

BASF SE



WKN: BASF11 ISIN: DE000BASF111 Land: Deutschland

Nachricht vom 23.12.2020 | 15:15

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

23.12.2020 / 15:15

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: 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:

18 Dec 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	0.34 %	0.80 %	1.14 %	918,478,694
Previous notification	0.07 %	5.95 %	6.02 %	/

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)
DE000BASF111	0	2,967,653	0 %	0.32 %
US0552625057	0	126,748	0 %	0.01 %

Total	3,094,401	0.34 %
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b.1. Instruments according to Sec. 38 (1) no. 1 WpHG

Type of instrument	Expiration or maturity date	Exercise or conversion period	Voting rights absolute	Voting rights in %
Right To Recall	Open		4,135,660	0.45 %
Swap	16.09.2022		400,903	0.04 %
Future	19.03.2021		11,323	0.001 %
		Total	4,547,886	0.50 %

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	99,029	0.01 %
Swap	31.12.2030		Cash	1,345,008	0.15 %
Call Option	20.12.2030		Cash	839,732	0.09 %
Put Option	20.12.2030		Cash	347,935	0.04 %
Forward	20.12.2024		Cash	165,898	0.02 %
Future	15.12.2023		Cash	28,936	0.003 %
		Total		2,826,539	0.31 %

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

<input type="checkbox"/>	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.).
<input checked="" type="checkbox"/>	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.	%	%	%
Goldman Sachs Asset Management International Holdings L.L.C.	%	%	%
Goldman Sachs Asset Management (Hong Kong) Limited	%	%	%
-	%	%	%
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.		%	%	%
Goldman Sachs Non-US Americas Holdings LLC		%	%	%
Goldman Sachs Non-US Americas Holdings II LLC		%	%	%
GSEM Bermuda Holdings, L.P.		%	%	%
GS Equity Markets, L.P.		%	%	%
-		%	%	%
The Goldman Sachs Group, Inc.		%	%	%
FOLIO FINANCIAL, INC.		%	%	%
Folio Investments Inc.		%	%	%
-		%	%	%
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		%	%	%

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:

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Date

22 Dec 2020

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Carl-Bosch-Straße 38
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