



Novartis India Limited
Registered Office:
Sandoz House
Shivsagar Estate
Dr. Annie Besant Road
Wori, Mumbai 400 018
India
Tel +91 22 2495 8888
Fax +91 22 2495 0221
CIN No. L24200MH1947PLC006104
Website: www.novartis.in
Email: india.investors@novartis.com

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

October 11, 2017

Certificate pursuant to Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements), Regulations 2015

Dear Sirs,

Pursuant to Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations 2015, we enclose herewith a Certificate from a Practicing Company Secretary confirming that all certificates have been issued within thirty days of the date of lodgement for transfer, sub-division, consolidation, renewal, etc. for the half year ended September 30, 2017.

Kindly take the same on your records.

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, 2017.

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, 2017 to 30th September, 2017** 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, 2017**.

- a) Share Certificates relating to the transfer and transmission of Shares received during the period 1st April, 2017 to 30th September, 2017 as entered in the Memorandum of Transfers have been issued within thirty days from respective date of lodgment of each deed except those rejected on technical grounds.
- b) Share Certificates in respect of requests received during the period 1st April, 2017 to 30th September, 2017 for sub-division, consolidation and duplicate have been issued within thirty days except those rejected on technical grounds.
- c) Has not received any request for exchange or endorsement of calls/ allotment monies.

Place : Mumbai

Date : 10th October, 2017

**For SARAF & ASSOCIATES
COMPANY SECRETARIES**



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