percentage of voting rights
1.) CFD	360	360	0.005 %
ISIN	or basic terms		
Identity of issuer			
Subscription ratio			
Exercise price			
Exercise period			
Exercise type	Cash Settlement and/or other terms		
Remarks	Contracts for difference issued by Barclays on Lonza Group AG (CH0013841017)		

2.) CFD	168	168	0.0002 %
ISIN	or basic terms		
Identity of issuer			
Subscription ratio			
Exercise price			
Exercise period			
Exercise type	Cash Settlement and/or other terms		
Remarks	Contracts for difference issued by Citigroup on Lonza Group AG (CH0013841017)		

3.) CFD	3'299	2'299	0.004 %
ISIN	or basic terms		
Identity of issuer			
Subscription ratio			
Exercise price			
Exercise period			
Exercise type	Cash Settlement and/or other terms		
Remarks	Contracts for difference issued by Goldman Sachs on Lonza Group AG (CH0013841017)		

4.) CFD	3'411	3'411	0.005 %
ISIN	or basic terms		
Identity of issuer			
Subscription ratio			
Exercise price			
Exercise period			
Exercise type	Cash Settlement and/or other terms		

Remarks

Contracts for difference issued by JP Morgan on Lonza Group AG (CH0013841017)

5.) CFD ▾

9'7849'7840.01%

ISIN

or basic terms

Identity of issuer

Subscription ratio

Exercise price

Exercise period

Exercise type

Cash Settlement ▾ and/or other terms

Remarks

Contracts for difference issued by Merrill Lynch on Lonza Group AG(CH0013841017)

6.) CFD ▾

1461460.0002%

ISIN

or basic terms

Identity of issuer

Subscription ratio

Exercise price

Exercise period

Exercise type

Cash Settlement ▾ and/or other terms

Remarks

Contracts for difference issued by Morgan Stanley on Lonza Group AG (CH0013841017)

7.) CFD ▾

15'84815'8480.02%

ISIN

or basic terms

Identity of issuer

Subscription ratio

Exercise price

Exercise period

Exercise type

Cash Settlement ▾ and/or other terms

Remarks

Contracts for difference issued by HSBC on Lonza Group AG(CH0013841017)

8.) CFD ▾

2'5552'5550.003%

ISIN

or basic terms

Identity of issuer

Subscription ratio

Exercise price

Exercise period

Exercise type

Cash Settlement ▾ and/or other terms

Remarks

Contracts for difference issued by BNP Paribas on Lonza Group AG(CH0013841017)

9.) Call-Option/Warrant ▾

12'60012'6000.02%

ISIN

or basic terms

Identity of issuer

Subscription ratio

Exercise price

Exercise period

Exercise type

Cash Settlement ▾ and/or other terms

Remarks

Call Option on LONZA GROUP AG CH0013841017 with exercise price of 544.593 expiry date of 16-May-2023

10.) Call-Option/Warrant ▾

15'00015'0000.02%

ISIN

or basic terms

Identity of issuer

Subscription ratio

Exercise price

Exercise period

Exercise type

Cash Settlement ▾ and/or other terms

Remarks

Call Option on Lonza Group AG CH0013841017 with exercise price of 574.496 expiry date of 11-April-2023 and exercise type of Cash Settled

Remarks: DETAILS REGARDING THE PUBLICATION

Status of publication

- ☐ In preparation by issuer
- ☐ Waiting for internal authorization
- ☐ Filed for preliminary check by the Disclosure Office
- ☒ Approved for publication
- ☐ Rejected by the Disclosure Office
- ☐ Obsolete due to amendment or erasure

☐ Discarded draft

Remarks regarding the publication

Details regarding the notification submission

Date / Time

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Company name

Lonza Group AG

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Data entry

☒ Regular publication by issuer

☐ Extraordinary publication by Disclosure Office

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☐ Directly by the issuer

Specifications regarding the publication

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Remarks of the Disclosure Office

Internal memo

[Back to Overview](#)