

## Notification of Major Holdings

To be sent to BaFin via Fax (++49-(0)228-4108-3119) or via mail (BaFin, Referat WA 12 / WA 13,  
Marie-Curie-Str. 24-28, 60439 Frankfurt am Main) and to the Issuer via fax or mail

☒ **Notification of Major Holdings**

or

☐ **Correction** of a notification of Major Holding published on \_\_\_\_\_ (date of publication)<sup>i</sup>

**1. Details of issuer** (name, address)

Aumann AG  
Dieselstraße 6  
48361 Beelen

**2. Reason for notification** (multiple reasons possible)<sup>ii</sup>

☒ Acquisition/disposal of shares with voting rights

☐ Acquisition/disposal of instruments

☐ Change of breakdown of voting rights<sup>iii</sup>

☐ Other reason<sup>iv</sup>:

**3. Details of person subject to the notification obligation<sup>v</sup>**

Name: <sup>vi</sup>	City and country of registered office <sup>vii</sup> (if applicable):
Fidelity Mt. Vernon Street Trust	Boston, USA

**4. Names of shareholder(s)** holding directly 3% or more voting rights, if different from 3.<sup>viii</sup>

**5. Date on which threshold was crossed or reached:**<sup>ix</sup> 15.05.2017

**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 of issuer <sup>x</sup>
Resulting situation	3.10%	0.00%	3.10%	14,000,000
Previous notification (if applicable) <sup>xi</sup>	n/a	n/a	n/a	

**7. Notified details of the resulting situation****a. Voting rights attached to shares (Sec. 21, 22 WpHG)**

ISIN <sup>xii</sup>	absolute		in %	
	direct (Sec. 21 WpHG)	Indirect (Sec. 22 WpHG)	direct (Sec. 21 WpHG)	Indirect (Sec. 22 WpHG)
DE000A2DAM03	434,400		3.10%	%
			%	%
<b>Total</b>	<b>434,400</b>		<b>3.10%</b>	

**b.1. Instruments according to Sec. 25 para. 1 No. 1 WpHG**

(please use annex in case of more than 3 instruments)

Type of instrument <sup>xiii</sup>	Expiration or maturity date	Exercise or conversion period	Voting rights absolute	Voting rights in %
				%
				%
				%
<b>Total</b>				%

**b.2. Instruments according to Sec. 25 para. 1 No. 2 WpHG**

(please use annex in case of more than 3 instruments)

Type of instrument <sup>xiv</sup>	Expiration or maturity date	Exercise or conversion period	Cash or physical settlement <sup>xv</sup>	Voting rights absolute	Voting rights in %
					%
					%
					%
<b>Total</b>					%

**8. Information in relation to the person subject to the notification obligation** (please tick the applicable box):

☒ Person subject to the notification obligation is not controlled and does itself not control any other undertaking(s) holding directly or indirectly an interest in the (underlying) issuer (1.).

☐ Full chain of controlled undertakings starting with the ultimate controlling natural person or legal entity<sup>xvi</sup> (in case of more than 4 undertakings an annex is requested; the annex can be either a table or a qualified organizational chart; a qualified organizational chart contains only the information of a table; in case of a table please always provide only to BaFin also a basic organizational chart<sup>xvii</sup>):

Name	% of voting rights (if at least held 3% or more)	% of voting rights through instruments (if at least held 5% or more)	Total of both (if at least held 5% or more)
	%	%	%
	%	%	%
	%	%	%
	%	%	%

**9. In case of proxy voting according to Sec. 22 para. 3 WpHG**

(only in case of attribution of voting rights pursuant to Sec. 22 para. 1 sent. 1 No. 6 WpHG)

Date of general meeting:

Holding position after general meeting:                      % (equals                      voting rights)<sup>xviii</sup>**10. Other useful information<sup>xix</sup>**

19.05.2017,

Date,

Signature



<sup>i</sup> In case of a correction of a notification which has not been published by the issuer please tick the box "Notification of Major Holdings". Under 3. (Other useful information) of the Annex a note can be provided.

<sup>ii</sup> Relevant are the reasons for triggering the threshold(s). Example for multiple reasons: Exercise of financial instruments (= other reason) which at the same time led to crossing above a threshold of voting rights (= acquisition/disposal of shares with voting rights).

<sup>iii</sup> Applies only in case that a threshold is crossed due to the change of breakdown of voting rights (passive crossing). If the subscription of new shares leads to a crossing of threshold(s) (active crossing), the box "acquisition/disposal of shares with voting rights" applies.

<sup>iv</sup> Examples: Notifications according to Sec. 21 para. 1a and Sec. 41 para. 4f WpHG, entering or termination of an acting in concert, proxy or its termination, voluntary group notification with triggered threshold on subsidiary level, exercise or expiration of financial instruments.

<sup>v</sup> In case of identical notifications, e.g. community of heirs or multiple controlling parent undertakings ("Mehrmütterherrschaft"), a single notifications can be disclosed.

<sup>vi</sup> In case of natural persons: First name, family name (no reference to domicile or state).

<sup>vii</sup> City of registered office refers to the City stated in the register according to the applicable company law.

<sup>viii</sup> Relevant are only shareholders from which voting rights are attributed to the person under 3. according to Sec. 22 para. 1 and 2 WpHG.

<sup>ix</sup> For notifications according to Sec. 21 para. 1a and Sec. 41 para. 4f WpHG please enter the relevant date of holding.

<sup>x</sup> Please enter the total number of voting rights which has been used for calculation of the voting-right proportions (%).

<sup>xi</sup> If there has not been a previous notification please enter „n/a“.

<sup>xii</sup> Only to be filled in if more than one class of shares exist.

<sup>xiii</sup> Examples: Call-options, futures/forwards etc. Multiple instruments of the same type but with different periods of validity can be grouped by referring to the outmost relevant dates.

<sup>xiv</sup> Examples: Cash settled call-option, swaps, cfd's etc. Multiple instruments of the same type but with different periods of validity can be grouped by referring to the outmost relevant dates.

<sup>xv</sup> Sufficient is: "cash", "physical" or "both".

<sup>xvi</sup> Important: Always the full chain has to be provided, i.e. including the person under 3. and by starting with the ultimate parent undertaking, where applicable by an annex. This also applies in case that only a subsidiary undertaking triggers a threshold and thus discloses a notification (if its parent undertaking has not triggered a threshold at the same time it is not subject to the notification obligation). In case of multiple chains the chains have to be presented chain by chain leaving a row free between the different chains (e.g.: A, B, C, free row, A, B, D, free row etc.).

Whereas the names of the different companies have to be provided in any case, the percentages of their holdings have only to be provided if these reach or exceed the lowest applicable threshold (3% or 5%). However, this rule does not apply in cases where voting rights are attributed only due to the fact of being a parent undertaking (Sec. 22 and Sec. 25 WpHG), i.e. in these cases the percentages of their holdings shall not be provided. The attribution of voting rights in these cases is already made transparent by providing the order of chain of controlled undertakings.

<sup>xvii</sup> (Non-binding) Examples could be found in the annex to the FAQ-list of BaFin (currently only available in German) as well as on BaFin's homepage (available in an English version). The qualified organizational chart may contain only the relevant information of a group notification, i.e. chain and names of controlled undertakings as well as details of the holdings according to footnote xv.

<sup>xviii</sup> Relevant holding is the (cumulated) holding according to Sec. 9 and Sec. 10 WpHG after the general meeting, as Sec. 22 para. 3 WpHG refers only to the notification obligation under Sec. 21 WpHG.

<sup>xix</sup> Applicable only in individual cases. Example: No aggregation of voting rights and instruments as notifying party gets attributed voting rights (Sec. 22 WpHG) regarding which he also possesses an instrument (Sec. 25 WpHG). Information has to be brief and definite.