

NOVARTIS INDIA LIMITED
SHAREHOLDING PATTERN AS ON 30.09.2015

(I) (a) Statement showing Shareholding Pattern

SCRIP CODE : 500672 | Name of Scrip : NOVARTIS | Class of Security : Equity | Quarter Ended : 30.09.2015

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							
	Total	0	0.00	0.00				
Category Code	Outstanding Convertible Securities	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				
Category Code	Warrants	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		31960797 shares of Rs.5/- each						
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	
					As a percentage of (A+B) ¹	(A+B+C)	Number of Shares	As a %
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)	(VIII)	(IX)=(VIII)/(IV)*100
(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	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-i								
	Sub Total (A)(2)	4	23970597	23970597	75.00	75.00		
	Total holding of Promoter and Promoter Group (A)=(A)(1)+(A)(2)	4	23970597	23970597	75.00	75.00		
(B)	Public Shareholding							
1	Institutions							
(a)	Mutual Fund/UTI	14	162534	161861	0.51	0.51		
(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	54507	54507	0.17	0.17		
(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 - (Foreign Portfolio - Corp.)	1	10000	10000	0.03	0.03		
(i-ii)								
(i-ii)								
	Sub-Total (B)(1)	59	523144	520380	1.64	1.64		
B 2	Non Institutions							
(a)	Bodies Corporate	663	1114175	1110376	3.49	3.49		
(b)	Individuals							
I	Individual-i. Individual shareholders holding nominal share capital up to Rs. 1 lakh	42158	5433369	4723088	17.00	17.00		
II	ii) Individual shareholders holding nominal share capital in excess of Rs.1 lakh	16	677549	677549	2.12	2.12		
(c)	Qualified Foreign Investor							
(d)	Any Other(specify)							
(d-i)	NRI - Non Rep.	286	124008	121576	0.39	0.39		
(d-ii)	NRI - Rep.	242	116372	115288	0.36	0.36		
(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	7	1529	1529	0.00	0.00		
(d-vii)	Clearing Member	0	0	0	0.00	0.00		
	Sub-Total (B)(2)	43373	7467056	6749460	23.36	23.36		
	Total Public shareholding (B)=(B)(1)+(B)(2)	43432	7990200	7269840	25.00	25.00		
	TOTAL (A)+(B)	43436	31960797	31240437	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)	43436	31960797	31240437	100.00	100.00		

(I) (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		Total shares (including underlying shares assuming full conversion of warrants and convertible securities)
		No of Shares held	As a % of grand total (A)+(B)+(C)	Number	As a Percentage	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) = (V)/(III)*100	(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	25.49	0	0.00	0.00	N. A.	N. A.	N. A.	N. A.	25.49
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	8.55	0	0.00	0.00	N. A.	N. A.	N. A.	N. A.	8.55
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

(I)(c)(i) Statement showing holding of securities (including shares,warrants,convertible securities) of persons belonging to the category "Public" and holding

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	Details of warrants		Details of convertible		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	
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 (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	Shares as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in	Details of warrants		Details of convertible		Total shares (including underlying shares assuming full conversion of warrants and convertible
				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	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) 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				