

NOVARTIS INDIA LIMITED
SHAREHOLDING PATTERN AS ON 30.09.2012

(I) (a) Statement showing Shareholding Pattern

SCRIP CODE : 500672		Name of Scrip :NOVARTIS		Class of Security : Equity		Quarter Ended : 30.09.2012			
Category Code	<u>Partly paid up shares</u>			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								
	Total			0	0.00	0.00			
	<u>Outstanding Convertible Securities</u>			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								
	Total			0	0.00	0.00			
	<u>Warrants</u>			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								
	Total			0	0.00	0.00			
Total paid up capital of the Company, assuming full conversion of warrants and convertible securities									
Category Code	Category of Shareholders	Number of Shareholders	Total No. of shares	Number of shares held in demated form	Total shareholding as a percentage of total number of shares		Shares pledged or otherwise encumbered		(IX)=(VIII)/(IV)*100
					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)	
(A)	Shareholding of Promoter and Promoter Group²								
(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			
	Sub-Total (A)(1)	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	24424802	24424802	76.42	76.42			
(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-i		0	0	0	0.00	0.00			
	Sub Total (A)(2)	4	24424802	24424802	76.42	76.42			
	Total holding of Promoter and Promoter Group (A)=(A)(1)+(A)(2)	4	24424802	24424802	76.42	76.42			
(B)	Public Shareholding								
1	Institutions								
(a)	Mutual Fund/UTI	11	39227	38554	0.12	0.12			
(b)	Financial Institutions/Banks	40	5056	2895	0.02	0.02			
(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	24	555063	555063	1.74	1.74			
(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-ii)									
	Sub-Total (B)(1)	78	891307	888473	2.79	2.79			
B 2	Non Institutions								
(a)	Bodies Corporate	545	743250	739451	2.33	2.33			
(b)	Individuals								
I	Individual-i. Individual shareholders holding nominal share capital up to Rs. 1 lakh	39539	4979473	4153605	15.59	15.59			
II	ii) Individual shareholders holding nominal share capital in excess of Rs.1 lakh	16	757837	717287	2.37	2.37			
(c)	Qualified Foreign Investor								
(d)	Any Other(specify)								
(d-i)	NRI - Non Rep.	269	116359	113927	0.36	0.36			
(d-ii)	NRI - Rep.	228	46175	44425	0.14	0.14			
(d-iii)	Foreign National	0	0	0	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	7	1594	1594	0.00	0.00			
(d-vii)	Clearing Member	0	0	0	0.00	0.00			
	Sub-Total (B)(2)	40604	6644688	5770289	20.79	20.79			
	Total Public shareholding (B)=(B)(1)+(B)(2)	40682	7535995	6658762	23.58	23.58			
	TOTAL (A)+(B)	40686	31960797	31083564	100.00	100.00			
(C)	Shares held by Custodians and against which Depository Receipts have been issued								
1	Promoter and Promoter Group								
2	Public								
	Sub Total (C)								
	GRAND TOTAL (A)+(B)+(C)	40686	31960797	31083564	100.00	100.00			

(f) (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	10624650	33.24	0	0.00	0.00	N. A.	N. A.	N. A.	N. A.	33.24
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		24424802	76.42	0	0.00	0.00					76.42

(*) 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 category (f)(c)(i) "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
TOTAL		384660	1.20					1.20

Statement showing holding of securities (including shares, warrants, convertible securities) of persons (together with 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) 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
				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								

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

Sr. No.	Name of shareholder	No. of locked-in shares	Shares 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) (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)
	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				