

16 Dec. 2022 10:57:04 CET

SIX Structured Products

CONNEXOR

PRODUCTS

Shares Bonds ETFs & Fonds Exchange Traded Products Listed Derivatives 

ISSUER REPORTING

User: Matthias Maurer

Group: Lonza Group AG

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Notification concerning a single shareholder

ID TAMCF000B5

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

13.12.2022

Date of transfer of equity securities

Date of the notification by the shareholder 

15.12.2022

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 (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

10.06 %

1.) Equity securities or equity related securities:

Shares

1.1.) Registered share ▼

Number of rights

6'602'107

Number of voting rights

6'602'107

Percentage of voting rights

8.87 %

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

255'919

Number of voting rights

255'919

Percentage of voting rights

0.34 %

Nature of the legal transaction

Other ▼

Agreed date of return transfer

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
849'838	1.14 %

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	Number of voting rights	Percentage of voting rights
4.1.) CFD	37'726	37'726	0.05 %
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)		

4.2.) CFD	2'256	2'256	0.003 %
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 JP Morgan on Lonza Group AG (CH0013841017)		

4.3.) CFD	24	24	0.00003 %
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)		

4.4.) CFD	1'479	1'479	0.002 %
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)		

4.5.) CFD	826	826	0.001 %
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)		

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 0.07 %

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	Number of voting rights	Percentage of voting rights
1.)			

CFD	349	349	0.0005	%
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	592	592	0.001	%
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	1'906	1'906	0.003	%
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 Goldman Sachs on Lonza Group AG (CH0013841017)			

4.) CFD	2'498	2'498	0.003	%
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 JP Morgan on Lonza Group AG (CH0013841017)			

5.) CFD	5'234	5'234	0.01	%
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	62	62	0.0001	%
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	9'511	9'511	0.01	%
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 HSBC on Lonza Group AG (CH0013841017)			

8.) CFD	6'124	6'124	0.01	%
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 BNP Paribas on Lonza Group AG (CH0013841017)

9.) Call-Option/Warrant ☐	13'300	13'300	0.02	%
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 538.26 expiry date of 13-January-2023			

10.) Call-Option/Warrant ☐	13'300	13'300	0.02	%
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 536.64 expiry date of 21-December-2022			

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	15.12.2022	13:26:26
Company name	Lonza Group AG	
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- Data entry
- ☒ Regular publication by issuer
 - ☐ Extraordinary publication by Disclosure Office
- Approval
- ☒ After preliminary check by the Disclosure Office
 - ☐ Directly by the issuer

Specifications regarding the publication

Date / Time	16.12.2022	06:30:24
Remarks of the Disclosure Office		
Internal memo		

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