# Beteiligungsmeldung gem §§ 130 bis 134 BörseG 2018

London, UK, 14.3.2022

## Überblick

☐ **Meldung erfolgt nach Fristablauf**

Achtung: Gem § 137 BörseG 2018 ist das Ruhen der Stimmrechte zu beachten, wenn eine Person gegen die Beteiligungsmeldepflicht verstößt.

| |
|---|
| **1. Emittent:** Erste Group Bank AG |
| **2. Grund der Mitteilung:** Erwerb/Veräußerung von Aktien (Stimmrechten) |
| **3. Meldepflichtige Person**<br>**Name:** Wellington Management Group LLP<br>**Sitz:** Boston<br>**Staat:** United States |
| **4. Namen der Aktionäre:** |
| **5. Datum der Schwellenberührung:** 11.3.2022 |

**6. Gesamtposition der meldepflichtigen Person**

| | Prozentanteile der Stimmrechte, die zu **Aktien** gehören (7.A) | Prozentanteile der Stimmrechte, die die **Finanz-/sonstigen Instrumente** repräsentieren (7.B.1 + 7.B.2) | **Summe** von 7.A + 7.B in % | Gesamtzahl der Stimmrechte des Emittenten |
|---|---|---|---|---|
| Situation am Tag der Schwellenberührung | 5,26 % | 0,01 % | 5,27 % | 429 800 000 |
| Situation in der vorherigen Meldung (sofern anwendbar) | 4,74 % | 0,01 % | 4,75 % | |

## Details

### 7. Details über die gehaltenen Instrumente am Tag der Berührung der Schwelle:

| **A: Stimmrechte, die zu Aktien gehören** | | | | |
|---|---|---|---|---|
| ISIN der Aktien | Anzahl der Stimmrechte | | Prozentanteil der Stimmrechte | |
| | Direkt (§ 130 BörseG 2018) | Indirekt (§ 133 BörseG 2018) | Direkt (§ 130 BörseG 2018) | Indirekt (§ 133 BörseG 2018) |
| AT0000652011 | | 22 621 371 | | 5,26 % |
| **Subsumme A** | 22 621 371 | | 5,26 % | |

| **B 1: Finanzinstrumente / sonstige Instrumente gem § 131 Abs 1 Z 1 BörseG 2018** | | | | |
|---|---|---|---|---|
| Art des Instruments | Verfalldatum | Ausübungsfrist | Anzahl der Stimmrechte die erworben werden können | Prozentanteil der Stimmrechte |
| ADR | N/A | N/A | 15 | 0,00 % |
| | | **Subsumme B.1** | 15 | 0,00 % |

| **B 2: Finanzinstrumente / sonstige Instrumente gem § 131 Abs 1 Z 2 BörseG 2018** | | | | | |
|---|---|---|---|---|---|
| Art des Instruments | Verfalldatum | Ausübungsfrist | Physisches oder Cash Settlement | Anzahl der Stimmrechte | Prozentanteil der Stimmrechte |
| TR Swap | 22/05/2023 | N/A | Cash | 33 899 | 0,01 % |
| | | | **Subsumme B.2** | 33 899 | 0,01 % |

**8. Information in Bezug auf die meldepflichtige Person:**

☐ Die meldepflichtige Person (Punkt 3) wird nicht von einer natürlichen/juristischen Person kontrolliert und kontrolliert auch keine andere Person, die direkt oder indirekt Instrumente am Emittenten hält.

☒ Volle Kette der kontrollierten Unternehmen, über die die Stimmrechte und/oder Finanz-/sonstigen Instrumente gehalten werden, beginnend mit der obersten kontrollierenden natürlichen oder juristischen Person:

| Ziffer | **Name** | Direkt kontrolliert durch Ziffer | Direkt gehaltene Stimmrechte in **Aktien** (%) | Direkt gehaltene **Finanz-/sonstige Instrumente** (%) | **Total** von beiden (%) |
|---|---|---|---|---|---|
| 1 | Wellington Management Group LLP | | | | |
| 2 | Wellington Group Holdings LLP | 1 | | | |
| 3 | Wellington Investment Advisors Holdings LLP | 2 | | | |
| 4 | Wellington Management Global Holdings, Ltd | 3 | | | |
| 5 | Wellington Management International Ltd | 4 | 0,87 % | 0,01 % | 0,88 % |
| 6 | Wellington Management Singapore Pte. Ltd. | 4 | 0,07 % | | 0,07 % |
| 7 | Wellington Management Company LLP | 3 | 4,32 % | | 4,32 % |
| | | | | | |

**9. Im Falle von Stimmrechtsvollmacht**

Datum der Hauptversammlung: -

Stimmrechtsanteil nach der Hauptversammlung: - entspricht - Stimmrechten

**10. Sonstige Kommentare:**

Wellington Management Company LLP has also crossed above the 4 % notification threshold in its own right. Wellington Management Company is an investment management entity that manages the assets of certain funds and/or managed accounts.

Wellington Management Company LLP is a direct controlled undertaking of Wellington Investment Advisors Holdings LLP, which, in turn, is a direct controlled undertaking of

Wellington Group Holdings LLP, which, in turn, is a direct controlled undertaking of Wellington Management Group LLP.

London, UK am 14.3.2022

# Major holdings notification pursuant to Sec. 130 to 134 BörseG 2018

London, UK, 14.3.2022

## Overview

☐ **Notification made after deadline**

Caution: In case of violations of major holdings notification rules, please pay attention to Section 137 BörseG 2018 (Suspension of voting rights)

| |
|---|
| **1. Issuer:** Erste Group Bank AG |
| **2. Reason for the notification:** Acquisition or disposal of voting rights |
| **3. Person subject to notification obligation**<br>**Name:** Wellington Management Group LLP<br>**City:** Boston<br>**Country:** United States |
| **4. Name of shareholder(s):** |
| **5. Date on which the threshold was crossed or reached:** 11.3.2022 |

**6. Total positions**

| | % of voting rights attached to **shares** (7.A) | % of voting rights through **financial/other instruments** (7.B.1 + 7.B.2) | **Total** of both in % (7.A + 7.B) | Total number of voting rights of issuer |
|---|---|---|---|---|
| Resulting situation on the date on which threshold was crossed / reached | 5,26 % | 0,01 % | 5,27 % | 429 800 000 |
| Position of previous notification (if applicable) | 4,74 % | 0,01 % | 4,75 % | |

## Details

### 7. Notified details of the resulting situation:

| A: Voting rights attached to shares | | | | |
|---|---|---|---|---|
| ISIN Code | Number of voting rights | | % of voting rights | |
| | Direct (Sec 130 BörseG 2018) | Indirect (Sec 133 BörseG 2018) | Direct (Sec 130 BörseG 2018) | Indirect (Sec 133 BörseG 2018) |
| AT0000652011 | | 22 621 371 | | 5,26 % |
| **SUBTOTAL A** | 22 621 371 | | 5,26 % | |

| B 1: Financial / Other Instruments pursuant to Sec. 131 para. 1 No. 1 BörseG 2018 | | | | |
|---|---|---|---|---|
| Type of instrument | Expiration Date | Exercise Period | Number of voting rights that may be acquired if the instrument is exercised | % of voting rights |
| ADR | N/A | N/A | 15 | 0,00 % |
| | | **SUBTOTAL B.1** | 15 | 0,00 % |

| B 2: Financial / Other Instruments pursuant to Sec. 131 para. 1 No. 2 BörseG 2018 | | | | | |
|---|---|---|---|---|---|
| Type of instrument | Expiration Date | Exercise Period | Physical / Cash Settlement | Number of voting rights | % of voting rights |
| TR Swap | 22/05/2023 | N/A | Cash | 33 899 | 0,01 % |
| | | | **SUBTOTAL B.2** | 33 899 | 0,01 % |

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

☐ Person subject to the notification obligation is not controlled by any natural person or legal entity and does not control any other undertaking(s) holding directly or indirectly an interest in the (underlying) issuer.

☒ Full chain of controlled undertakings through which the voting rights and/or the financial/other instruments are effectively held starting with the ultimate controlling natural person or legal entity:

| No. | **Name** | Directly controlled by No. | **Shares** held directly (%) | **Financial/other instruments** held directly (%) | **Total** of both (%) |
|---|---|---|---|---|---|
| 1 | Wellington Management Group LLP | | | | |
| 2 | Wellington Group Holdings LLP | 1 | | | |
| 3 | Wellington Investment Advisors Holdings LLP | 2 | | | |
| 4 | Wellington Management Global Holdings, Ltd | 3 | | | |
| 5 | Wellington Management International Ltd | 4 | 0,87 % | 0,01 % | 0,88 % |
| 6 | Wellington Management Singapore Pte. Ltd. | 4 | 0,07 % | | 0,07 % |
| 7 | Wellington Management Company LLP | 3 | 4,32 % | | 4,32 % |
| | | | | | |

**9. In case of proxy voting**

Date of general meeting: -

Voting rights after general meeting: - is equivalent to - voting rights.

**10. Sonstige Kommentare:**

Wellington Management Company LLP has also crossed above the 4 % notification threshold in its own right. Wellington Management Company is an investment management entity that manages the assets of certain funds and/or managed accounts.

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