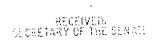
Clerk of the House of Representatives Legislative Resource Center B-106 Cannon Building Washington, DC 20515 Secretary of the Senate Office of Public Records 232 Bart Buffding Washington, DC 20510



Q1 FEB 13 FM 2-48

LOBBYING REPORT

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

I. Registram Name Novartis		
2 Registrant Athleess	Suite 725 DC 20004	
Principal Place of Business (if different from line 2)		
City State/Zip (or Country)		
4. Contact Name Telephone E-re- Rachel King 202-638-7429	ail (optional)	5. Senate ID# 9204-12
7. Client Name : Self Nevartis Corporation \		6. House ID # 33589000
 Check if this is a Termination Report		11. No Lobbying Activity:
12. Labbying Firms	13. Organis	zations
INCOME relating to lobbying activities for this reporting period was:	EXPENSES relating to lobbying ac period were:	
Less than \$10,000 🖂	Less than \$10,000 (]	
\$10,000 or more	\$10,000 or more 🔀 >> \$	\$1,246,000.00
Income (nearest \$20,900)		Екрепкел (певгоза \$20,000)
Provide a good faith estimate, rounded to the nearest	 REPORTING METHOD, Che accounting method, See instructions 	ck box to indicate expense for description of options.
529,000 of all lobbying related income from the client including all payments to the registrant by any other entity	Method A. Reporting amounts using LDA definitions only	
for lobbying activities on behalf of the client).	Method B. Reporting amounts the Internal Revenue	under section 6033(b)(8) of code
ρ	Method C. Reporting amounts (Internal Revenue Co	
enanure Schlik	Date	2/18/01
7		

Regi	istrant Name:	Novartis	
Clie	nt Name:	Novartis Corporation	
enga	aged in lobbyin	IVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant g on behalf of the client during the reporting period. Using a separate page for each code, provide lested. Attach additional page(s) as needed.	
-	General issue Specific Lobb See attached,	ying issues	
17.	Department c	ongress and Federal agencies contacted Cl Check if None of Agriculture al Protection Agency resentatives	
l\$.	Name of each	individual who acted as a lobbyist in this issue area	
_	Name	Covered Official Position (if applicable)	New
	Muldoon, Joe		No
10	Interpet of acol	h Foreign entity in the unanific terror listed on line 16 shares (**) (**)	
19.	Novartis AG	h foreign entity in the specific issues listed on line 16 above	
Sign	Novartis AG 100 Novartis / ature	To the degree that public policies, either laws or regulations, commercially benefit Novartis Corpora AG, as its parent, will benefit.	ition, so

Registrant Name: Novartis Novastis Corporation Client Name: Data ltem Description 16 Lobbying Issues Federal Insecticide, Fungicide & Rodenticide Act 59 Fed. Reg. 60412 (11/24/96) Atrazine, Simazine and Cyanazine; Notice of Initiation of Special Review Agricultural Biotechnology Pesticides Feod Quality Protection Act Insect Resistance Management Genetically Engineered Crops Agriculture Appropriations Bill Regulatory Reform Page 3 of 16

Dient Name:	Novartis Cerporation		
ngaged in lobbyi		essary to reflect the general issue areas in which the registrant porting period. Using a separate page for each code, provide eded.	
5. General issu			
 Specific Lot Approprint Administra Appropriat 	ons: FDA ion Circular A		
	Congress and Federal agencies contacte presentatives	rd □ Check if None	
8. Name of eac	h individual who acted as a lobbyist in	this issue area	
Name		Covered Official Position (if applicable)	New
Bumbaugh,	Deborsh		No
	8		No
Elkin, Jame			
Elkin, Jame Muldeon, Je	e e		No
	<u> </u>		

Reg	istrant Name:	Novartis		
Clie	nt Name:	Nevartis Corperation		
елда	aged in lobbyin		ary to reflect the general issue areas in which the registrant rting period. Using a separate page for each code, provide ed.	
15. 16.	•			
£7.	Department Environment	ongress and Federal agencies contacted of Agriculture al Protection Agency (Administration presentatives	□ Check if None	
18.	Name of each	individual who acted as a lobbyist in thi	is issue area	
			1	
	Name		Covered Official Position (if applicable)	New
-	Name Drake, David		Covered Official Position (if applicable)	New No
			Covered Official Position (if applicable)	
	Drake, David		Covered Official Position (if applicable)	No
	Drake, David		Covered Official Position (if applicable)	No
	Drake, David		Covered Official Position (if applicable)	No
	Drake, David		Covered Official Position (if applicable)	No
	Drake, David		Covered Official Position (if applicable)	No
	Drake, David		Covered Official Position (if applicable)	No
	Drake, David Muldoon, Joi Interest of cac Novartis AG too Novartis	h foreign entity in the specific issues list To the degree that public policies, eith AG, as its parent, will benefit.	ed on line 16 above	No No
	Drake, David Muldoon, Joi Interest of cac Novartis AG too Novartis	h foreign entity in the specific issues list To the degree that public policies, eith AG, as its parent, will benefit.	ed on line 16 above	No No

Reg	iştrant Name:	Novartis		
Clie	nt Name:	Novartis Corporation		
engi	iged in lobbyin		to reflect the general issue areas in which the registrant g period. Using a separate page for each code, provide	
15.	General issue	area code CPT (one per page)		
16.	H.R.2100, An H.R.2654, An			
17.	House(s) of C House of Rep Senate	ongress and Federal agencies contacted resentatives	□ Check if None	
18.	Name of each	individual who acted as a lobbyist in this is:	sue area Covered Official Position (if applicable)	New
	Casserly, Dai			No
	Drake, David			Ne
	Elkin, James			No
·····-				
19.	Novartis AG	h foreign entity in the specific issues listed of Fo the degree that public policies, either l AG, as its parent, will benefit	on line 16 above — Check if None laws or regulations, commercially benefit Novartis Corpo	tation, so
Sign	ature	Jelley-	Date 2/13/61	
l ¹ Tirt	ted Name and "	Rachel King - Senior Vice Presiden	f Page	6 of 16

Regist	rant Name:	Novartis	
Client	Name:	Nevartis Corporation	
engage	ed in lobbyin	TIVITY. Select as many codes as accessary to reflect the general issue areas in which the registrant ag on behalf of the client during the reporting period. Using a separate page for each code, provide nested. Attach additional page(s) as needed.	
15. G	ieneral issue	area code ENV (one per page)	
H H S	I.R.1657, Cl .1090, Super	oying issues reyele America's Land Act of 1999, hildren's Environmental Protection and Right to Know Act of 1999, rfund Program Completion Act of 1999, 1366 Superfund Program Completion Act of 1999	
Н		Congress and Federal agencies contacted Check if None presentatives	
	lame of each	individual who acted as a lobbyist in this issue area Covered Official Position (if applicable)	New
1)	rake, David		No
	LILILANO.		
N 10	iovartis AG 00 Novurtis 1	th foreign entity in the specific issues tisted on line 16 above	
Signati	ifre	Pelley Date 2/4/01	
Printed	l Name and T	Page 7	of 16

OBBYING ACTIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant negaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code; provide aformation as requested. Attach additional page(s) as needed. 5. General issue area code FOO (one per page)	Registrant Name: Novartis	
ngaged in lobbying on behalf of the client during the reporting period. Using a separate page for cach code, provide information as requested. Attach additional page(s) as needed. 5. General issue area code	Client Name: Novartis Corporation	
6. Specific Lobbying issues H.R.1592, Regulatory Fairness and Openness Act of 1999, H.R.3377, Genetically Engineered Food Right to Know Act, 7. House(s) of Congress and Federal agencies contacted Department of Agriculture Environmental Protection Agency Food & Drug Administration House of Representatives Senate 8. Name of each individual who acted as a lobbyist in this issue area Name Covered Official Position (if applicable) New Drake, David No Haller, Sarah No King, Rachel No Mutdoon, Joe No Interest of each foreign entity in the specific issues listed on line 16 above Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.	ngaged in lobbying on behalf of the client du	uring the reporting period. Using a separate page for each code, provide
Fi.R.1592, Regulatory Fairness and Openness Act of 1999, H.R.3377, Genetically Engineered Food Right to Know Act, 7. House(s) of Congress and Federal agencies contacted Department of Agriculture Environteental Protection Agency Food & Drug Administration House of Representatives 8. Name of each individual who acted as a lobbyist in this issue area Name Covered Official Position (if applicable) New Drake, David No Haller, Sarah No King, Rachel No Muldoan, Joe No Interest of each foreign entity in the specific issues listed on line 16 above Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, stoo Novartis AG, as its parent, will benefit.	5. General issue area code FOO	(one por page)
Department of Agriculture Eavironmental Protection Agency Food & Dring Administration House of Representatives Senate 8. Name of each individual who acted as a lobbyist in this issue area Name Covered Official Position (if applicable) New Drake, David No Haller, Sarah No King, Rachel No Muldoon, Joe No Muldoon, Joe No No One No No No No No No No No No No No No No		
Department of Agriculture Eavironmental Protection Agency Food & Dring Administration House of Representatives Senate 8. Name of each individual who acted as a lobbyist in this issue area Name Covered Official Position (if applicable) New Drake, David No Haller, Sarah No King, Rachel No Muldoon, Joe No Muldoon, Joe No No One No No No No No No No No No No No No No		
Department of Agriculture Eavironmental Protection Agency Food & Dring Administration House of Representatives Senate 8. Name of each individual who acted as a lobbyist in this issue area Name Covered Official Position (if applicable) New Drake, David No Haller, Sarah No King, Rachel No Muldoon, Joe No Muldoon, Joe No No One No No No No No No No No No No No No No		:
Eavironmental Protection Agency Food & Drug Administration House of Representatives Senate 8. Name of each individual who acted as a lobbyist in this issue area Name Covered Official Position (if applicable) New Drake, David No Haller, Sarah No King, Rachel No Mutdoon, Joe No 1. Interest of each foreign entity in the specific issues listed on line 16 above Check if None Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.		cies contacted Cl Check if None
Name Covered Official Position (if applicable) New Drake, David No Haller, Sarah No King, Rachel No Muldoon, Joe No Interest of each foreign entity in the specific issues listed on line 16 above Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.	Environmental Protection Agency Food & Drug Administration House of Representatives	
Drake, David Hailer, Sarah No King, Rachel No Muldoan, Joe No No No Interest of each foreign entity in the specific issues listed on line 16 above Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.	8. Name of each individual who acted as a	lobbyist in this issue area
Haller, Sarah King, Rachel No Muldoon, Joe No No No No No Interest of each foreign entity in the specific issues listed on line 16 above Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.	Name	Covered Official Position (if applicable) New
King, Rachel No Muldoon, Joe No No No No No No No No Interest of each foreign entity in the specific issues listed on line 16 above Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.	Drake, David	No No
Muldoon, Joe No No No No Interest of each foreign entity in the specific issues listed on line 16 above Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.	Haller, Sarah	No
O Interest of each foreign entity in the specific issues listed on line 16 above Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.	King, Rachel	No
Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.	Muldoon, Joe	No.
Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit.	-	
Nevartis AG To the degree that public policies, either laws or regulations, commercially benefit Nevartis Corporation, so too Novartis AG, as its parent, will benefit.		
ignature Fell (U) Date P (1/0) Inted Name and Title Rachel King - Seylor Vice President	Novartis AG To the degree that public too Novartis AG, as its parent, will ber	e policies, cither laws or regulations, commercially benefit Nevartis Corporation, sc nefit.
inted Name and Title Rachel King - Senjior Vice President	iignature fell (ll t)	1 Date = 2 Ke/e1
raze v m ev	rinted Name and Title Ruchel King - Serfic	or Vice President Page 8 of 16

Registrant Name: Novartis Novartis Corporation Client Name: Data Rem Description \$.251, \$.860, H.R. 830, H.R. 1145, Country of Origin Labeling 16 Lobbying Issues S. 1155/H.R. 2129 National Uniformity for Food Act of 1999 59 Fed. Reg. 60412 (11/24/96) Atrazine, Simazine and Cyanazine: Notice of Initiation of Special Review Food Quality Protection Act GMO Labeling
Juice HACCP Proposal Regulations
USDA Expanded Enforcement Page 9 of 16

Reg	istrant Name:	Novartis		
Clic	nt Name:	Novartis Corporation		
enga	iged in lobbyin		y to reflect the general issue areas in which the registrant ng period. Using a separate page for each code, provide l.	
15.	General issue	area code GOV (one per page)		
16.		ying issues deral Election Law Integrity Act of 1999 story Improvement Act of 1999,	Ρ,	
17.		ongress and Federal agencies contacted	☐ Check if None	
	House of Rep Senate	resentatives		
18.	Name of each	individual who acted as a lobbyist in this i	issue area	
	Name		Covered Official Position (if applicable)	New
	Name Drake, David		Covered Official Position (if applicable)	New No
		···	Covered Official Position (if applicable)	
	Drake, David	···	Covered Official Position (if applicable)	No
	Drake, David	···	Covered Official Position (if applicable)	No
	Drake, David	···	Covered Official Position (if applicable)	No
	Drake, David	···	Covered Official Position (if applicable)	No
	Drake, David King, Rachel	···		No
	Drake, David King, Rachel	h foreign entity in the specific issues listed	on line 16 above X Check if None	No
Sign	Drake, David King, Rachel	h foreign entity in the specific issues listed		No No

Registrant Name:	Novartis		
Client Name:	Novartis Corporation		
ingaged in lobbyi		y to reflect the general issue areas in which the registrant ing period. Using a separate page for each code, provide d.	
5. General issue			
H.R.4680, M	oying issues edicare Prescription Drug Act of 2000, edicare Rx 2000 Act, icare Prescription Drug and Modernizat	tion Act of 2000,	
7. House(s) of (Congress and Federal agencies contacted	Cl Check if Nane	
Drug Enforc	ement Administration z Administration		
 Name of each Name 	individual who acted as a lobbyist in this	íssue area Covered Official Position (if applicable)	New
Bumbangh,	Deborah		No
Casserly, Da			No
Elkin, James			No
Haller, Sara	······		No
King, Ruche			No
		V-1000	
Novartis AG tee Novartis	To the degree that public policies, either AG, as its parent, will benefit.	d on line 16 above CI Check if None r laws or regulations, commercially henefit Novartls Corpo	
ignature	Bully	Data 2 (12/01	
ignature	Rachel Kine - Schier Vice Preside	Date <u>a (3/0/</u>	

Registrant Name: Novartis Novartis Corporation Client Name: Data ltem Description 16 Lobbying Issues Snowe/Wyden The Senior Prescription Insurance Coverage Equity Act Brenux/Thomas Medicare Reform Plan Health Insurance Portability and Accessibility Act FDA Modernization Act Pediatric Studies Program Medical Records Privacy - Senators Jeffords, Bennett, Loaby, Kennedy Bilis Xenotransplantation Prospective Payment System Balanced Budget Refinement Act Gene Therapy Drug Reimportation Medicare Reform BBRA II Agriculture Appropriations 2006 - Drag Reimportation

Page 12 of 16

Registrant Name:	Novartis		
llient Name:	Novartis Cerpezation		
ngaged in lobbyir		ry to reflect the general issue areas in which the registrant ing period. Using a separate page for each code, provide d.	
S. General issue	area code LBR (one per page))	
 Specific Lobi OSHA Ergo 	oying issues nomics Legislation		
·		·	
Department	Congress and Federal agencies contacted of Labor presentatives	Check if None	
8. Name of each	individual who acted as a lobbyist in this	issue area Covered Official Position (if applicable)	New
Brake, Davk]		No

	,		
9. Interest of eac	th foreign entity in the specific issues liste	d on line 16 above 🔀 Check if None	
	Ch 1161	Date 2/13/01	
ignature	- juice -		
rinted Name and	Fitte Rachel King Senior Vice Preside	en t Page	13 of 16
	r		

Regis	trant Name:	Novartis	
Cliens	t Name:	Novartis Cerporation	
engag	ed in lobbyin	IVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant g on behalf of the client during the reporting period. Using a separate page for each code, provide tested. Attach additional page(s) as needed.	
	General issue		
] 	H.R. 1115, Im H.R. 1796, M4 H.R. 1885/S. 1 H.R. 2039, M4 H.R. 3887/S. 2 H.R. 664/S. 72 S. 841, Access	ying issues dicare Pull Access to Cancer Treatment Act of 1999, munosuppressive Drug Coverage Extension Act of 1999, edicare Chronic Disease Prescription Drug Benefit Act of 1999, 1191, International Prescription Drug Parity Act, edicare Patient Access to Technology Act of 1999, 1232, Medicare Wellness Act of 2000, 11, Prescription Drug Fairness for Seniors Act of 1999, 10 Rx Medications in Medicare Act of 1999 (Kennedy), 11 Seniors Prescription Insurance Coverage Equity Act	
1	Department e	ongress and Federal agencies contacted Thealth & Human Services Administration resentatives	
18. 3	Name of each	individual who acted as a lobbyist in this issue area	
3	Name	Covered Official Position (if applicable)	New
3	Bumbaugh, E	eborah e	No
	Casserly, Das	1	No
1	Drake, David		No
	Elkin, James		No
	King, Rachel		No
		}	[
?	Novartis AG	b foreign entity in the specific issues listed on line 16 above Check if None To the degree that public policies, either laws or regulations, commercially benefit Novartis Carl AG, as its parent, will benefit.	poration, so
Signat	iure	perelley Date 2/10/01	
Printe	d Name and 'I	Rachel King - Scalor Vice President Page	14 of 16

Regi	strant Name:	Novariis	
Clie	it Name:	Novartis Corporation	
enga	ged in lobbyin	TIVITY. Select as many codes as necessary to reflect the general issue areas in which the registrant ng on behalf of the client during the reporting period. Using a separate page for each code, provide tuested. Attach additional page(s) as needed.	
	General issue Specific Lobh R&D-Tax Cr International	bying issues redit	
17.	House(s) of C House of Rep Senate	Congress and Federal agencies contacted Check if None presentatives	
18.	Name of each	h individual who acted as a lobbyist in this issue area Covered Official Position (if applicable)	New
	Drake, David	d	No
	Haller, Sarah	12	No
	King, Rachel		No
	Novartis AG	ch foreign entity in the specific issues listed on line 16 above Check if None To the degree that public policies, either laws or regulations, commercially benefit Novartis Corpo AG, as its parent, will benefit. Date 269	eration, so
Print		Title Rachel King - Senior Vice President Page	

Regi	istrant Name:	Novartis	
Client Name: Novartis Corporation			
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.			
		ving issues	
17.	Department o	Administration	
18. Name of each individual who acted as a lobbyist in this issue area			
	Name	Covered Official Position (if applicable)	New
	Huller, Sarah		No
	King, Rachel		No
19. Interest of each foreign entity in the specific issues listed on line 16 above Check if None Novartis AG To the degree that public policies, either laws or regulations, commercially benefit Novartis Corporation, so too Novartis AG, as its parent, will benefit. Signature Date 2 (6/0/			
_	ature		
Print	ed Name and [inte Rachel King - Senior Vice President Page	6 of 16