

29 Dec. 2022 8:43:21 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 TAMCS00040

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

27.12.2022

Date of transfer of equity securities

Date of the notification by the shareholder 

28.12.2022

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 a disposal 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

9.92 %

1.) Equity securities or equity related securities:

Shares

Number of rights

Number of voting rights

Percentage of voting rights

1.1.) Registered share ▼

6'491'966

6'491'966

8.72 %

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 of rights

Number of voting rights

Percentage of voting rights

2.1.) Registered share ▼

77'074

77'074

0.10 %

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
851'737	1.14 %

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	34'303	34'303	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	2'455	2'455	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	161	161	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 Merrill Lynch on Lonza Group AG (CH0013841017)		

4.4.) CFD	39	39	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)		

4.5.) CFD	3'250	3'250	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 HSBC on Lonza Group AG (CH0013841017)		

4.6.) CFD	1'159	1'159	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 BNP Paribas on Lonza Group AG (CH0013841017)
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4.7.) CFD	26	26	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 Barclays on Lonza Group AG (CH0013841017)			

4.8.) CFD	31	31	0.00004	%
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 Societe Generale 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 0.06 %

Derivative holdings: 1
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	387	387	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 Barclays on Lonza Group AG (CH0013841017)		

2.) CFD	413	413	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	1'193	1'193	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 Goldman Sachs on Lonza Group AG (CH0013841017)			

4.) CFD	2'034	2'034	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 3'405 3'405 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 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 8'701 8'701 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 4'909 4'909 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 538.2614 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 456.4033 expiry date of 2-February-2023

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

28.12.2022

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Company name

Lonza Group AG

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/

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Data entry

☒ Regular publication by issuer

☐ Extraordinary publication by Disclosure Office

☒ After preliminary check by the Disclosure Office

☐ Directly by the issuer

Approval

Specifications regarding the publication

Date / Time

29.12.2022

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Remarks of the Disclosure Office

Internal memo

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