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Release according to article 40 para. 1 WpHG

## 4basebio AG: Release according to Article 40, Section 1 of the WpHG

Heidelberg (pta027/16.07.2020/18:15) - Release of Voting Rights Announcement

Voting Rights Announcement

1. Details of issuer:

Name: 4basebio AG  
 Legal Entity Identifier (LEI): 391200H5BDEVHMOV3U10  
 Street: Waldhofer Str. 102  
 Postal code: 69123  
 City: Heidelberg, Germany

2. Reason for notification:

Voluntary group notification due to crossing a threshold on a subsidiary level

3. Details of person subject to the notification obligation

Natural person (first name, surname): Wilhelm K. T. Zours

Date of birth: 1961-07-28

4. Names of shareholder(s) holding directly 3% or more voting rights, if different from 3

Deutsche Balaton Aktiengesellschaft, SPARTA AG

5. Date on which threshold was crossed or reached

14.07.2020

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	21.83	6.24	28.06	48,525,915
Previous notification (if applicable)	21.36	6.22	27.58	

## 7. Details on total positions

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

ISIN	Absolute direct (Sec. 33 WpHG)	Absolute indirect (Sec. 34 WpHG)	In % direct (Sec. 33 WpHG)	In % indirect (Sec. 34 WpHG)
DE000A2YN801 0		10,590,970	0.00	21.83
Total:		10,590,970		21.83

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

Type of instrument	Maturity / Expiration	Exercise or conversion period	Voting Rights Absolute	Voting Rights in %
			0	0.00
		Total:	0	0.00

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

Type of instrument	Maturity / Expiration	Exercise or conversion period	Cash or physical transaction	Voting Rights Absolute	Voting Rights in %
Wandelanleihe	26.08.2021	bis 13.08.2021		1,597,720	3.29
Call-Option		bis 27.08.2021		1,428,570	2.94
			Total:	3,026,290	6.24

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

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)
- Wilhelm K. T. Zours			
- DELPHI Unternehmensberatung Aktiengesellschaft			6.45
- VV Beteiligungen Aktiengesellschaft			
- Deutsche Balaton Aktiengesellschaft	15.55		17.11
- AEE Ahaus-Enscheder AG			
-			
- Wilhelm K.T. Zours			
- DELPHI Unternehmensberatung Aktiengesellschaft			6.45
- VV Beteiligungen Aktiengesellschaft			
- Deutsche Balaton Aktiengesellschaft	15.55		17.11

- SPARTA AG	4.26	
-		
- Wilhelm K.T. Zours		
- DELPHI Unternehmensberatung Aktiengesellschaft		6.45
- VV Beteiligungen Aktiengesellschaft		
- Deutsche Balaton Aktiengesellschaft	15.55	17.11
- Investunity AG		
-		
- Wilhelm K.T. Zours		
- DELPHI Unternehmensberatung Aktiengesellschaft		6.45
- VV Beteiligungen Aktiengesellschaft		
- Deutsche Balaton Aktiengesellschaft	15.55	17.11
- Latonba AG		

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: N/A

#### 10. Other useful information

Date

15.07.2020

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stock exchanges: regulated market in Frankfurt; free market in Dusseldorf, free market in Hamburg,  
free market in Munich, free market in Stuttgart; open market in Berlin, Tradegate

ISIN(s): DE000A2YN801 (share)

