

Disclosure of shareholdings

FORM I

Notification of a single shareholder

Addressees, form and time limit

The notification must be submitted to the company and to the Disclosure Office within four trading days (art. 24 para. 1 FMIO-FINMA). The notification can be submitted by fax or email (art. 8 para. 1 FMIO-FINMA). The notification must be drawn up in English, French or German.

Address

SIX Swiss Exchange Ltd.
Disclosure Office
Selnastrasse 30
P.O. Box
8021 Zurich

Phone

+41 (0)58 399 41 19
+41 (0)58 399 26 80
+41 (0)58 399 43 48
+41 (0)58 399 43 02

Fax

+41 (0)58 499 29 35

Email

offenlegung@six-group.com

FORM I

Notification of a single shareholder

1. Name of listed company:

Lonza Group AG

Part 1: PERSON SUBJECT TO REPORTING OBLIGATION

Last name, first name, place of residence or company name and head office of the beneficial owner (art. 120 para. 1 FMIA) and/or of the person who has the discretionary power to exercise the voting rights (art. 120 para. 3 FMIA):

Massachusetts Mutual Life Insurance Company, Springfield, MA, USA

Part 2: IN CASE OF INDIRECT PARTICIPATION

Last name, first name, place of residence or company name and head office of the person/s directly involved:

See attached list

Part 3: DATE AND REASON FOR THE REPORTING OBLIGATION

Date of the act which creates the obligation to notify:

01.11.2016

Date of transfer of equity securities: (if different from the date of the act which creates the obligation to notify)

Facts and circumstances triggering the obligation to notify (art. 22 para. 1 b FMIO-FINMA):

☐ Acquisition

☐ Granting (writing) of derivative holdings

☐ Sale

☐ Exercise, non-exercise or expiration of derivative holdings

☐ Creation of a group

☐ Capital increase

☒ Change in group composition

☐ Capital reduction

☐ Termination of a group

☐ Discretionary exercise of voting rights

☐ Ipso jure transfer or transfer due to a decision by a court or public authority

☐ Securities lending and comparable transactions

☐ Change in the information subject to the obligation to notify

☐ Other:

Additional details (will not be published)

Last name, first name, address, telephone and email address of the contact person:

Griffith, Donald, Massachusetts Mutual Life Insurance Company, 1295 State Street, MIP F420, Springfield, MA 01111, USA, Tel+(413)744-5013, e-mail dgriffith@massmutual.com

Date: 08.11.2016


Name/s and valid signature/s

Part 4: PURCHASE POSITIONS PURSUANT TO art. 14 para. 1 a FMIO-FINMA

Total of all purchase positions:

Total of all equity securities or equity related securities (item 1), number of voting rights that can be exercised at one's own discretion (item 3) and derivative holdings (item 4)

Basis of calculation (art. 14 para. 2 FMIO-FINMA): total number of voting rights pursuant to the entry in the commercial register (see [Central Business Names Index](#)) or [Publication](#) according to art. 115 para. 3 FMIO:

Number of voting rights	Percentage	
$S1 = [1.1] + [3.1] + [4.1]$	$S2 = [1.2] + [3.2] + [4.2]$	52,920,140
2,387,807	4.51%	

1. Equity securities or equity related securities

Shares	Number	Voting rights ¹	
		Number	Percentage ²
Registered	2,287,865		4.32%
Bearer			
Total		2,287,865	4.32%

¹ Whether exercisable or not.

² Calculated on the basis of the total number of voting rights pursuant to the entry in the commercial register (art. 14 para. 2 FMIO-FINMA).

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	Number	Proportion of voting rights	Nature of the legal transaction	Agreed date of return transfer or, if there is a right to choose, whether this applies to the contracting party subject to the obligation to notify or to the counterparty
Registered	n/a			
Bearer	n/a			

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:

Voting rights	
Number	Percentage
$[3.1]$	$[3.2]$
99,942	0.19%

The number of voting rights disclosed above in item 3 does not have to be additionally disclosed in item 1. However, the number of voting rights has to be added to the total number of all purchase positions.

4. Derivative holdings

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	Voting rights conferred		Security ID number (ISIN) if available or basic terms
		Number	Percentage ²	(Identity of issuer, underlying, subscription ratio, exercise price, exercise period, exercise type)
	n/a			
Total		[4.1]	[4.2]	

² Calculated on the basis of the total number of voting rights pursuant to the entry in the commercial register (art. 14 para. 2 FMIO-FINMA).

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):

Type of rights	Number of rights	Proportion of voting rights	Nature of the legal transaction	Agreed date of return transfer or, if there is a right to choose, whether this applies to the contracting party subject to the obligation to notify or to the counterparty
	n/a			

Part 5: SALE POSTITIONS PURSUANT TO art. 14 para. 1 b FMIO-FINMA

Total of all sale positions:

Basis of calculation (art. 14 para. 2 FMIO-FINMA):
total number of voting rights pursuant to the entry in the
commercial register (see [Central Business Names
Index](#)) or [Publication](#) according to art. 115 para. 3
FMIO:

Number of voting rights	Percentage	
n/a		

Derivative holdings

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	Voting rights conferred		Security ID number (ISIN) if available or basic terms
		Number	Percentage ²	Identity of issuer, underlying, subscription ratio, exercise price, exercise period, exercise type)
	n/a			
Total		[3.1]	[3.2]	

² Calculated on the basis of the total number of voting rights pursuant to the entry in the commercial register (art. 14 para. 2 FMIO-FINMA)

Attachment to Form I (Lonza Group AG)

Part 2: Legal entities directly holding participations

Company name

Oppenheimer Global Multi-Asset Growth Fund
Oppenheimer International Growth Fund
Oppenheimer International Small Company Fund
Oppenheimer International Growth Fund/VA
Oppenheimer Global Allocation Fund
Oppenheimer Global ESG Revenue ETF
OFI Global: International Growth Fund, LP
OFIGTC International Growth Fund
OFIGTC International Small Cap Fund
MML Premier International Equity Fund
Oppenheimer Global Value Fund

Seat

Centennial, CO, USA
Centennial, CO, USA
Centennial, CO, USA
Centennial, CO, USA
Centennial, CO, USA
Philadelphia, PA, USA
New York, NY, USA
New York, NY, USA
New York, NY, USA
Springfield, MA, USA
Centennial, CO, USA