

### General information about company

Scrip code	500672
NSE Symbol	
MSEI Symbol	
ISIN	INE234A01025
Name of the company	Novartis India Limited
Whether company is SME	No
Class of Security	Equity Shares
Type of report	Quarterly
Quarter Ended / Half year ended/Date of Report (For Prelisting / Allotment)	31-12-2020
Date of allotment / extinguishment (in case Capital Restructuring selected) / Listing Date	
Shareholding pattern filed under	Regulation 31 (1) (b)
Whether the listed entity is Public Sector Undertaking (PSU)?	No

### Declaration

Sr. No.	Particular	Yes/No	Promoter and Promoter Group	Public shareholder	Non Promoter- Non Public
1	Whether the Listed Entity has issued any partly paid up shares?	No	No	No	No
2	Whether the Listed Entity has issued any Convertible Securities ?	No	No	No	No
3	Whether the Listed Entity has issued any Warrants ?	No	No	No	No
4	Whether the Listed Entity has any shares against which depository receipts are issued?	No	No	No	No
5	Whether the Listed Entity has any shares in locked-in?	No	No	No	No
6	Whether any shares held by promoters are pledge or otherwise encumbered?	No	No		
7	Whether company has equity shares with differential voting rights?	No	No	No	No
8	Whether the listed entity has any significant beneficial owner?	No			

**Table I - Summary Statement holding of specified securities**

Category (I)	Category of shareholder (II)	Nos. Of shareholders (III)	No. of fully paid up equity shares held (IV)	No. Of Partly paid-up equity shares held (V)	No. Of shares underlying Depository Receipts (VI)	Total nos. shares held (VII) = (IV)+ (V)+ (VI)	Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	Number of Voting Rights held in each class of securities (IX)			
								No of Voting (XIV) Rights			Total as a % of (A+B+C)
								Class eg: X	Class eg:y	Total	
(A)	Promoter & Promoter Group	1	17450680			17450680	70.68	17450680		17450680	70.68
(B)	Public	41441	7240117			7240117	29.32	7240117		7240117	29.32
(C)	Non Promoter-Non Public										
(C1)	Shares underlying DRs										
(C2)	Shares held by Employee Trusts										
	<b>Total</b>	41442	24690797			24690797	100	24690797		24690797	100

**Table I - Summary Statement holding of specified securities**

Category (I)	Category of shareholder (II)	No. Of Shares Underlying Outstanding convertible securities (X)	No. of Shares Underlying Outstanding Warrants (Xi)	No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a)	Shareholding , as a % assuming full conversion of convertible securities ( as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2)	Number of Locked in shares (XII)		Number of Shares pledged or otherwise encumbered (XIII)		Number of equity shares held in dematerialized form (XIV)
						No. (a)	As a % of total Shares held (b)	No. (a)	As a % of total Shares held (b)	
(A)	Promoter & Promoter Group				70.68					17450680
(B)	Public				29.32					6824774
(C)	Non Promoter-Non Public									
(C1)	Shares underlying DRs									
(C2)	Shares held by Employee Trusts									
	Total				100					24275454

**Table II - Statement showing shareholding pattern of the Promoter and Promoter Group**

Sr.	Category & Name of the Shareholders (I)	Nos. Of shareholders (III)	No. of fully paid up equity shares held (IV)	No. Of Partly paid-up equity shares held (V)	No. Of shares underlying Depository Receipts (VI)	Total nos. shares held (VII) = (IV)+(V)+ (VI)	Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	Number of Voting Rights held in each class of securities (IX)			
								No of Voting (XIV) Rights			Total as a % of Total Voting rights
								Class eg: X	Class eg:y	Total	
A	Table II - Statement showing shareholding pattern of the Promoter and Promoter Group										
(1)	Indian										
(2)	Foreign										
(e)	Any Other (specify)	1	17450680			17450680	70.68	17450680		17450680	70.68
Sub-Total (A)(2)		1	17450680			17450680	70.68	17450680		17450680	70.68
Total Shareholding of Promoter and Promoter Group (A)= (A)(1)+(A)(2)		1	17450680			17450680	70.68	17450680		17450680	70.68
B	Table III - Statement showing shareholding pattern of the Public shareholder										
(1)	Institutions										
(a)	Mutual Funds	5	760			760	0	760		760	0
(e)	Foreign Portfolio Investors	3	12770			12770	0.05	12770		12770	0.05
(f)	Financial Institutions/ Banks	17	5156			5156	0.02	5156		5156	0.02
(g)	Insurance Companies	1	188833			188833	0.76	188833		188833	0.76
Sub-Total (B)(1)		26	207519			207519	0.84	207519		207519	0.84
(3)	Non-institutions										
(a(i))	Individuals - i. Individual shareholders holding nominal share capital up to Rs. 2 lakhs.	39164	5478173			5478173	22.19	5478173		5478173	22.19
(a(ii))	Individuals - ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.	2	311853			311853	1.26	311853		311853	1.26
(b)	NBFCs registered with RBI	1	2250			2250	0.01	2250		2250	0.01

(e)	Any Other (specify)	2248	1240322			1240322	5.02	1240322		1240322	5.02
Sub-Total (B)(3)		41415	7032598			7032598	28.48	7032598		7032598	28.48
Total Public Shareholding (B)=(B)(1)+ (B)(2)+(B)(3)		41441	7240117			7240117	29.32	7240117		7240117	29.32
C	Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder										
Total (A+B+C2)		41442	24690797			24690797	100	24690797		24690797	100
Total (A+B+C)		41442	24690797			24690797	100	24690797		24690797	100

**Table II - Statement showing shareholding pattern of the Promoter and Promoter Group**

Sr.	No. Of Shares Underlying Outstanding convertible securities (X)	No. of Shares Underlying Outstanding Warrants (Xi)	No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a)	Shareholding , as a % assuming full conversion of convertible securities ( as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2)	Number of Locked in shares (XII)		Number of Shares pledged or otherwise encumbered (XIII)		Number of equity shares held in dematerialized form (XIV)
					No. (a)	As a % of total Shares held (b)	No. (a)	As a % of total Shares held (b)	
A	Table II - Statement showing shareholding pattern of the Promoter and Promoter Group								
(1)	Indian								
(2)	Foreign								
(e)				70.68					17450680
Sub-Total (A) (2)				70.68					17450680
Total Shareholding of Promoter and Promoter Group (A)= (A)(1)+(A)(2)				70.68					17450680
B	Table III - Statement showing shareholding pattern of the Public shareholder								
(1)	Institutions								
(a)				0					200
(e)				0.05					12770
(f)				0.02					4427
(g)				0.76					188833
Sub-Total (B) (1)				0.84					206230
( 3 )	Non-institutions								
(a(i))				22.19					5066965
(a(ii))				1.26					311853
(b)				0.01					2250
(e)				5.02					1237476
Sub-Total (B) (3)				28.48					6618544
Total Public Shareholding (B)=(B)(1)+(B)(2)+(B)(3)				29.32					6824774
C	Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder								
Total ( A+B+C2 )				100					24275454
Total (A+B+C )				100					24275454

**Any Other (specify)**

Serial No.	1	
Category	Bodies Corporate	
Name of the Shareholders (I)	Novartis AG	<a href="#">Click here to go back</a>
PAN (II)	AAACN4932F	Total
No. of the Shareholders (I)	1	1
No. of fully paid up equity shares held (IV)	17450680	17450680
No. Of Partly paid-up equity shares held (V)		
No. Of shares underlying Depository Receipts (VI)		
Total nos. shares held (VII) = (IV)+ (V)+ (VI)	17450680	17450680
Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	70.68	70.68
<b>Number of Voting Rights held in each class of securities (IX)</b>		
Class eg: X	17450680	17450680
Class eg:y		
Total	17450680	17450680
Total as a % of Total Voting rights	70.68	70.68
No. Of Shares Underlying Outstanding convertible securities (X)		
No. of Shares Underlying Outstanding Warrants (Xi)		
No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a)		
Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share	70.68	70.68



capital) (XI)= (VII)+(X) As a % of (A+B+C2)		
Number of Locked in shares (XII)		
No. (a)		
As a % of total Shares held (b)		0
Number of Shares pledged or otherwise encumbered (XIII)		
No. (a)		
As a % of total Shares held (b)		0
Number of equity shares held in dematerialized form (XIV)	17450680	17450680
Reason for not providing PAN		
Reason for not providing PAN		
Shareholder type	Promoter	

**Any Other (specify)**

Serial No.	1	2	3	4	5	6	7
Category	IEPF	Trusts	Foreign Nationals	HUF	Non-Resident Indian (NRI)	Clearing Members	Bodies Corporate
Category / More than 1 percentage	Category	Category	Category	Category	Category	Category	Category
Name of the Shareholders (I)							
PAN (II)							
No. of the Shareholders (I)	1	4	1	1168	695	75	304
No. of fully paid up equity shares held (IV)	116454	2072	54	266960	263377	17399	574006
No. Of Partly paid-up equity shares held (V)							
No. Of shares underlying Depository Receipts (VI)							
Total nos. shares held (VII) = (IV)+ (V)+ (VI)	116454	2072	54	266960	263377	17399	574006
Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	0.47	0.01	0	1.08	1.07	0.07	2.32
<b>Number of Voting Rights held in each class of securities (IX)</b>							
Class eg: X	116454	2072	54	266960	263377	17399	574006
Class eg:y							
Total	116454	2072	54	266960	263377	17399	574006
Total as a % of Total Voting rights	0.47	0.01	0	1.08	1.07	0.07	2.32
No. Of Shares Underlying Outstanding convertible securities (X)							
No. of Shares Underlying Outstanding Warrants (Xi)							
No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a)							
Shareholding , as a % assuming full conversion of convertible							

securities (as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2)	0.47	0.01	0	1.08	1.07	0.07	2.32
Number of Locked in shares (XII)							
No. (a)							
As a % of total Shares held (b)							
Number of equity shares held in dematerialized form (XIV)	116454	2072	54	266948	260583	17399	573966
Reason for not providing PAN							
Reason for not providing PAN							

**Any Other (specify)**

Serial No.	8	
Category	Bodies Corporate	
Category / More than 1 percentage	More than 1 percentage of shareholding	
Name of the Shareholders (I)	Atul Limited	<a href="#">Click here to go back</a>
PAN (II)	AABCA2390M	Total
No. of the Shareholders (I)	1	2248
No. of fully paid up equity shares held (IV)	374627	1240322
No. Of Partly paid-up equity shares held (V)		
No. Of shares underlying Depository Receipts (VI)		
Total nos. shares held (VII) = (IV)+ (V)+ (VI)	374627	1240322
Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	1.52	5.02
<b>Number of Voting Rights held in each class of securities (IX)</b>		
Class eg: X	374627	1240322
Class eg:y		
Total	374627	1240322
Total as a % of Total Voting rights	1.52	5.02
No. Of Shares Underlying Outstanding convertible securities (X)		
No. of Shares Underlying Outstanding Warrants (Xi)		
No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a)		
Shareholding , as a % assuming full conversion of convertible securities (as a		

percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2)	1.52	5.02
Number of Locked in shares (XII)		
No. (a)		
As a % of total Shares held (b)		
Number of equity shares held in dematerialized form (XIV)	374627	1237476
Reason for not providing PAN		
Reason for not providing PAN		

Sr. No. Details of the SBO Details of the registered owner Details of holding/ exercise of right of the SBO in the reporting company, whether direct or indirect\*: Date of creation / acquisition of significant beneficial interest Name PAN Passport No. in case of a foreign national Nationality Nationality (Applicable in case of Any other is selected) Name PAN Passport No. in case of a foreign national Nationality Nationality (Applicable in case of Any other is selected) Whether by virtue of: Shares Voting rights Rights on distributable dividend or any other distribution Exercise of control Exercise of significant influence