

**NOVARTIS INDIA LIMITED**  
SHAREHOLDING PATTERN AS ON 30.09.2014

**(I) (a) Statement showing Shareholding Pattern**

SCRIP CODE : 500672 | Name of Scrip : NOVARTIS

Class of Security : Equity

Quarter Ended : 30.09.2014

Category Code	Partly paid up shares	Number of partly paid up shares	As a % of total number of partly paid up shares	As a % of total number of shares of the Company				
	Held by Promoter/Promoter group							
	Held by Public							
	<b>Total</b>	<b>0</b>	<b>0.00</b>	<b>0.00</b>				
	<b>Outstanding Convertible Securities</b>	<b>Number of outstanding Securities</b>	<b>As a % of total No. of outstanding Con. Securities</b>	<b>As a % of total No. of shares of the Company, assuming full conversion of the Securities</b>				
	Held by Promoter/Promoter group							
	Held by Public							
	<b>Total</b>	<b>0</b>	<b>0.00</b>	<b>0.00</b>				
	<b>Warrants</b>	<b>Number of warrants</b>	<b>As a % of total number of warrants</b>	<b>As a % of total number of shares of the Company assuming full conversion of warrants</b>				
	Held by Promoter/Promoter group							
	Held by Public							
	<b>Total</b>	<b>0</b>	<b>0.00</b>	<b>0.00</b>				
	<b>Total paid up capital of the Company, assuming full conversion of warrants and convertible securities</b>							
		<b>0</b>	<b>0.00</b>	<b>0.00</b>				
Category Code	Category of Shareholders	Number of Shareholders	Total No. of shares	Number of shares held in demat form	Total shareholding as a percentage of total number of shares As a percentage of (A+B)	As a percentage of (A+B+C)	Shares pledged or otherwise encumbered Number of Shares   As a %	
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)	(VIII)	(IX)=(VIII)/(IV)*100
<b>(A) Shareholding of Promoter and Promoter Group<sup>2</sup></b>								
(1) Indian								
(a) Individuals/H.U.F		0	0	0	0.00	0.00		
(b) Central/State Government(s)		0	0	0	0.00	0.00		
(c) Bodies Corporate		0	0	0	0.00	0.00		
(d) Financial Institutions/Banks		0	0	0	0.00	0.00		
(e) Any Other (specify)		0	0	0	0.00	0.00		
<b>Sub-Total (A)(1)</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0.00</b>	<b>0.00</b>		
(2) Foreign								
(a) Individuals(Non Resident Individuals/Foreign Individuals)		0	0	0	0.00	0.00		
(b) Bodies Corporate		4	23970597	23970597	75.00	75.00		
(c) Institutions		0	0	0	0.00	0.00		
(d) Qualified Foreign Investor		0	0	0	0.00	0.00		
(e) Any Other (specify)		0	0	0	0.00	0.00		
<b>e-1</b>								
<b>Sub-Total (A)(2)</b>		<b>4</b>	<b>23970597</b>	<b>23970597</b>	<b>75.00</b>	<b>75.00</b>		
<b>Total holding of Promoter and Promoter Group (A)=(A)(1)+(A)(2)</b>		<b>4</b>	<b>23970597</b>	<b>23970597</b>	<b>75.00</b>	<b>75.00</b>		
<b>(B) Public Shareholding</b>								
1 Institutions								
(a) Mutual Fund/UTI		15	334478	333805	1.05	1.05		
(b) Financial Institutions/Banks		37	4142	2051	0.01	0.01		
(c) Central/State Government(s)		0	0	0	0.00	0.00		
(d) Venture Capital Funds		0	0	0	0.00	0.00		
(e) Insurance Companies		3	291961	291961	0.91	0.91		
(f) Foreign Institutional Investors		6	559149	559149	1.75	1.75		
(g) Foreign Venture Cap. Investors		0	0	0	0.00	0.00		
(h) Qualified Foreign Investor		0	0	0	0.00	0.00		
(i) Any Other (specify)		0	0	0	0.00	0.00		
<b>(i-ii)</b>								
<b>(i-ii)</b>								
<b>Sub-Total (B)(1)</b>		<b>61</b>	<b>1189730</b>	<b>1186966</b>	<b>3.72</b>	<b>3.72</b>		
B 2 Non Institutions								
(a) Bodies Corporate		686	853797	849998	2.67	2.67		
(b) Individuals								
I Individual-I. Individual shareholders holding nominal share capital up to Rs. 1 lakh		41059	5164452	4422124	16.15	16.15		
II Individual shareholders holding nominal share capital in excess of Rs. 1 lakh		14	595780	595780	1.86	1.86		
(c) Qualified Foreign Investor								
(d) Any Other(specify)								
(d-i) NRI - Non Rep.		278	122938	120506	0.38	0.38		
(d-ii) NRI - Rep.		266	62655	61571	0.20	0.20		
(d-iii) Foreign National		1	54	54	0.00	0.00		
(d-iv) Overseas Corporate Bodies		0	0	0	0.00	0.00		
(d-v) Foreign Bodies		0	0	0	0.00	0.00		
(d-vi) Trust		5	794	794	0.00	0.00		
(d-vii) Clearing Member		0	0	0	0.00	0.00		
<b>Sub-Total (B)(2)</b>		<b>42309</b>	<b>6800470</b>	<b>6050827</b>	<b>21.28</b>	<b>21.28</b>		
<b>Total Public shareholding (B)=(B)(1)+(B)(2)</b>		<b>42370</b>	<b>7990200</b>	<b>7237793</b>	<b>25.00</b>	<b>25.00</b>		
<b>TOTAL (A)+B)</b>		<b>42374</b>	<b>31960797</b>	<b>31208390</b>	<b>100.00</b>	<b>100.00</b>		
(C) Shares held by Custodians and against which Depository Receipts have been Issued								
1 Promoter and Promoter Group								
2 Public								
<b>Sub Total (C)</b>								
<b>GRAND TOTAL (A)+(B)+(C)</b>		<b>42374</b>	<b>31960797</b>	<b>31208390</b>	<b>100.00</b>	<b>100.00</b>		

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COMPANY SECRETARY





(l) (b) Statement showing holding of securities (including shares, warrants, convertible securities) of persons belonging to the category "Promoter and Promoter Group"

Sr.No.	Name of the shareholder	Details of Shares held		Encumbered shares(*)			Details of warrants		Details of convertible securities		Total shares (including underlying shares assuming full conversion of warrants and convertible securities as a % of diluted share capital)
		No of Shares held	As a % of grand total (A)+(B)+(C)	Number	As a Percentage (VI) = (V)/(III)*100	As a % of grand total (A)+(B)+(C) of sub-clause (I)(a)	No of warrants held	As a % of total number of warrants of the same class	Number of convertible securities held	As a % of total number of convertible securities of the same class	
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)	(VIII)	(IX)	(X)	(XI)	(XII)
1	NOVARTIS AG	10170445	31.82	0	0.00	0.00	N. A.	N. A.	N. A.	N. A.	31.82
2	NOVARTIS AG	8147365	25.50	0	0.00	0.00	N. A.	N. A.	N. A.	N. A.	25.50
3	NOVARTIS AG	2921800	9.14	0	0.00	0.00	N. A.	N. A.	N. A.	N. A.	9.14
4	NOVARTIS AG	2730987	8.54	0	0.00	0.00	N. A.	N. A.	N. A.	N. A.	8.54
TOTAL		23970597	75.00	0	0.00	0.00					75.00

(\*) The term "encumbrance" has the same meaning as assigned to it in regulation 28(3) of the SAST Regulations, 2011

Statement showing holding of securities (including shares, warrants, convertible securities) of persons belonging to the (l)(c)(i) category "Public" and holding more than 1% of the total number of shares.

Sr.No.	Name of the shareholder	Number of shares held	Shares as a percentage of total number of shares (i.e., Grand Total (A)+(B)+(C) Indicated in Statement at para (I)(a) above)	Details of warrants		Details of convertible securities		Total shares (including underlying shares assuming full conversion of warrants and convertible securities as a % of diluted share capital)
				No of warrants held	As a % of total number of warrants of the same class	Number of convertible securities held	As a % of total number of convertible securities of the same class	
1	ATUL LIMITED	384660	1.20	N. A.	N. A.	N. A.	N. A.	1.20
2	PARI WASHINGTON COMPANY PVT LTD A/C PARI	347065	1.09					1.09
TOTAL		731725	2.29					2.29

Statement showing holding of securities (including shares, warrants, convertible securities) of persons (together with (l)(c)(ii) PAC) belonging to the category "Public" and holding more than 5% of the total number of shares of the company

Sr.No.	Name(s) of the shareholder(s) and the Persons Acting in Concert (PAC) with them	Number of shares	Shares as a percentage of total number of shares (i.e., Grand Total (A)+(B)+(C) Indicated in Statement at para (I)(a)	Details of warrants		Details of convertible securities		Total shares (including underlying shares assuming full conversion of warrants and convertible securities as a
				No of warrants held	As a % of total number of warrants of the same class	Number of convertible securities held	As a % of total number of convertible securities of the same class	
	N. A.			N. A.	N. A.	N. A.	N. A.	N. A.
TOTAL								

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(1) (d) Statement showing details of locked in shares

Sr. No.	Name of shareholder	No. of locked-in shares	Locked-in shares as percentage of total no. of shares (i.e. Grand Total(A)+(B)+C) indicated in statement at para(1)(a) above}	Promoter/ Promoter Group/ Public
	N. A.			
	TOTAL			

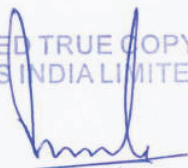
(II) (a) Statement showing details of Depository Receipts (DRS)

Sr. No.	Type of outstanding Dr(ADRs, GDRs, SDRs, etc.)	No. of DRs	No. of shares underlying outstanding DRs	Shares underlying outstanding DRs as a percentage of total no. of shares (i.e. Grand Total (A)+(B)+C) indicated in Statement at para (1)(a)above}
	N. A.			
	TOTAL			

(II) (b) Statement showing holding of Depository Receipts (DRs) where underlying shares are in excess of 1% of the total no. of shares

Sr. No.	Name of the DR Holder	Type of outstanding DR(ADRs, GDRs, SDRs, etc.)	No. of shares underlying outstanding DRs.	Shares underlying outstanding DRs as a percentage of total no. of shares (i.e. Grand Total (A)+(B)+C) indicated in Statement at para (1)(a)above}
	N. A.			
	TOTAL			

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