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Washington, DC 20515

Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510

RECEIVED
SECRETARY OF THE SENATE
LOBBYING REPORT

07 FEB 15 PM 4:38

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

| | | | |
|--|---|--------------------------------|------------------|
| 1. Registrant Name <input checked="" type="checkbox"/> Organization <input type="checkbox"/> Individual | | | |
| NOVARTIS VACCINES AND DIAGNOSTICS, INC. | | | |
| 2. Address <input type="checkbox"/> Check if different than previously reported | | | |
| Address1 | 1300 EYE STREET, NW #1090E | Address2 | |
| City | WASHINGTON | State | DC |
| | | Zip Code | 20005 |
| | | Country | |
| 3. Principal place of business (if different than line 2) | | | |
| City | | State | |
| | | Zip Code | |
| | | Country | |
| 4a. Contact Name | b. Telephone Number | c. E-mail | 5. Senate |
| Ms. MARGUERITE D. BAXTER | <input type="checkbox"/> International Number (202) 962-8640 | marguerite.baxte4@novartis.com | 311690 |
| 7. Client Name <input checked="" type="checkbox"/> Self | NOVARTIS VACCINES AND DIAGNOSTICS, INC. | | 6. House |
| | | | 385430 |

TYPE OF REPORT 8. Year 2006 Midyear (January 1-June 30) Year End (July 1-December 31)

9. Check if this filing amends a previously filed version of this report

10. Check if this is a Termination Report Termination Date _____ 11. No Lobbying Activity

INCOME OR EXPENSES - Complete Either Line 12 OR Line 13

| | |
|--|--|
| 12. Lobbying INCOME relating to lobbying activities for this reporting period was: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input type="checkbox"/> \$ _____ Provide a good faith estimate, rounded to the nearest \$20,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client). | 13. Organizations EXPENSE relating to lobbying activities for this reporting period were: Less than \$10,000 <input type="checkbox"/> \$10,000 or more <input checked="" type="checkbox"/> \$ <u>890,000.00</u> |
| 14. REPORTING Check box to indicate accounting method. See instructions for description. <input checked="" type="checkbox"/> Method A. Reporting amounts using LDA definitions <input type="checkbox"/> Method B. Reporting amounts under section 6033(b) Internal Revenue Code <input type="checkbox"/> Method C. Reporting amounts under section 162(e) Internal Revenue Code | |

Signature

Marguerite Baxter

Date 02/09/07



000043059

LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code BUD Budget/Appropriations (one per page)

16. Specific lobbying issues

HR 5384 FY 2007 Agriculture, Rural Development, FDA Appropriations Bill; House and Senate versions of bill r/t pandemi preparedness and influenza
 HR 5631 FY 2007 Dept of Defense Appropriations Bill; Pandemic Influenza Issues
 HR 5647 FY 2007 LHHS Appropriations Bill, Pandemic Influenza

17. House(s) of Congress and Federal agencies Check if None House Senate

Department of Health and Human Services
 Centers for Disease Control and Prevention

18. Name of each individual who acted as a lobbyist in this issue area

| Name | | | Covered Official Position (if applicable) |
|------------|--------|--------|---|
| First | Last | Suffix | |
| Marguerite | Baxter | | |
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19. Interest of each foreign entity in the specific issues listed on line 16 above Check if None

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ADDENDUM for General Lobbying Issue Area: BUD - Budget/Appropriations

HR 4939 Emergency Supplemental Appropriations for FY 2006; Section 2607 and Title IV, pandemic influenza funding and pandemic influenza liability

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Printed Name and Title Marguerite Baxter VP and Head Global Public Affairs

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code **HCR** **Health Issues** (one per page)

16. Specific lobbying issues

S.969: A bill to amend the Public Health Service Act with respect to preparation for an influenza pandemic, supported strengthening Nation's ability to address pandemic influenza.
Pandemic Influenza

17. House(s) of Congress and Federal agencies Check if None House Senate

Centers for Disease Control and Preention
Department of Health and Human Services

18. Name of each individual who acted as a lobbyist in this issue area

| Name | | | Covered Official Position (if applicable) |
|------------|--------|--------|---|
| First | Last | Suffix | |
| Marguerite | Baxter | | |
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19. Interest of each foreign entity in the specific issues listed on line 16 above Check if None

[Empty box for foreign entity interest]

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- S.1422; HR 881: A bill to amend the FDA Act to reduce human exposure to mercury through vaccines. Lobbied for the interest of the vaccine industry.
- HR 650: To establish reasonable legal reforms that will facilitate the manufacture of vital, life saving vaccines, and for other purposes. Lobbied in support of reasonable protections for vaccine manufacturers.
- HR 1297: To amend the Public Health Service Act with respect to the National Vaccine Injury Compensation Program. Lobbied for the interests of the vaccine industry.
- S.1828: Influenza Vaccine Security Act of 2005, lobbied in support of provisions to assure a strong domestic vaccine industry.
- S. 1821: Pandemic Preparedness and Response Act, lobbied in support of provisions to assure domestic pandemic preparedness.
- S. 1912: Global Network for Avian Surveillance Act, lobbied in support of domestic pandemic preparedness.
- S. 375: Flu Protection Act of 2005, lobbied in support of domestic influenza provisions to stabilize production and supply.
- S. 969: Attacking Viral Influenza Across Nations Act of 2005, lobbied in support of influenza provisions.
- S. 226 A bill to amend the Public Health Service Act to improve immunization Rates by increasing the supply of vaccines.

General matters related to vaccines, the vaccine industry, pandemic preparedness and avian influenza

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code (one per page)

16. Specific lobbying issues

HR 5533 Biodefense and Pandemic Vaccine and Drug Development Act of 2006, Cell Culture Influenza Vaccines; Pandemic Influenza Vaccine; Tracking/Distribution of Influenza Vaccines

17. House(s) of Congress and Federal agencies Check if None House Senate

Department of Health and Human Services
Centers for Disease Control and Prevention

18. Name of each individual who acted as a lobbyist in this issue area

| Name | | | Covered Official Position (if applicable) |
|------------|--------|--------|---|
| First | Last | Suffix | |
| Marguerite | Baxter | | |
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19. Interest of each foreign entity in the specific issues listed on line 16 above Check if None

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ADDENDUM for General Lobbying Issue Area: HOM - Homeland Security

- S 66257 Access to Live-Saving Medicine Act, vaccine distribution and tracking provisions
- S 3678 Pandemic and All Hazards Preparedness Act, pandemic influenza vaccines
- S 1873 Biodefense and Pandemic Vaccine and Drug Development Act of 2006, tracking and distribution of influenza vacci

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code (one per page)

16. Specific lobbying issues

HR 5122 National Defense Authorization Act for FY 2007
 S 2766 Department of Defense Authorization Act for FY 2007
 HR 5533 Biodefense and Pandemic Vaccine and Drug Development Act of 2006
 S 3678 Pandemic and All Hazards Preparedness Act

17. House(s) of Congress and Federal agencies Check if None House Senate

Centers for Disease Control and Prevention
 Department of Health and Human Services

18. Name of each individual who acted as a lobbyist in this issue area

| Name | | | Covered Official Position (if applicable) |
|------------|--------|--------|---|
| First | Last | Suffix | |
| Marguerite | Baxter | | |
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19. Interest of each foreign entity in the specific issues listed on line 16 above Check if None

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ADDENDUM for General Lobbying Issue Area: TOR - Torts

S 1973 Biodefense and Pandemic Vaccine and Drug Development Act of 2006

Lobbied the above measures on sustaining liability protections for pandemic influenza; pandemic influenza issues

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LOBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Attach additional page(s) as needed.

15. General issue area code (one per page)

16. Specific lobbying issues

HR 611 Tax Relief and Health Care Act of 2006, supported issues related to reimbursement for vaccines,

17. House(s) of Congress and Federal agencies Check if None House Senate

18. Name of each individual who acted as a lobbyist in this issue area

| Name | | | Covered Official Position (if applicable) |
|------------|--------|--------|---|
| First | Last | Suffix | |
| Marguerite | Baxter | | |
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19. Interest of each foreign entity in the specific issues listed on line 16 above Check if None

[Empty box for foreign entity interest]

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Information Update Page - Complete ONLY where registration information has changed.

20. Client new address

Address _____

City _____ State _____ Zip Code _____ - _____ Country _____

21. Client new principal place of business (if different than line 20)

City _____ State _____ Zip Code _____ - _____ Country _____

22. New General description of client's business or activities

LOBBYIST UPDATE

23. Name of each previously reported individual who is no longer expect to act as a lobbyist for the client

| | First Name | Last Name | Suffix | 3 | First Name | Last Name |
|---|------------|-----------|--------|---|------------|-----------|
| 1 | | | | 3 | | |
| 2 | | | | 4 | | |

ISSUE UPDATE

24. General lobbying issue that no longer pertain

AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

| Name | Address | | | | Principal Place of Bus (city and state or cou |
|------|------------------------|----------------|-----|---------|--|
| | Street Address City | State/Province | Zip | Country | |
| | | | | | City State Country |
| | | | | | City State Country |

26. Name of each previously reported organization that is no longer affiliated with the registrant or client

| | | |
|---|---|---|
| 1 | 2 | 3 |
|---|---|---|

FOREIGN ENTITIES

27. Add the following foreign entities

| Name | Address | | | Principal place of business (city and state or country) | Amount of contribution for lobbying activities |
|-------------|-----------------------------|----------------|---------|--|---|
| | Street Address City | State/Province | Country | | |
| Novartis AG | Lichstrasse 35 WSJ Basel | | SUI | City Basel State Country SUI | 0.00 |

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organ

| | | |
|---|---|---|
| 1 | 3 | 5 |
| 2 | 4 | 6 |

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