

As per SEBI circular: SEBI/IMD/CIR No. 4/ 168230/09, following are the details of the commission earned by AU Small Finance Bank from various AMCs/Service Providers under the distribution/referral model:

Mutual Funds Commission Disclosure (FY 26-27)	
Fund Schemes	Trail
Equity Schemes	
Equity and Balanced Funds	0.40% to 1.75%
ELSS Funds	0.40% to 1.25%
Hybrid Schemes	
Asset Allocation Funds	0.40% to 1.25%
Arbitrage Funds	0.05% to 0.50%
Hybrid Funds	0.25% to 1.35%
Debt Schemes	
Gilt Funds	0.10% to 1.20%
Duration & Bond Funds	0.15% to 1.05%
Banking/PSU Funds & Credit Risk Funds	0.15% to 0.45%
Liquid/Money Market & Floating Rate	0.05% to 0.20%
Other Schemes	
Index Funds	0.05% to 0.75%
Global Funds	0.05% to 0.75%

NOTE:

- AU Small Finance Bank Ltd is an “AMFI Registered Mutual Funds Distributor & SIF Distributor” with ARN - 124591
- The above-mentioned rates are subject to change without any prior consent and at the discretion and agreement between AU Small Finance Bank & respective AMCs. The commission in SIF falls in the same range of Mutual Funds mentioned above.

Referral Products

The bank refers its clients to the AMCs/ Service Providers and earns a referral fee for the same.

Scheme Types	Brokerage Rate
Portfolio Management Services*	0.25% to 1.75% p.a.
Alternative Investment Fund	Up to 1.75% p.a.
International Financial Services Centre (IFSC)-GIFT City	Up to 1.75% p.a.

*The above-mentioned referral fees include both fixed & variable fee option.

AU Small Finance Bank has referral arrangement with the following AMCs/Service Providers:

S.No.	AMC Name	Type
1	ICICI Prudential Asset Management PMS	PMS
2	Whiteoak Capital Investment PMS	PMS
3	ASK Investment PMS	PMS
4	Sundaram Alternate PMS	PMS
5	Motilal Oswal Asset Management PMS	PMS
6	Ambit Investment PMS	PMS
7	SageOne Investment PMS	PMS
8	SBI Funds Management PMS	PMS
9	Equirus Wealth PMS	PMS
10	360 One Asset Management PMS	PMS
11	Philip Capital Asset Management PMS	PMS
12	Neo Asset Management PMS	PMS
13	Abakkus Asset Manager PMS	PMS
14	Emkay Investment Managers PMS	PMS
15	TCG Asset Management PMS	PMS
16	Aditya Birla Sunlife Asset Management PMS	PMS
17	Carnelian Asset Management & Advisors	PMS
18	Roha Asset Managers	PMS
19	Axis Asset Management PMS	PMS

AU Small Finance Bank Ltd have APMI Distributor Registration Number- APRN01193.

AU Small Finance Bank has referral arrangement with the following AMC/Service Providers:

S.No.	AMC Name	Type
1	ICICI Prudential Asset Management AIF	AIF
2	Motilal Oswal Asset Management AIF	AIF
3	360 One Asset Management AIF	AIF
4	Nippon India Asset Management AIF	AIF
5	NEO Asset Management AIF	AIF
6	Equirus Wealth AIF	AIF
7	Guardian Partners AIF	AIF
8	SageOne Investment AIF	AIF
9	ASK Investment AIF	AIF
10	Abakkus Asset Manager AIF	AIF
11	Kotak Alternate Asset Manager AIF	AIF
12	Emkay Investment Managers AIF	AIF
13	TCG Asset Management AIF	AIF
14	Aditya Birla Sunlife Asset Management AIF	AIF
15	Carnelian Asset Management & Advisors	AIF
16	UTI Alternates	AIF
17	Roha Asset Managers	AIF
18	A K Capital Services Ltd	AIF
19	TrueNorth Capital	AIF
20.	Axis Asset Management AIF	AIF
21.	Sundaram Alternate AIF	AIF
22.	Ambit Investment AIF	AIF

AU Small Finance Bank has referral arrangement with the following AMC/Service Providers in the International Financial Services Centre (IFSC):

S.No.	AMC Name	Type
1	SageOne Investment Gift City	AIF
2	Phillip Venture- Gift City	PMS
3	HDFC AMC International (IFSC) Ltd- Gift City	AIF
4	Baroda BNP Paribas AMC (IFSC) Ltd- Gift City	MF
5	ICICI Prudential AMC Limited (IFSC Branch)- Gift City	AIF
6	Guardian Partners- Gift City	AIF