

LyondellBasell Industries N.V.
Form 4
March 10, 2016

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
AI INTERNATIONAL
CHEMICALS S.A.R.L.

2. Issuer Name and Ticker or Trading Symbol
LyondellBasell Industries N.V.
[LYB]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)

___ Director ___X___ 10% Owner
___ Officer (give title below) ___ Other (specify below)

33, RUE DU PUIITS ROMAIN,

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)

___ Form filed by One Reporting Person
X Form filed by More than One Reporting Person

(Street)

BERTRANGE, N4 L-8070

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
| | | | Code | V | Amount or Price | | |
| Ordinary shares | 03/08/2016 | | S | | \$ 258,405 | D | 83.8843 |
| | | | | | | | (1) 44,165,385 |
| Ordinary shares | 03/08/2016 | | S | | \$ 143,567 | D | 82.0837 |
| | | | | | | | (4) 44,021,818 |
| Ordinary shares | 03/08/2016 | | S | | \$ 591,609 | D | 81.2285 |
| | | | | | | | (5) 43,430,209 |
| Ordinary shares | 03/08/2016 | | S | | \$ 868 | D | 83.8843 |
| | | | | | | | (6) 269,492 |

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| | | | | | | | | |
|-----------------|------------|-----|-----------|---|------------------|------------|--------------------|----------------|
| | | | | | <u>(1)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/08/2016 | S | 483 | D | <u>82.0837</u> | 269,009 | D <u>(6)</u> | |
| | | | | | <u>(4)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/08/2016 | S | 1,989 | D | <u>81.2285</u> | 267,020 | D <u>(6)</u> | |
| | | | | | <u>(5)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/08/2016 | S | 542 | D | <u>83.8843</u> | 168,032 | D <u>(7)</u> | |
| | | | | | <u>(1)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/08/2016 | S | 301 | D | <u>82.0837</u> | 167,731 | D <u>(7)</u> | |
| | | | | | <u>(4)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/08/2016 | S | 1,240 | D | <u>81.2285</u> | 166,491 | D <u>(7)</u> | |
| | | | | | <u>(5)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/08/2016 | S | 259 | D | <u>83.8843</u> | 80,383 | D <u>(8)</u> | |
| | | | | | <u>(1)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/08/2016 | S | 144 | D | <u>82.0837</u> | 80,239 | D <u>(8)</u> | |
| | | | | | <u>(4)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/08/2016 | S | 593 | D | <u>81.2285</u> | 79,646 | D <u>(8)</u> | |
| | | | | | <u>(5)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/09/2016 | J | 1,200,000 | D | <u>(9)</u> | 42,230,209 | D <u>(2) (3)</u> | |
| | | | | | | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/09/2016 | G V | 1,200,000 | D | \$ 0 <u>(10)</u> | 0 | D <u>(11) (12)</u> | |
| | | | | | | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/09/2016 | S | 1,085,236 | D | <u>82.5331</u> | 41,144,973 | D <u>(2) (3)</u> | |
| | | | | | <u>(13)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/09/2016 | S | 7,682 | D | <u>82.5331</u> | 259,338 | D <u>(6)</u> | |
| | | | | | <u>(13)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/09/2016 | S | 4,790 | D | <u>82.5331</u> | 161,701 | D <u>(7)</u> | |
| | | | | | <u>(13)</u> | | | |
| | | | | | \$ | | | |
| Ordinary shares | 03/09/2016 | S | 2,292 | D | <u>82.5331</u> | 77,354 | D <u>(8)</u> | |
| | | | | | <u>(13)</u> | | | |
| Ordinary shares | | | | | | 16,000,000 | I <u>(14) (15)</u> | By corporation |

Ordinary shares 20,000,000 I ⁽¹⁴⁾ ⁽¹⁶⁾ By LLC

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned Following Transaction (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| AI INTERNATIONAL CHEMICALS S.A.R.L. 33, RUE DU PUIITS ROMAIN BERTRANGE, N4 L-8070 | | X | | |
| Access Industries Holdings LLC C/O ACCESS INDUSTRIES, INC. 730 FIFTH AVENUE, 20TH FL NEW YORK, NY 10019 | | X | | |
| ACCESS INDUSTRIES MANAGEMENT, LLC C/O ACCESS INDUSTRIES, INC. 730 FIFTH AVENUE, 20TH FL NEW YORK, NY 10019 | | X | | |
| ACCESS INDUSTRIES, LLC C/O ACCESS INDUSTRIES, INC. 730 FIFTH AVENUE, 20TH FL NEW YORK, NY 10019 | | X | | |

| | | |
|---|---|---------------------------|
| AI Altep Holdings, Inc 730 FIFTH AVENUE, 20TH FL NEW YORK, NY 10019 | | Affiliate of 10% Owner |
| AI INVESTMENTS HOLDINGS LLC C/O ACCESS INDUSTRIES, INC. 730 FIFTH AVENUE, 20TH FL NEW YORK, NY 10019 | X | |
| ALTEP 2010 L.P. C/O AI ALTEP HOLDINGS, INC. 730 FIFTH AVENUE, 20TH FL NEW YORK, NY 10019 | | Affiliate of 10% Owner |
| ALTEP 2011 L.P. C/O AI ALTEP HOLDINGS, INC. 730 FIFTH AVENUE, 20TH FL NEW YORK, NY 10019 | | Affiliate of 10% Owner |
| ALTEP 2014 L.P. C/O AI ALTEP HOLDINGS, INC. 730 FIFTH AVENUE, 20TH FL NEW YORK, NY 10019 | | Affiliate of 10% Owner |

| | | |
|---|---|--|
| Blavatnik Len C/O ACCESS INDUSTRIES, INC. 730 FIFTH AVENUE, 20TH FL NEW YORK, NY 10019 | X | |
|---|---|--|

Signatures

| | |
|---|------------|
| /s/ Alejandro Moreno for AI International Chemicals S.a r.l. | 03/10/2016 |
| **Signature of Reporting Person | Date |
| /s/ Alejandro Moreno for Access Industries Holdings LLC | 03/10/2016 |
| **Signature of Reporting Person | Date |
| /s/ Alejandro Moreno for Access Industries Management, LLC | 03/10/2016 |
| **Signature of Reporting Person | Date |
| /s/ Alejandro Moreno for Access Industries, LLC | 03/10/2016 |
| **Signature of Reporting Person | Date |
| /s/ Alejandro Moreno for AI Altep Holdings, Inc. | 03/10/2016 |
| **Signature of Reporting Person | Date |
| /s/ Alejandro Moreno for AI Investments Holdings LLC | 03/10/2016 |
| **Signature of Reporting Person | Date |
| /s/ Alejandro Moreno for Altep 2010 L.P | 03/10/2016 |
| **Signature of Reporting Person | Date |
| /s/ Alejandro Moreno for Altep 2011 L.P. | 03/10/2016 |

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| <u>Signature of Reporting Person</u> | Date |
|---|------------|
| s/ Alejandro Moreno for Altep 2014 L.P. | 03/10/2016 |
| <u>Signature of Reporting Person</u> | Date |
| /s/ Alejandro Moreno, as Attorney-in-Fact for Mr. Blavatnik | 03/10/2016 |
| <u>Signature of Reporting Person</u> | Date |

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
 - (1) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$83.0400 to \$84.0250, inclusive. The reporting person undertakes to provide to LyondellBasell Industries N.V., any security holder of LyondellBasell Industries N.V., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote to this Form 4.

The securities reported are held directly by AI International Chemicals S.a r.l. ("AIIC") and may be deemed to be indirectly beneficially owned by AI Investments Holdings LLC ("AIIH"), Access Industries, LLC, Access Industries Holdings LLC, Access Industries Management, LLC and Len Blavatnik because AIIH holds a majority of the outstanding voting interests in AIIC, Access Industries Holdings LLC holds a majority of the outstanding voting interests in AIIH, Access Industries, LLC holds a majority of the outstanding voting interests in Access Industries Holdings LLC, Access Industries Management, LLC controls Access Industries, LLC, Access Industries Holdings LLC and AIIH, and Mr. Blavatnik controls Access Industries Management, LLC and a majority of the outstanding voting interests in Access Industries, LLC.
 - (3) Each of the reporting persons (other than AIIC) disclaims beneficial ownership of the securities held directly by AIIC except to the extent of any pecuniary interest therein, and this Form shall not be construed as an admission that any such reporting person is the beneficial owner of any such securities.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$81.6200 to \$82.5350, inclusive. The reporting person undertakes to provide to LyondellBasell Industries N.V., any security holder of LyondellBasell Industries N.V., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote to this Form 4.
 - (5) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$80.6200 to \$81.6000, inclusive. The reporting person undertakes to provide to LyondellBasell Industries N.V., any security holder of LyondellBasell Industries N.V., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote to this Form 4.

The securities reported are held directly by Altep 2010 L.P. ("Altep 2010") and may be deemed to be indirectly beneficially owned by AI Altep Holdings, Inc. (formerly known as Access Industries, Inc.) and Mr. Blavatnik because AI Altep Holdings, Inc. is the general partner of Altep 2010 and Mr. Blavatnik controls AI Altep Holdings, Inc. Each of the reporting persons (other than Altep 2010) disclaims beneficial ownership of these securities, except to the extent of its or his pecuniary interest therein, and this Form shall not be construed as an admission that any such reporting person is the beneficial owner of any such securities.
 - (7) The securities reported are held directly by Altep 2011 L.P. ("Altep 2011") and may be deemed to be indirectly beneficially owned by AI Altep Holdings, Inc. and Mr. Blavatnik because AI Altep Holdings, Inc. is the general partner of Altep 2011 and Mr. Blavatnik controls AI Altep Holdings, Inc. Each of the reporting persons (other than Altep 2011) disclaims beneficial ownership of these securities, except to the extent of its or his pecuniary interest therein, and this Form shall not be construed as an admission that any such reporting person is the beneficial owner of any such securities.
 - (8) The securities reported are held directly by Altep 2014 L.P. ("Altep 2014") and may be deemed to be indirectly beneficially owned by AI Altep Holdings, Inc. and Mr. Blavatnik because AI Altep Holdings, Inc. is the general partner of Altep 2014 and Mr. Blavatnik controls AI Altep Holdings, Inc. Each of the reporting persons (other than Altep 2014) disclaims beneficial ownership of these securities, except to the extent of its or his pecuniary interest therein, and this Form shall not be construed as an admission that any such reporting person is the beneficial owner of any such securities.
 - (9) AIIC transferred 1,200,000 shares to its sole shareholder.
 - (10) Gift.
 - (11) The securities reported were held directly by AIIH and may be deemed to be indirectly beneficially owned by Access Industries, LLC, Access Industries Holdings LLC, Access Industries Management, LLC and Len Blavatnik because Access Industries Holdings LLC holds a majority of the outstanding voting interests in AIIH, Access Industries, LLC holds a majority of the outstanding voting interests

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in Access Industries Holdings LLC, Access Industries Management, LLC controls Access Industries, LLC, Access Industries Holdings LLC and AIIH, and Mr. Blavatnik controls Access Industries Management, LLC and a majority of the outstanding voting interests in Access Industries, LLC.

- (12) Each of the reporting persons (other than AIIH) disclaims beneficial ownership of the securities held directly by AIIH except to the extent of any pecuniary interest therein, and this Form shall not be construed as an admission that any such reporting person is the beneficial owner of any such securities.

- (13) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$81.9850 to \$82.9200, inclusive. The reporting person undertakes to provide to LyondellBasell Industries N.V., any security holder of LyondellBasell Industries N.V., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote to this Form 4.

- (14) Each of the reporting persons disclaims beneficial ownership of these securities, except to the extent of its or his pecuniary interest therein, and this Form shall not be construed as an admission that any such reporting person is the beneficial owner of any such securities.

- (15) The securities reported are held directly by AI European Holdings S.a.r.l. ("AIEH") and may be deemed to be indirectly beneficially owned by Access Industries Holdings LLC, Access Industries, LLC, Access Industries Management, LLC, and Len Blavatnik because Access Industries Holdings LLC, Access Industries, LLC and Access Industries Management, LLC control or own a majority of the voting equity of entities that directly or indirectly control AIEH, Access Industries, LLC holds a majority of the outstanding voting interests in Access Industries Holdings LLC, Access Industries Management, LLC controls Access Industries, LLC and Access Industries Holdings LLC and Mr. Blavatnik controls Access Industries Management, LLC and a majority of the voting interests in Access Industries, LLC.

- (16) The securities reported are held directly by AIPH Holdings LLC ("AIPH") and may be deemed to be indirectly beneficially owned by Access Industries, LLC, Access Industries Holdings LLC, Access Industries Management, LLC and Len Blavatnik because Access Industries Holdings LLC holds a majority of the outstanding voting interests in AIPH Holdings LLC, Access Industries, LLC holds a majority of the outstanding voting interests in Access Industries Holdings LLC, Access Industries Management, LLC controls Access Industries, LLC, Access Industries Holdings LLC and AIPH and Mr. Blavatnik controls Access Industries Management, LLC and a majority of the outstanding voting interests in Access Industries, LLC.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.