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## LOBBYING REPORT

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

1. Registrant Name <b>Novartis</b>	
2. Registrant Address <input type="checkbox"/> Check if different than previously reported Address <b>701 Pennsylvania Ave. NW Suite 725</b> City <b>Washington</b> State/Zip (or Country) <b>DC 20004</b>	
3. Principal Place of Business (if different from line 2) City _____ State/Zip (or Country) _____	
4. Contact Name <b>Rachel King</b>	Telephone <b>202/662-4364</b> E-mail (optional) _____
5. Senate ID #	_____
7. Client Name <input type="checkbox"/> Self <b>Novartis Corporation</b>	6. House ID # <b>33589000</b>

**TYPE OF REPORT** 8. Year 1999 Midyear (January 1-June 30)  OR 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	
<p><b>12. Lobbying Firms</b></p> <p>INCOME relating to lobbying activities for this reporting period was:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input type="checkbox"/> &gt;&gt; \$ _____ Income (nearest \$20,000)</p> <p>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).</p>	<p><b>13. Organizations</b></p> <p>EXPENSES relating to lobbying activities for this reporting period were:</p> <p>Less than \$10,000 <input type="checkbox"/></p> <p>\$10,000 or more <input checked="" type="checkbox"/> &gt;&gt; \$ <u>840,000.00</u> Expenses (nearest \$20,000)</p> <p><b>14. REPORTING METHOD.</b> Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input checked="" type="checkbox"/> <b>Method A.</b> Reporting amounts using LIDA definitions only</p> <p><input type="checkbox"/> <b>Method B.</b> Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</p> <p><input type="checkbox"/> <b>Method C.</b> Reporting amounts under section 162(e) of the Internal Revenue Code</p>

Signature *Rachel King* Date 2/14/00

Printed Name and Title Rachel King - Vice President Page 1 of 20

Registrant 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.

15. General issue area code AGR (one per page)

16. Specific Lobbying issues

H.R. 1592, ,  
S.1464, ,  
Federal Insecticide, Fungicide & Rodenticide Act  
59 Fed. Reg. 60412 (11/24/96) Atrazine, Simazine and Cyanazine: Notice of Initiation of Special Review  
Food Quality Protection Act  
Insect Resistance Management  
Genetically Engineered Crops  
Agriculture Appropriations Bill  
Antibiotic Resistance

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

Department of Agriculture  
Environmental Protection Agency  
House of Representatives  
Senate

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

Name	Covered Official Position (if applicable)	New
King, Rachel		No
Muldoon, Joe		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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 2 of 28

Registrant 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.

15. General issue area code ANI (one per page)

16. Specific Lobbying issues

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

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

Name	Covered Official Position (if applicable)	New

19. Interest of each foreign entity in the specific issues listed on line 16 above  Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 3 of 20

Registrant 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.

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

16. Specific Lobbying issues  
Appropriations: FDA  
Administration Circular A

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

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

Name	Covered Official Position (if applicable)	New
<u>Bumbaugh, Deborah</u>		<u>No</u>
<u>Elkin, James</u>		<u>No</u>

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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 4 of 20

Registrant 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.

15. General Issue area code CAW (one per page)

16. Specific Lobbying issues

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

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

Name	Covered Official Position (if applicable)	New

19. Interest of each foreign entity in the specific issues listed on line 16 above  Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 5 of 20

Registrant 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.

15. General issue area code CHM (one per page)

16. Specific Lobbying issues  
**59 Fed. Reg. 60412 (11/24/96) Atrazine, Simazine and Cyanazine: Notice of Initiation of Special Review**  
**Food Quality Protection Act**  
**Chemical Hazard Classification and Labeling**

17. House(s) of Congress and Federal agencies contacted  Check if None  
Department of Agriculture  
Department of Labor  
Department of State  
Environmental Protection Agency  
Food & Drug Administration  
House of Representatives

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

Name	Covered Official Position (if applicable)	New
Muldoon, Joe		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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 6 of 20

Registrant 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.

15. General issue area code CPT (one per page)

16. Specific Lobbying issues  
H.R. 1907, American Inventors Protection Act of 1999,  
H.R. 2100, Anti-Tampering Act of 1999,  
H.R. 2654, Patent Law Reform Act,  
S. 1172/H.R. 1598, Patent Fairness Act of 1999,

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

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

Name	Covered Official Position (if applicable)	New
<b>Casserly, Dan</b>		No
<b>Drake, David</b>		No
<b>Elkin, James</b>		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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 7 of 20

Registrant 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.

15. General issue area code ENV (one per page)  
16. Specific Lobbying issues  
H.R. 1657, Children's Environmental Protection and Right to Know Act of 1999,  
S. 1090/ H.R. 1390, Superfund Reform,

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

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

Name	Covered Official Position (if applicable)	New
<u>Drake, David</u>		<u>No</u>

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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 8 of 20



Registrant 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.

15. General issue area code FOO (one per page)

16. Specific Lobbying issues

H.R. 1592, Regulatory Fairness and Openness Act of 1999,  
H.R. 3377, Genetically Engineered Food Right to Know Act,  
S. 1155, H.R. 2129, National Uniformity for Food Act of 1999,  
S. 251, S. 860, H.R. 830, H.R. 1145, Country of Origin Labeling,  
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

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

Department of Agriculture  
Environmental Protection Agency  
Food & Drug Administration  
House of Representatives  
Senate

18. 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

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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 9 of 20

Registrant 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.

15. General issue area code GOV (one per page)

16. Specific Lobbying issues  
H.R. 1778, Federal Election Law Integrity Act of 1999,  
S. 746, Regulatory Improvement Act,

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

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

Name	Covered Official Position (if applicable)	New
<u>Drake, David</u>		<u>No</u>
<u>King, Rachel</u>		<u>No</u>

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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 10 of 20

Registrant 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.

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

16. Specific Lobbying issues

17. House(s) of Congress and Federal agencies contacted  Check if None  
**Drug Enforcement Administration**  
**Food & Drug Administration**  
**House of Representatives**  
**Senate**

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

Name	Covered Official Position (if applicable)	New
<b>Bumbaugh, Deborah</b>		No
<b>Casserly, Dan</b>		No
<b>Elkin, James</b>		No
<b>King, Rachel</b>		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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 11 of 20

Registrant Name: Novartis

Client Name: Novartis Corporation

Item	Description	Data
16	Lobbying Issues	Shaw/Wyden The Seniors Prescription Insurance Coverage Equity Act Breaux/Thomas Medicare Reform Plan Medicare Bi-Partisan Commission Health Insurance Portability and Accessibility Act FDA Modernization Act Pediatric Studies Program Medical Records Privacy- Senators Jeffords, Bennett, Leahy, Kennedy Bills Chairman's Mark (HELP Confidentiality Bills) Xenotransplantation Prospective Payment System

Registrant 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.

15. General issue area code LBR (one per page)

16. Specific Lobbying issues

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

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

Name	Covered Official Position (if applicable)	New

19. Interest of each foreign entity in the specific issues listed on line 16 above  Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 13 of 20

Registrant 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.

15. General issue area code MMM (one per page)

16. Specific Lobbying issues  
H.R. 1090, Medicare Full Access to Cancer Treatment Act of 1999,  
H.R. 1115/S. 631, The Immunosuppressive Drug Coverage Act of 1999,  
H.R. 1796, Medicare Chronic Disease Prescription Drug Benefit Act of 1999,  
H.R. 1885/S. 1191, The International Prescription Drug Parity Act of 1999,  
H.R. 2030, Medicare Patient Access to Medical Technology Act of 1999,  
H.R. 664/S. 731, The Prescription Drug Fairness Act of 1999,  
S. 841, (Kennedy),  
Snowe/Wyden Seniors Prescription Insurance Coverage Equity Act

17. House(s) of Congress and Federal agencies contacted  Check if None  
Department of Health & Human Services  
Food & Drug Administration  
House of Representatives  
Senate

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

Name	Covered Official Position (if applicable)	New
Humbough, Deborah		No
Casserly, Dan		No
Elkin, James		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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 14 of 20

Registrant 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.

15. General issue area code NAT (one per page)

16. Specific Lobbying issues

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

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

Name	Covered Official Position (if applicable)	New

19. Interest of each foreign entity in the specific issues listed on line 16 above  Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 15 of 20

Registrant 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.

15. General issue area code PHA (one per page)

16. Specific Lobbying issues

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

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

Name	Covered Official Position (if applicable)	New

19. Interest of each foreign entity in the specific issues listed on line 16 above  Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 16 of 20



Registrant 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.

15. General issue area code TAX (one per page)

16. Specific Lobbying issues  
R&D Tax Credit

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

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

Name	Covered Official Position (if applicable)	New
<u>Drake, David</u>		<u>No</u>
<u>King, Rachel</u>		<u>No</u>

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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 17 of 20

Registrant Name: Novartis

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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 TRD (one per page)

16. Specific Lobbying issues  
Economic Sanctions  
SRM Ban/BSE  
China/World Trade Organization  
Fast Track Negotiating Authority

17. House(s) of Congress and Federal agencies contacted  Check if None  
Department of Commerce  
Food & Drug Administration  
House of Representatives  
Senate

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

Name	Covered Official Position (if applicable)	New
Haller, 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 \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 18 of 20

Registrant 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.

15. General issue area code WAS (one per page)

16. Specific Lobbying issues

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

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

Name	Covered Official Position (if applicable)	New

19. Interest of each foreign entity in the specific issues listed on line 16 above  Check if None

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name and Title Rachel King - Vice President Page 19 of 20

Registrant Name: Novartis

Client Name: Novartis Corporation

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

20. Client new address

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

City \_\_\_\_\_ State/Zip (or Country) \_\_\_\_\_

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

**LOBBYIST UPDATE**

23. Name of each previously reported individual who is **no longer** expected to act as a lobbyist for the client  
**Bentley, Lisa**  
**Ailsworth, Herbert**

**ISSUE UPDATE**

24. General lobbying issues previously reported that **no longer** pertain

**AFFILIATED ORGANIZATIONS**

25. Add the following affiliated organization(s)

Name	Address	Principal Place of Business (city and state or country)

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

**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	Ownership % in client

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

Signature *Rachel King* Date 2/14/00

Printed Name and Title Rachel King - Vice President Page 20 of 20