

NOVARTIS AG  
Form SD  
June 02, 2014

**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

**FORM SD**  
**SPECIALIZED DISCLOSURE REPORT**

**NOVARTIS AG**

(Exact name of the registrant as specified in its charter)

**Switzerland**  
(State or other jurisdiction of  
incorporation or organization)

**1-15024**  
(Commission  
File Number)

**98-0363351**  
(IRS Employer  
Identification No.)

**Lichtstrasse 35**  
**4056 Basel, Switzerland**

(Address of principal executive offices)

**Felix R. Ehrat**  
**Group General Counsel**  
**Tel.: 011-41-61-324-1111**

(Name and telephone number, including area code, of the  
person to contact in connection with this report.)

## Edgar Filing: NOVARTIS AG - Form SD

Check the appropriate box to indicate the rule pursuant to which this form is being filed, and provide the period to which the information in this form applies:

Rule 13p-1 under the Securities Exchange Act (17 CFR 240.13p-1) for the reporting period from January 1 to December 31, 2013.

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**Section 1. Conflict Minerals Disclosure**

**Item 1.01 Conflict Minerals Disclosure and Report**

In accordance with Rule 13p-1 under the Securities Exchange Act of 1934 Novartis has filed this Specialized Disclosure Form (Form SD) and the associated Conflict Minerals Report. Both reports are posted and publicly available at the Novartis corporate website: [www.novartis.com](http://www.novartis.com).

**Item 1.02 Exhibit**

The Conflict Minerals Report is attached as Exhibit 1.02.

**Section 2. Exhibits**

**Item 2.01 Exhibits**

<b>Exhibit No.</b>	<b>Description</b>
1.02	Conflict Minerals Report as required by Items 1.01 and 1.02 of this Form.

**SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the duly authorized undersigned.

NOVARTIS AG

By: /s/ HARRY KIRSCH  
Name: Harry Kirsch  
Title: *Chief Financial Officer, Novartis Group*

By: /s/ FELIX R. EHRAT  
Name: Felix R. Ehrat  
Title: *General Counsel, Novartis Group*

Date: June 2, 2014