

7. Account Authorization Signature/Form W-9 Request for Taxpayer Identification Number and Certification (required)

By completing and signing this form, I (we) certify that I (we) have received and read the Novartis ADS Direct Plan Prospectus and hereby request that, for new shareholders, the above account be enrolled in the Plan, or, for current shareholders, the above account be modified to reflect all the elections made above. I (we) understand that participation is subject to the terms and conditions of the Plan as set forth in the prospectus and that enrollment may be discontinued at any time by automated service or by written notice to JPMorgan Chase Bank, N.A. I (we) further understand that all dividends paid on the shares registered in my (our) name and held in my (our) Plan account will be reinvested or paid in cash as selected above. I (we) hereby authorize JPMorgan Chase Bank, N.A. to apply dividends, if applicable, and any investments I (we) may make to the purchase of shares under the Plan.

Backup Withholding – The Internal Revenue Service (IRS) requires us to withhold taxes for the applicable rate of federal backup withholding for U.S. persons without a Taxpayer Identification Number or without a “certified” number. This withholding of tax is called Backup Withholding and may be applied to disbursements for interest, dividends, broker and barter exchange transactions, royalties, etc. Supplying us with your correct Taxpayer Identification Number (TIN) associated with the account on the 1st page of this form, along with the appropriate signature will generally allow you to receive your payments without being subject to backup withholding. Failure to supply your TIN, or supplying us with an incorrect TIN could result in a penalty being assessed by the IRS.

Certification – Under penalties of perjury, I certify that: The social security number or Employer Identification number filled out on the 1st page of this form is my correct taxpayer identification number; I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service that I am subject to backup withholding, or (c) the IRS has notified me that I am no longer subject to backup withholding; and I am a U.S. person (including a U.S. resident alien).

Notification of Backup Withholding

I have been notified by the Internal Revenue Service (IRS) that I am currently subject to backup withholding as a result of a failure to report all interest and dividends on my tax return. I understand that marking this box will result in backup withholding on any disbursements made to this account.

This form must be signed and dated as acceptance for proper certification or it will be returned to the requestor.

MY (OUR) SIGNATURE(S) BELOW INDICATE(S) I (WE) HAVE READ THE NOVARTIS ADS DIRECT PLAN PROSPECTUS AND AGREE TO THE TERMS THEREIN AND HEREIN. IMPORTANT: ALL JOINT OWNERS MUST SIGN.

Signature of Owner

Date (month, day, year)

Signature of Joint Owner (if applicable)

Date (month, day, year)

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Alternatively you may enroll online at www.adr.com

Mail completed form to:
JPMorgan Chase Bank, N.A.
Novartis ADS Direct Plan
P.O. Box 64503
St. Paul, MN 55164-0503

