

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

<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.	%	%	%
-	%	%	%
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:

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Date

09 Sep 2020

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