

13 Feb. 2023 9:51:19 CET

SIX Structured Products

CONNEXOR

## PRODUCTS

Shares Bonds ETFs & Fonds Exchange Traded Products Listed Derivatives 

## ISSUER REPORTING

User: Matthias Maurer

Group: Lonza Group AG

Login: 13.02.2023 - 09:50 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 TAN2A00060

## 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

09.02.2023

Date of transfer of equity securities

Date of the notification by the shareholder

10.02.2023

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 shares (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 &lt; 3%

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

## Part 4: PURCHASE POSITIONS

Total of all purchase positions

10.07 %

## 1.) Equity securities or equity related securities:

Shares

1.1.) Registered share ▼

Number of rights

6'618'598

Number of voting rights

6'618'598

Percentage of voting rights

8.89 %

## 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

190'611

Number of voting rights

190'611

Percentage of voting rights

0.26 %

Nature of the legal transaction

Other ▼

|                                |                                                                                                     |    |                    |                                    |
|--------------------------------|-----------------------------------------------------------------------------------------------------|----|--------------------|------------------------------------|
| Agreed date of return transfer | <input type="text"/>                                                                                | or | Right to choose by | <input type="text" value="Other"/> |
| Remarks                        | <div>Repos (on the purchaser side) and/or collateral received with title transfer (non-repo).</div> |    |                    |                                    |

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         |
|--------------------------------------|-------------------------------------|
| <input type="text" value="855'656"/> | <input type="text" value="1.15"/> % |

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 <b>i</b>        | Number of rights                                                                                               | Number of voting rights             | Percentage of voting rights         |
|--------------------------------|----------------------------------------------------------------------------------------------------------------|-------------------------------------|-------------------------------------|
| 4.1.) CFD <input type="text"/> | <input type="text" value="23'083"/>                                                                            | <input type="text" value="23'083"/> | <input type="text" value="0.03"/> % |
| ISIN                           | <input type="text" value="or basic terms"/>                                                                    |                                     |                                     |
| Identity of issuer             | <input type="text"/>                                                                                           |                                     |                                     |
| Subscription ratio             | <input type="text"/>                                                                                           |                                     |                                     |
| Exercise price                 | <input type="text"/>                                                                                           |                                     |                                     |
| Exercise period                | <input type="text"/>                                                                                           |                                     |                                     |
| Exercise type                  | <input type="text" value="Cash Settlement"/> and/or other terms                                                |                                     |                                     |
| Remarks                        | <input type="text" value="Contracts for difference issued by Goldman Sachs on Lonza Group AG (CH0013841017)"/> |                                     |                                     |

|                                |                                                                                                              |                                 |                                       |
|--------------------------------|--------------------------------------------------------------------------------------------------------------|---------------------------------|---------------------------------------|
| 4.2.) CFD <input type="text"/> | <input type="text" value="49"/>                                                                              | <input type="text" value="49"/> | <input type="text" value="0.0001"/> % |
| ISIN                           | <input type="text" value="or basic terms"/>                                                                  |                                 |                                       |
| Identity of issuer             | <input type="text"/>                                                                                         |                                 |                                       |
| Subscription ratio             | <input type="text"/>                                                                                         |                                 |                                       |
| Exercise price                 | <input type="text"/>                                                                                         |                                 |                                       |
| Exercise period                | <input type="text"/>                                                                                         |                                 |                                       |
| Exercise type                  | <input type="text" value="Cash Settlement"/> and/or other terms                                              |                                 |                                       |
| Remarks                        | <input type="text" value="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  %

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 <b>i</b>      | Number of rights                                                                                          | Number of voting rights          | Percentage of voting rights           |
|------------------------------|-----------------------------------------------------------------------------------------------------------|----------------------------------|---------------------------------------|
| 1.) CFD <input type="text"/> | <input type="text" value="242"/>                                                                          | <input type="text" value="242"/> | <input type="text" value="0.0003"/> % |
| ISIN                         | <input type="text" value="or basic terms"/>                                                               |                                  |                                       |
| Identity of issuer           | <input type="text"/>                                                                                      |                                  |                                       |
| Subscription ratio           | <input type="text"/>                                                                                      |                                  |                                       |
| Exercise price               | <input type="text"/>                                                                                      |                                  |                                       |
| Exercise period              | <input type="text"/>                                                                                      |                                  |                                       |
| Exercise type                | <input type="text" value="Cash Settlement"/> and/or other terms                                           |                                  |                                       |
| Remarks                      | <input type="text" value="Contracts for difference issued by Barclays on Lonza Group AG (CH0013841017)"/> |                                  |                                       |

|                              |                                                                                                               |                                    |                                      |
|------------------------------|---------------------------------------------------------------------------------------------------------------|------------------------------------|--------------------------------------|
| 2.) CFD <input type="text"/> | <input type="text" value="1'976"/>                                                                            | <input type="text" value="1'976"/> | <input type="text" value="0.003"/> % |
| ISIN                         | <input type="text" value="or basic terms"/>                                                                   |                                    |                                      |
| Identity of issuer           | <input type="text"/>                                                                                          |                                    |                                      |
| Subscription ratio           | <input type="text"/>                                                                                          |                                    |                                      |
| Exercise price               | <input type="text"/>                                                                                          |                                    |                                      |
| Exercise period              | <input type="text"/>                                                                                          |                                    |                                      |
| Exercise type                | <input type="text" value="Cash Settlement"/> and/or other terms                                               |                                    |                                      |
| Remarks                      | <input type="text" value="Contracts for difference issued by Goldman Sachs on Lonza Group AG(CH0013841017)"/> |                                    |                                      |

|                              |                                                                 |                                    |                                     |
|------------------------------|-----------------------------------------------------------------|------------------------------------|-------------------------------------|
| 3.) CFD <input type="text"/> | <input type="text" value="7'067"/>                              | <input type="text" value="7'067"/> | <input type="text" value="0.01"/> % |
| ISIN                         | <input type="text" value="or basic terms"/>                     |                                    |                                     |
| Identity of issuer           | <input type="text"/>                                            |                                    |                                     |
| Subscription ratio           | <input type="text"/>                                            |                                    |                                     |
| Exercise price               | <input type="text"/>                                            |                                    |                                     |
| Exercise period              | <input type="text"/>                                            |                                    |                                     |
| Exercise type                | <input type="text" value="Cash Settlement"/> and/or other terms |                                    |                                     |

Remarks

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

4.) CFD 5'275 5'275 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)

5.) CFD 106 106 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)

6.) CFD 18'649 18'649 0.03 %

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)

7.) CFD 1'779 1'779 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)

8.) Call-Option/Warrant 16'041 16'041 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 503.354 expiry date of 15-February-2023

9.) Call-Option/Warrant 11'500 11'500 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 568.464 expiry date of 28-March-2023

10.) CFD 17 17 0.00002 %

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)

**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

13.02.2023

08:58:59

Company name

Lonza Group AG

Last name / First name

Maurer

/ Matthias

E-Mail

matthias.maurer@lonza.com

Phone / Fax

0613168966

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

13.02.2023

09:22:58

Remarks of the Disclosure Office

Internal memo

[Back to Overview](#)