

Date Printed: 22-Feb-21

Last Date Votes were Submitted for the Meeting: 22-Feb-21

Total Number of Ballots Instructed: 1

Total Number of Shares Instructed: 6,803

Total Number of Ballots Uninstructed: 0

Total Number of Shares Uninstructed: 0

Novartis AG

NOVN

Primary CUSIP: H5820Q150

Primary ISIN: CH0012005267

Primary SEDOL: 7103065

Country: Switzerland

Country of Operation: Switzerland

ISS Country of Coverage: Switzerland

Industry Sector: Pharmaceuticals

Market Cap (USD): 227,298,400,000.00

ISS Governance QualityScore: 1

Meeting Date: 02-Mar-21

Record Date:

Meeting Type: Annual

Meeting ID: 1490225

Percentage Votable Shares: 0.00028

Workflow Tag:

Meeting Alerts

Date Received

Please note that share blocking does not apply to registered shares in Switzerland. Share blocking does not apply to this meeting. Please refer to the ballot level flag to determine if your account is subject to share-blocking.

26-Jan-21

Location ID: 11921

Location Name: GPD - TRECENTO AM

**Earliest Cutoff Date: 23-Feb-21

Total Ballots: 1

Votable Shares: 6,803

*Shares on Loan: 0

Shares Instructed: 6,803

Item #	Item Description	Proponent	Mgmt Rec	Vote Instruction
1	Accept Financial Statements and Statutory Reports	Management	For	For
2	Approve Discharge of Board and Senior Management	Management	For	Abstain
3	Approve Allocation of Income and Dividends of CHF 3.00 per Share	Management	For	For
4	Approve CHF 16.3 Million Reduction in Share Capital via Cancellation of Repurchased Shares	Management	For	For
5	Authorize Repurchase of up to CHF 10 Billion in Issued Share Capital	Management	For	For
6.1	Approve Remuneration of Directors in the Amount of CHF 8.6 Million	Management	For	For
6.2	Approve Maximum Remuneration of Executive Committee in the Amount of CHF 91 Million	Management	For	For
6.3	Approve Remuneration Report	Management	For	For
7.1	Reelect Joerg Reinhardt as Director and Board Chairman	Management	For	For
7.2	Reelect Nancy Andrews as Director	Management	For	For
7.3	Reelect Ton Buechner as Director	Management	For	For
7.4	Reelect Patrice Bula as Director	Management	For	For
7.5	Reelect Elizabeth Doherty as Director	Management	For	For
7.6	Reelect Ann Fudge as Director	Management	For	For
7.7	Reelect Bridgette Heller as Director	Management	For	For
7.8	Reelect Frans van Houten as Director	Management	For	For
7.9	Reelect Simon Moroney as Director	Management	For	For
7.10	Reelect Andreas von Planta as Director	Management	For	Against
7.11	Reelect Charles Sawyers as Director	Management	For	For
7.12	Elect Enrico Vanni as Director	Management	For	For
7.13	Reelect William Winters as Director	Management	For	For
8.1	Reappoint Patrice Bula as Member of the Compensation Committee	Management	For	For
8.2	Reappoint Bridgette Heller as Member of the Compensation Committee	Management	For	For
8.3	Reappoint Enrico Vanni as Member of the Compensation Committee	Management	For	For
8.4	Reappoint William Winters as Member of the Compensation Committee	Management	For	For
8.5	Appoint Simon Moroney as Member of the Compensation Committee	Management	For	For
9	Ratify PricewaterhouseCoopers AG as Auditors	Management	For	For
10	Designate Peter Zahn as Independent Proxy	Management	For	For
11	Amend Articles Re: Board of Directors Tenure	Management	For	For

*Shares on Loan data is only provided for a select group of Custodians. Please contact your Client Service Team with any questions.

**The Earliest Cutoff Date refers to the earliest voting cutoff for clients who hold positions across multiple Custodians and is provided for informational purposes only. For ballot-specific deadlines or early deadline information, please refer to the individual ballot details when voting within ProxyExchange.

Date Printed: 22-Feb-21

Last Date Votes were Submitted for the Meeting: 22-Feb-21

Total Number of Ballots Instructed: 1

Total Number of Shares Instructed: 6,803

Total Number of Ballots Uninstructed: 0

Total Number of Shares Uninstructed: 0

Novartis AG

NOVN

Primary CUSIP: H5820Q150

Primary ISIN: CH0012005267

Primary SEDOL: 7103065

Country: Switzerland

Country of Operation: Switzerland

ISS Country of Coverage: Switzerland

Industry Sector: Pharmaceuticals

Market Cap (USD): 227,298,400,000.00

ISS Governance QualityScore: 1

Meeting Date: 02-Mar-21

Record Date:

Meeting Type: Annual

Meeting ID: 1490225

Percentage Votable Shares: 0.00028

Workflow Tag:

12		Transact Other Business (Voting)		Management		For		Abstain					
Institutional Account (name, number)	Custodian Account Number	Account Group	Ballot ID	Control Number	Ballot Ingestion Date	Share- blocking	Ballot Cutoff Date	Ballot Status	Instructed	Approved	Votable Shares	Shares Instructed	
Default Inst. Account [11921], 000000000	05000360350	Default Account group [11921]	123206371	900120455327	26-Jan-21	Yes	23-Feb-21	Approved	sngauv 22-Feb-21	sngauv 22-Feb-21	6,803	6,803	
Total Shares:											6,803	6,803	

*Shares on Loan data is only provided for a select group of Custodians. Please contact your Client Service Team with any questions.

**The Earliest Cutoff Date refers to the earliest voting cutoff for clients who hold positions across multiple Custodians and is provided for informational purposes only. For ballot-specific deadlines or early deadline information, please refer to the individual ballot details when voting within ProxyExchange.