

Mahajan, Vinay

From: Dukic, Jasmin on behalf of Equity, Global (Gen)
Sent: Wednesday, December 1, 2021 4:21 PM
Subject: Important information: Your upcoming annual LTI vesting 2022
Attachments: Sell to cover (STC) flyer 2022.pdf



Important information regarding your annual LTI vesting in January 2022

Dear Plan Participant,

As you are a participant in one or more of our equity programs, this email contains important information regarding your upcoming equity vesting.

Please find in the table below all plans and timelines related to the annual vesting in January 2022.

For further individual details please log in on your EquatePlus account and click on the first page in the section 'Information: Annual LTI vesting in January 2022' on the button 'Learn more'.

Vesting timelines 2022		
Plan	Vesting date	Availability on EquatePlus
DSBP 2019	January 22, 2022	January 25, 2022 / around 9am CET
Select 2019		
Select Staggered 2019		

Select staggered 2020	January 21, 2022	January 22, 2022 / around 9am CET
Select staggered 2021	January 20, 2022	January 21, 2022 / around 9am CET
Special Grants	January 22, 2022	January 25, 2022 / around 9am CET
LTPP/LTPP-NVF/LTPP-BU 2019		February 2, 2022 / around 9am CET
Special Grants (performance related)		

General sell-to-cover information

Novartis need to fulfill the tax and social security withholding obligations by applying the so-called **sell-to-cover** method (**where applicable**) whereby:

- A portion of your LTI will be automatically sold by the plan administrator to cover any tax withholding and/or social security contributions at vest. Please note that for Restricted Stocks different tax events may apply due to different country rules and regulations, e.g. at grant or vest.
- The remaining number of freely disposable shares will get transferred to your EquatePlus account (subject to Insider trading restrictions and/or any blocking restrictions).

Please read through the attached STC flyer for more information.

EquatePlus access

To view your award(s) details, you may login to your EquatePlus account using one of the options below:

1. Within the Novartis network via [Go/Equateplus](#) which validates your identity (**for active associates only**)
2. From an external laptop, log on at www.equateplus.com using your EquatePlus User ID and password
3. Via the EquateMobile app, available in the App Store and Google Play (not the Novartis App Store). Log on with your EquatePlus User ID and password

EquatePlus contact details

For questions regarding access to your EquatePlus account, please contact the Equatex Contact Center:

- International (toll-free) +800 4020 0035
- Switzerland (toll-free) +800 4020 0035
- USA (toll-free) +1 855 983 5229
- Direct line (charges apply) +41 844 0044 88

Sincerely,

Group Rewards
Equity Programs Team

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