

NOVARTIS INDIA LIMITED  
SHAREHOLDING PATTERN AS ON 31.03.2014

(I) (a) Statement showing Shareholding Pattern

SCRIP CODE : 500672		Name of Scrip :NOVARTIS		Class of Security : Equity		Quarter Ended : 31.03.2014		
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>			0	0.00	0.00		
	<b>Outstanding Convertible Securities</b>			Number of outstanding Securities	As a % of total No. of outstanding Con. Securities	As a % of total No. of shares of the Company, assuming full conversion of the Securities		
	Held by Promoter/Promoter group							
	Held by Public							
	<b>Total</b>			0	0.00	0.00		
	<b>Warrants</b>			Number of warrants	As a % of total number of warrants	As a % of total number of shares of the Company assuming full conversion of warrants		
	Held by Promoter/Promoter group							
	Held by Public							
	<b>Total</b>			0	0.00	0.00		
<b>Total paid up capital of the Company, assuming full conversion of warrants and convertible securities</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		Shares pledged or otherwise encumbered	
					As a percentage of (A+B)	As a percentage of (A+B+C)	Number of Shares	As a %
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)	(VIII)	(IX)=[VIII]/(V)*100
<b>(A)</b>	<b>Shareholding of Promoter and Promoter Group<sup>2</sup></b>							
(1)	Indian							
(a)	Individuals/ri.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>	0	0	0	0.00	0.00		
(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		
e-1	<b>Sub-Total (A)(2)</b>	4	23970597	23970597	75.00	75.00		
	<b>Total holding of Promoter and Promoter Group (A)=(A)(1)+(A)(2)</b>	4	23970597	23970597	75.00	75.00		
<b>(B)</b>	<b>Public Shareholding</b>							
1	Institutions							
(a)	Mutual Fund/UTI	14	232781	232108	0.73	0.73		
(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	4	595908	595908	1.86	1.86		
(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		
(i-ii)								
(i-iii)								
	<b>Sub-Total (B)(1)</b>	58	1124792	1122028	3.52	3.52		
B 2	Non Institutions							
(a)	Bodies Corporate	609	902176	898377	2.82	2.82		
(b)	Individuals							
i	Individual-i. Individual shareholders holding nominal share capital up to Rs. 1 lakh	40790	5131757	4365341	16.06	16.06		
ii	Individual shareholders holding nominal share capital in excess of Rs.1 lakh	15	639879	599329	2.00	2.00		
(c)	Qualified Foreign Investor							
(d)	Any Other(specify)							
(d-i)	NRI - Non Rep.	283	121271	118839	0.38	0.38		
(d-ii)	NRI - Rep.	262	69425	68341	0.22	0.22		
(d-iii)	Foreign National	1	106	106	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>	41965	6865408	6051127	21.48	21.48		
	<b>Total Public shareholding (B)=(B)(1)+(B)(2)</b>	42023	7990200	7173155	25.00	25.00		
	<b>TOTAL (A)+(B)</b>	42027	31960797	31143752	100.00	100.00		
<b>(C)</b>	<b>Shares held by Custodians and against which Depository Receipts have been issued</b>							
1	Promoter and Promoter Group							
2	Public							
	<b>Sub Total ( C )</b>							
	<b>GRAND TOTAL (A)+(B)+(C)</b>		42027	31960797	31143752	100.00	100.00	

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NOVARTIS INDIA LIMITED

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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
	<b>TOTAL</b>	<b>23970597</b>	<b>75.00</b>	<b>0</b>	<b>0.00</b>	<b>0.00</b>					<b>75.00</b>

(\*) 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	PARI WASHINGTON COMPANY PVT LTD A/C PARI	417065	1.30					1.30			
2	ATUL LIMITED	384660	1.20	N.A.	N.A.	N.A.	N.A.	1.20			
	<b>TOTAL</b>	<b>801725</b>	<b>2.50</b>					<b>2.50</b>			

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Statement showing holding of securities (including shares, warrants, convertible securities) of persons (together with (i)(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	Percentage of total number of shares (i.e., Grand Total (A)+(B)+(C) Indicated in Statement at para (1)(a))	Details of warrants		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	
	N.A.			N.A.	N.A.	N.A.
<b>TOTAL</b>						

(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.			
<b>TOTAL</b>				

(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
	N.A.			
<b>TOTAL</b>				

(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.			
<b>TOTAL</b>				

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