



**Novartis India Limited**  
Registered Office:  
Inspire BKC  
Part of 601 & 701  
Bandra Kurla Complex  
Bandra (East)  
Mumbai – 400 051  
Maharashtra, India  
Tel +91 22 50243000  
Fax +91 22 50243010  
Email: india.investors@novartis.com  
CIN No. L24200MH1947PLC006104  
Website: www.novartis.in

October 30, 2020

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

**Sub.: Reconciliation of Share Capital Audit Report obtained by Novartis India Limited (“the Company”) for the quarter ended on September 30, 2020**

**Ref.: 1. Regulation 76 of the Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018 (“SEBI Depositories Regulations”)**  
**2. Scrip Codes: BSE - 500672**

Dear Sir/ Madam,

Please note that in terms of the applicable provisions of the SEBI Depositories Regulations, the Company has obtained the Reconciliation of Share Capital Audit Report for the quarter ended on September 30, 2020 from Saraf & Associates, Company Secretaries and the same is enclosed herewith as **Annexure A**.

This is for your information and records.

Thanking you,

Yours faithfully,

**For Novartis India Limited**

TRIVIKRAM  
M GUDA

**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

### RECONCILIATION OF SHARE CAPITAL

1. For Quarter Ended : 30<sup>th</sup> September 2020
2. ISIN : INE234A01025
3. Face Value : Re.5/-
4. Name of the Company : Novartis India Limited
5. CIN : L24200MH1947PLC006104
6. Registered Office Address : Inspire - BKC, Part of 601 and 701, Bandra Kurla Complex, Bandra East, Mumbai Mumbai City MH 400051.
7. Correspondence Address : Same as above
8. Telephone & Fax No. : (T)+91 22 50243000, (F) + 91 22 50243010
9. Email Address : india.investors@novartis.com
10. Name of the Stock Exchange : Bombay Stock Exchange (BSE)  
where the Company's securities  
are listed

|     |                                                                      | No. of Shares         | % of Total<br>Issued Capital |
|-----|----------------------------------------------------------------------|-----------------------|------------------------------|
| 11. | Issued Capital                                                       | <b>24690797</b>       |                              |
| 12. | Listed Capital (Exchange wise)<br>BSE/NSE (As per Company Records)   | 24690797              | 100.00                       |
| 13. | Held in Dematerialised form in CDSL                                  | 1533712               | 6.21                         |
| 14. | Held in Dematerialised form in NSDL                                  | 22735832              | 92.08                        |
| 15. | Physical                                                             | 421253                | 1.71                         |
| 16. | Total No. of Shares (13 + 14 + 15)                                   | <b>24690797</b>       | 100.00                       |
| 17. | Reasons for difference if any<br>Between (11&12) (11 & 16) (12 & 16) | <b>Not Applicable</b> |                              |

## RECONCILIATION OF SHARE CAPITAL AUDIT

18. Certifying the details of change in share capital during the quarter under consideration as per Table below:

| Particulars<br>*** | No of<br>shares | Applied /<br>Not<br>Applied<br>for<br>Listing | Listed on<br>Stock<br>Exchange<br>(Specify<br>Name) | Whether<br>Intimated<br>to CDSL | Whether<br>Intimated<br>to NSDL | In Principle<br>Apprl. Pending<br>for SE (Specify<br>Names) |
|--------------------|-----------------|-----------------------------------------------|-----------------------------------------------------|---------------------------------|---------------------------------|-------------------------------------------------------------|
| NIL                |                 |                                               |                                                     |                                 |                                 |                                                             |

\*\*\* Rights, Bonus, Preferential Issues, ESOP's, Amalgamation, Conversion, Buyback, Capital Reduction, Forfeiture, Any other (to Specify)

19. Register of Members is updated (Yes/No) : Yes

20. Reference of previous quarter with regards to excess dematerialized shares if any : Nil

21. Has the company resolved the matter mentioned : :N.A.  
in point no.20 above in the current quarter? if  
not, reason why?

22. Mention the total no. of requests, if any, Confirmed after 21 days and the total No. of requests pending beyond 21 days with the Reasons for delay \* :

| Total No. of Demat Requests   | No of Requests | No of Shares | Reasons for delay |
|-------------------------------|----------------|--------------|-------------------|
| Confirmed after 21 days       | Nil            | Nil          | N.A.              |
| Pending for more than 21 days | Nil            | Nil          | N.A.              |

\*SEBI vide circular no. SEBI/HO/MIRSD/DOP/CIR/P/2020/142 dated July 29, 2020 has excluded period from March 23, 2020 till September 30, 2020 for processing of the Demat Request Form by Issuer/ RTA.

23. Name, Telephone & Fax : Mr. Trivikram Guda (A17685)  
no. of the Compliance Officer : Company Secretary and Compliance Officer  
of the Company Tel : +91 22 50243000  
Fax: +91 22 50243010

24. Name, Address, Tel, and : K.G. SARAF  
Fax no. Regn. No. of the SARAF & ASSOCIATES  
Auditor Practising Company Secretaries  
423,Hind Rajasthan Bldg.  
95, D.S.P. Road, Dadar (East),  
Mumbai – 400014.  
Tel.No.24130371/24153887  
Membership No : F1596 : CP No.642.

## RECONCILIATION OF SHARE CAPITAL AUDIT

25. Appointment of Common Agency for Share Registry Work : LINK INTIME INDIA PVT. LTD  
C-101, 247 Park,  
L.B.S. Marg, Vikhroli (W),  
Mumbai – 400083.

26. Any other details that the Auditor may like to provide (e.g. BIFR Company, delisting from SE, Company changed its name etc.) : NO

**Place : Mumbai**

**Date : 26<sup>th</sup> October 2020**

**UDIN : F001596B001057123**

**For SARAF & ASSOCIATES**

**KAMALAX  
GANAPAYYA SARAF**

**K.G. SARAF  
Practising Company Secretary  
FCS: 1596 CP: 642**

Digitally signed by KAMALAX GANAPAYYA SARAF  
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57b30d3d68329b6e851c1, postalCode=400022,  
st=MAHARASHTRA,  
serialNumber=1c90553b2251292cc41585d4f82a2295f1b7a6a8  
99e7e1e464047886d514fba3, cn=KAMALAX GANAPAYYA  
SARAF  
Date: 2020.10.26 13:11:47 +05'30'