

NOVARTIS INDIA LIMITED
SHAREHOLDING PATTERN AS ON 30.09.2013

(I) (a) Statement showing Shareholding Pattern

SCRIP CODE : 500672		Name of Scrip : NOVARTIS		Class of Security : Equity		Quarter Ended : 30.09.2013		
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
	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
	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							
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)/(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	10	96430	95757	0.30	0.30		
(b)	Financial Institutions/Banks	38	4784	2623	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	20	674497	674497	2.11	2.11		
(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)								
	Sub-Total (B)(1)	71	1067672	1064838	3.34	3.34		
B 2	Non Institutions							
(a)	Bodies Corporate	621	1088943	1085144	3.41	3.41		
(b)	Individuals							
I	Individual-i. Individual shareholders holding nominal share capital up to Rs. 1 lakh	40397	5080364	4213815	15.90	15.90		
II	ii) Individual shareholders holding nominal share capital in excess of Rs.1 lakh	14	579129	619679	1.81	1.81		
(c)	Qualified Foreign Investor							
(d)	Any Other(specify)							
(d-i)	NRI - Non Rep.	280	123059	120477	0.39	0.39		
(d-ii)	NRI - Rep.	246	49779	48029	0.16	0.16		
(d-iii)	Foreign National	1	210	210	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	6	1044	1044	0.00	0.00		
(d-vii)	Clearing Member	0	0	0	0.00	0.00		
	Sub-Total (B)(2)	41565	6922528	6088398	21.66	21.66		
	Total Public shareholding (B)=(B)(1)+(B)(2)	41636	7990200	7153236	25.00	25.00		
	TOTAL (A)+(B)	41640	31960797	31123833	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)	41640	31960797	31123833	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		Total shares (including underlying shares assuming full conversion of warrants)
		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

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

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	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
TOTAL		801725	2.50					2.50

(I)(c)(ii) 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	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	
	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)
	N. A.			
TOTAL				

(II) (b) Statement showing holding of Depository Receipts (DRs) where underlying shares are in excess of 1% of the total

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)
	N. A.			
TOTAL				