

## 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  
Selnaustrasse 30  
P.O. Box 1758  
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](mailto: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 that can exercise the voting rights at their own discretion (art. 120 para. 3 FMIA):

**Norges Bank (the Central Bank of Norway), Oslo, Norway**

### 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:

### Part 3: DATE AND REASON FOR THE REPORTING OBLIGATION

Date of the act which creates the obligation to notify:

**09.09.2016**

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):

- |                                                                              |                                                                                                          |
|------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Acquisition                                         | <input type="checkbox"/> Granting (writing) of derivative holdings                                       |
| <input type="checkbox"/> Sale                                                | <input type="checkbox"/> Exercise, non-exercise or expiration of derivative holdings                     |
| <input type="checkbox"/> Creation of a group                                 | <input type="checkbox"/> Capital increase                                                                |
| <input type="checkbox"/> Change in group composition                         | <input type="checkbox"/> Capital reduction                                                               |
| <input type="checkbox"/> Termination of a group                              | <input type="checkbox"/> Ipso jure transfer or transfer due to a decision by a court or public authority |
| <input type="checkbox"/> Discretionary exercise of voting rights             | <input type="checkbox"/> Change in the information subject to the obligation to notify                   |
| <input type="checkbox"/> Securities lending and comparable transactions      |                                                                                                          |
| <input checked="" type="checkbox"/> Other: <b>Collateral shares returned</b> |                                                                                                          |

### Additional details (will not be published)

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

**Chiaroni, Philippe, Bankplassen 2 PO Box 1179 Oslo 0107 Norway, +4724073297, pci@nbim.no**

Date: **12.09.2016**

**Philippe Chiaroni**

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                   |
|------------------------------|------------------------------|
| $S1 = [1.1] + [3.1] + [4.1]$ | $S2 = [1.2] + [3.2] + [4.2]$ |
| <b>1,364,801</b>             | <b>2.58 %</b>                |

**52,920,140**

### 1. Equity securities or equity related securities

| Shares     | Number           | Voting rights <sup>1</sup> |                         |
|------------|------------------|----------------------------|-------------------------|
|            |                  | Number                     | Percentage <sup>2</sup> |
| Registered | <b>1,364,801</b> | <b>1,364,801</b>           | <b>2.58 %</b>           |
| Bearer     |                  |                            |                         |
| Total      |                  | <b>1,364,801</b>           | <b>2.58 %</b>           |

<sup>1</sup> Whether exercisable or not.

<sup>2</sup> 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 | <b>98,799.00</b> | <b>0.19 %</b>               | <b>Shares held as collateral (seclending)</b> | <b>No agreed date, right to choose applies to counterparty</b>                                                                                                             |
| Bearer     |                  |                             |                                               |                                                                                                                                                                            |

**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]      |
|               |            |

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<br>(Identity of issuer, underlying, subscription ratio, exercise price, exercise period, exercise type) |
|----------------|------------------|-------------------------|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                |                  | Number                  | Percentage <sup>2</sup> |                                                                                                                                                               |
|                |                  |                         |                         |                                                                                                                                                               |
|                |                  |                         |                         |                                                                                                                                                               |
| <b>Total</b>   |                  | [4.1]                   | [4.2]                   |                                                                                                                                                               |

<sup>2</sup> 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 |
|----------------|------------------|-----------------------------|---------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                |                  |                             |                                 |                                                                                                                                                                            |

## 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           |
|-------------------------|----------------------|
| <input type="text"/>    | <input type="text"/> |

### 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<br>rights  | Voting rights conferred |                         | Security ID number (ISIN)<br>if available or basic terms |
|----------------------|----------------------|-------------------------|-------------------------|----------------------------------------------------------|
|                      |                      | Number                  | Percentage <sup>2</sup> |                                                          |
| <input type="text"/> | <input type="text"/> | <input type="text"/>    | <input type="text"/>    | <input type="text"/>                                     |
|                      |                      | [3.1]                   | [3.2]                   |                                                          |
| <b>Total</b>         |                      | <input type="text"/>    | <input type="text"/>    |                                                          |

<sup>2</sup> 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)