



Novartis India Limited
Registered Office:
Inspire BKC
Part of 601 & 701
Bandra Kurla Complex
Bandra (East)
Mumbai – 400 051
Maharashtra, India
Tel +91 22 50243000
Fax +91 22 50243010
Email: india.investors@novartis.com
CIN No. L24200MH1947PLC006104
Website: www.novartis.in

October 28, 2020

The Secretary
BSE Limited,
Phiroze Jeejeebhoy Towers,
Dalal Street,
Mumbai - 400 001

Sub.: Compliance Certificate obtained by Novartis India Limited (“the Company”) from a Practising Company Secretary for the half year ended on September 30, 2020, in terms of the provisions of Regulations 40(9) & (10) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“SEBI Listing Regulations”)

Ref.: Scrip Code - 500672

Dear Sir/ Madam,

Please note that in terms of the SEBI Listing Regulations, the Company has obtained a Compliance Certificate from Saraf & Associates, Company Secretaries, for the half year ended on September 30, 2020 and the same is being submitted herewith.

This is for your information and record.

Thanking you.

Yours sincerely,

For **Novartis India Limited**

Trivikram Guda
Company Secretary &
Compliance Officer

Encl.: as above

SARAF & ASSOCIATES

COMPANY SECRETARIES

www.sarafandassociates.com

423, Hind Rajasthan Building, 95, Dadasaheb Phalke Road, Dadar (C.Rly.), Mumbai - 400 014.

☎ (022) 2413 0371 / 2415 3887 ☎ +91 98203 20072 ✉ kamalax_saraf@hotmail.com

**CERTIFICATE UNDER REGULATION 40(9) OF SECURITIES AND
EXCHANGE BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE
REQUIREMENTS) REGULATIONS, 2015**

FOR THE HALF YEAR ENDED 30th SEPTEMBER 2020.

I have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to **NOVARTIS INDIA LIMITED** maintained by **LINK INTIME INDIA PVT. LTD**, the Registrar and Share Transfer Agent of the Company pertaining to transfer of equity shares of the company for the period beginning from **1st April, 2020 to 30th September, 2020** for the purpose of issuing a Certificate under Regulation 40(9) of SEBI (Listing Obligations And Disclosure Requirements) Regulations, 2015 and based on our examination as well as the information and explanation furnished to us, which to the best of our knowledge and belief were necessary for the purpose of our certification, we hereby certify that the Company has delivered during half year ended on **30th September, 2020**.

- Share Certificates in respect of request received during the period from **1st April, 2020 to 30th September, 2020** for sub division / consolidation and duplicate within thirty days from respective date of lodgment of each deed barring a few and except those rejected on technical grounds.
- Has not received any request for transfer, renewal, exchange, or endorsement of calls/ allotment monies.

Place : Mumbai

Date : 28th October 2020

UDIN : F001596B001083974

**For SARAF & ASSOCIATES
COMPANY SECRETARIES**

**KAMALAX
GANAPAYYA
SARAF**

Digitally signed by KAMALAX GANAPAYYA
SARAF
DN: c=IN, o=Personal,
2.5.4.20=c231876a272bdb5413b5135d4be18
b009d48d182b57b30d3d68329bb6e851c1,
postalCode=400022, st=MAHARASHTRA,
serialNumber=7c9055b2251292cc41585dcf82
a2295f1b796a899e7e1e464047886dd514fba3,
cn=KAMALAX GANAPAYYA SARAF
Date: 2020.10.28 14:50:04 +05'30'

**K.G. SARAF
COMPANY SECRETARY
FCS : 1596 CP : 642**

Note – Due to lockdown on account of COVID – 19 Pandemic, we were not able carry out physical inspection at the RTA office for verification of data. This Certificate is based on the inputs received from the RTA via email confirmation.