

NOVARTIS AG
Form 6-K
November 17, 2015

SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

FORM 6-K

**REPORT OF FOREIGN PRIVATE ISSUER
PURSUANT TO RULE 13a-16 or 15d-16 OF
THE SECURITIES EXCHANGE ACT OF 1934**

Report on Form 6-K dated November 17, 2015

(Commission File No. 1-15024)

Novartis AG

(Name of Registrant)

Lichtstrasse 35

4056 Basel

Switzerland

(Address of Principal Executive Offices)

Edgar Filing: NOVARTIS AG - Form 6-K

Indicate by check mark whether the registrant files or will file annual reports under cover of Form 20-F or Form 40-F:

Form 20-F: ☒ **Form 40-F:** ☐

Indicate by check mark if the registrant is submitting the Form 6-K in paper as permitted by Regulation S-T Rule 101(b)(1):

Yes: ☐ **No:** ☒

Indicate by check mark if the registrant is submitting the Form 6-K in paper as permitted by Regulation S-T Rule 101(b)(7):

Yes: ☐ **No:** ☒

Indicate by check mark whether the registrant by furnishing the information contained in this form is also thereby furnishing the information to the Commission pursuant to Rule 12g3-2(b) under the Securities Exchange Act of 1934.

Yes: ☐ **No:** ☒

THIS REPORT ON FORM 6-K SHALL BE DEEMED TO BE INCORPORATED BY REFERENCE IN THE PROSPECTUS INCLUDED IN THE REGISTRATION STATEMENT ON FORM F-3 (FILE NO. 333-207004) OF NOVARTIS AG, NOVARTIS CAPITAL CORPORATION AND NOVARTIS SECURITIES INVESTMENT LTD. AND TO BE A PART THEREOF FROM THE DATE ON WHICH THIS REPORT IS FURNISHED, TO THE EXTENT NOT SUPERSEDED BY DOCUMENTS OR REPORTS SUBSEQUENTLY FILED OR FURNISHED.

Edgar Filing: NOVARTIS AG - Form 6-K

Novartis AG, Novartis Capital Corporation and Novartis Securities Investment Ltd. hereby incorporate by reference the following exhibit to this report of Form 6-K into their Registration Statement on Form F-3 (File No. 207004) (the Form F-3).

The presentation of the results of the Novartis Group for the third quarter and the first nine months of 2015, as included in Exhibit 99.1, reflects some minor adjustments to the presentation of the results of the Novartis Group for the third quarter and the first nine months of 2015 as furnished to the Commission as Exhibit 99.1 of a separate Report on Form 6-K on October 27, 2015 and is intended solely for incorporation by reference into the Form F-3.

Exhibit No.	Description of Document
99.1	Financial Report Q3 2015

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

Novartis AG

Date: November 17, 2015

By:	/s/PAUL PENEPEPENT
Name:	Paul Penepent
Title:	Head Group Financial Reporting and Accounting