



**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

April 26, 2021

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 March 31, 2021, 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 March 31, 2021 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 31<sup>st</sup> MARCH, 2021.**

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 October, 2020 to 31<sup>st</sup> March, 2021** 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 **31<sup>st</sup> March, 2021**.

- a) Share Certificates relating to the transfer\* of Shares received during the period **1st October, 2020 to 31<sup>st</sup> March, 2021** as entered in the Memorandum of Transfers within thirty days from respective date of lodgment of each deed except those rejected on technical grounds;
- b) Share Certificates in respect of request received during the period from **1st October, 2020 to 31<sup>st</sup> March, 2021** for sub division / consolidation and renewal within thirty days from respective date of lodgment of each deed excepting those rejected on technical grounds.
- c) Has not received any request for exchange or endorsement of calls/ allotment monies.

\*Represents the transfer documents received on or before 31st March, 2019 and returned under objection and re-lodged thereafter

**Place : Mumbai**

**Date : 26/04/2021**

**UDIN : F001596C000178641**

**For SARAF & ASSOCIATES**

KAMALAX  
GANAPAYYA  
SARAF

Digitally signed by KAMALAX  
GANAPAYYA SARAF  
Date: 2021.04.26 14:01:17  
+05'30'

**K.G. SARAF**  
**Practising Company Secretary**  
**FCS: 1596 CP: 642**  
**FRN. S1988MH004801**  
**PR. 1003/2020**

Note : Due to Lockdown on account of COVID-19 Pandemic, we have not been able to carry out physical inspection at the RTA office for verification of data. This certificate is based on the inputs received via mail from the RTA.