

BASF SE



WKN: BASF11 **ISIN:** DE000BASF111 **Land:** Deutschland

Nachricht vom 11.09.2020 | 14:35

BASF SE: Release according to Article 40, Section 1 of the WpHG [the German Securities Trading Act] with the objective of Europe-wide distribution

BASF SE

11.09.2020 / 14:35

Dissemination of a Voting Rights Announcement transmitted by DGAP - a service of EQS Group AG.

The issuer is solely responsible for the content of this announcement.

Notification of Major Holdings

1. Details of issuer

Name:	BASF SE
Street:	Carl-Bosch-Straße 38
Postal code:	67056
City:	Ludwigshafen Germany
Legal Entity Identifier (LEI):	529900PM64WH8AF1E917

2. Reason for notification

<input type="checkbox"/>	Acquisition/disposal of shares with voting rights
<input checked="" type="checkbox"/>	Acquisition/disposal of instruments
<input type="checkbox"/>	Change of breakdown of voting rights
<input checked="" type="checkbox"/>	Other reason: Non-Application of Trading Book Exemption according to sec. 36 para. 1 WpHG

3. Details of person subject to the notification obligation

Legal entity: The Goldman Sachs Group, Inc.
City of registered office, country: Wilmington, DE, United States of America (USA)

4. Names of shareholder(s)

holding directly 3% or more voting rights, if different from 3.

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5. Date on which threshold was crossed or reached:

04 Sep 2020

6. Total positions

	% of voting rights attached to shares (total of 7.a.)	% of voting rights through instruments (total of 7.b.1 + 7.b.2)	Total of both in % (7.a. + 7.b.)	Total number of voting rights pursuant to Sec. 41 WpHG
New	0.06 %	5.76 %	5.82 %	918478694
Previous notification	n/a %	n/a %	n/a %	/

7. Details on total positions

a. Voting rights attached to shares (Sec. 33, 34 WpHG)

ISIN	Absolute		In %	
	Direct (Sec. 33 WpHG)	Indirect (Sec. 34 WpHG)	Direct (Sec. 33 WpHG)	Indirect (Sec. 34 WpHG)
US0552625057	0	100699	0.00 %	0.01 %
DE000BASF111	0	464094	0.00 %	0.05 %
Total	564793		0.06 %	

b.1. Instruments according to Sec. 38 (1) no. 1 WpHG

Type of	Expiration or	Exercise or conversion	Voting rights	Voting rights
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instrument	maturity date	period	absolute	in %
Right to Recall	Open		4840067	0.53 %
Swap	17.06.2022		402136	0.04 %
Call Warrant	17.06.2022		213739	0.02 %
Future	21.12.2029		16123526	1.76 %
Call Option	15.12.2023		10242804	1.12 %
		Total	31822272	3.46 %

b.2. Instruments according to Sec. 38 (1) no. 2 WpHG

Type of instrument	Expiration or maturity date	Exercise or conversion period	Cash or physical settlement	Voting rights absolute	Voting rights in %
Put Warrant	31.12.2030		Cash	196282	0.02 %
CFD	04.09.2030		Cash	1333946	0.15 %
Call Warrant	31.12.2030		Cash	1135393	0.12 %
Swap	31.12.2030		Cash	3719209	0.40 %
Put Option	20.12.2030		Cash	1801705	0.20 %
Call Option	23.02.2033		Cash	2627153	0.29 %
Put Option	20.12.2024		Physical	7118700	0.78 %
Forward	20.12.2024		Cash	2407061	0.26 %
Future	15.12.2023		Cash	764909	0.08 %
			Total	21104358	2.30 %

8. Information in relation to the person subject to the notification obligation

	Person subject to the notification obligation is not controlled nor does it control any other undertaking(s) that directly or indirectly hold(s) an interest in the (underlying) issuer (1.).
X	Full chain of controlled undertakings starting with the ultimate controlling natural person or legal entity:

Name	% of voting rights (if at least 3% or more)	% of voting rights through instruments (if at least 5% or more)	Total of both (if at least 5% or more)
The Goldman Sachs Group, Inc.	%	%	%
GSAM Holdings LLC	%	%	%
Goldman Sachs Asset Management, L.P.	%	%	%
-	%	%	%
The Goldman Sachs Group, Inc.	%	%	%
Goldman Sachs Bank USA	%	%	%
-	%	%	%
The Goldman Sachs Group, Inc.	%	%	%
Goldman Sachs (UK) L.L.C.	%	%	%
Goldman Sachs Group UK Limited	%	%	%
Goldman Sachs International Bank	%	%	%
-	%	%	%
The Goldman Sachs Group, Inc.	%	%	%
GS Global Markets, Inc.	%	%	%
Goldman Sachs Finance Corp International Ltd.	%	%	%
-	%	%	%
The Goldman Sachs Group, Inc.	%	%	%
Goldman, Sachs & Co. Wertpapier GmbH	%	%	%
-	%	%	%
The Goldman Sachs Group, Inc.	%	%	%
GS Finance Corp.	%	%	%
-	%	%	%
The Goldman Sachs Group, Inc.	%	%	%

Goldman Sachs & Co. LLC		%		%		%
-		%		%		%
The Goldman Sachs Group, Inc.		%		%		%
IMD Holdings LLC		%		%		%
United Capital Financial Partners, Inc.		%		%		%
United Capital Financial Advisers, LLC		%		%		%
-		%		%		%
The Goldman Sachs Group, Inc.		%		%		%
Goldman Sachs (UK) L.L.C.		%		%		%
Goldman Sachs Group UK Limited		%		%		%
Goldman Sachs International		%		5,00%		5,00%

9. In case of proxy voting according to Sec. 34 para. 3 WpHG

(only in case of attribution of voting rights in accordance with Sec. 34 para. 1 sent. 1 No. 6 WpHG)

Date of general meeting:

Holding total positions after general meeting (6.) after annual general meeting:

Proportion of voting rights	Proportion of instruments	Total of both
%	%	%

10. Other explanatory remarks:

Date

09 Sep 2020

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