FORM NO. MGT-7

[Pursuant to sub-Section(1) of section 92 of the Companies Act, 2013 and sub-rule (1) of rule 11of the Companies (Management and Administration) Rules, 2014]

सत्यमेव जयते

Annual Return

(other than OPCs and Small Companies)

Form language (●) English ( ) Hindi

Refer the instruction kit for filing the form.

I. REGISTRATION AND OTHER DETAILS

(i) * Corporate Identification Number (CIN) of the company: L36911RJ1996PLC011381 — Pre-fill

Global Location Number (GLN) of the company:

* Permanent Account Number (PAN) of the company: AAACL2777N

(ii) (a) Name of the company: AU SMALL FINANCE BANK LIM

(b) Registered office address

19-A DHULESHWAR GARDEN
JAIPUR
Rajasthan
302001
India

(c) *e-mail ID of the company: Secretarial@aubank.in

(d) *Telephone number with STD code: 01416660666

(e) Website: www.aubank.in

(iii) Date of Incorporation: 10/01/1996

(iv)

Type of the Company	Category of the Company	Sub-category of the Company
Public Company	Company limited by shares	Indian Non-Government company

(v) Whether company is having share capital (●) Yes ( ) No

(vi) *Whether shares listed on recognized Stock Exchange(s) (●) Yes ( ) No

(a) Details of stock exchanges where shares are listed

S. No.	Stock Exchange Name	Code
1	BSE Limited	1
2	National Stock Exchange of India Ltd.	1,024

(b) CIN of the Registrar and Transfer Agent U67190MH1999PTC118368 Pre-fill

Name of the Registrar and Transfer Agent

LINK INTIME INDIA PRIVATE LIMITED

Registered office address of the Registrar and Transfer Agents

C-101, 1st Floor, 247 Park,
Lal Bahadur Shastri Marg, Vikhroli (West)

(vii) *Financial year From date 01/04/2022 (DD/MM/YYYY) To date 31/03/2023 (DD/MM/YYYY)

(viii) *Whether Annual general meeting (AGM) held ◉ Yes ○ No

(a) If yes, date of AGM

(b) Due date of AGM

(c) Whether any extension for AGM granted ○ Yes ◉ No

II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

*Number of business activities 1

S.No	Main Activity group code	Description of Main Activity group	Business Activity Code	Description of Business Activity	% of turnover of the company
1	K	Financial and insurance Service	K1	Banking activities by Central, Commercial and Saving banks	100

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES (INCLUDING JOINT VENTURES)

*No. of Companies for which information is to be given 0 Pre-fill All

S.No	Name of the company	CIN / FCRN	Holding/ Subsidiary/Associate/ Joint Venture	% of shares held
1				

IV. SHARE CAPITAL, DEBENTURES AND OTHER SECURITIES OF THE COMPANY

(i) *SHARE CAPITAL

(a) Equity share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Total number of equity shares	1,200,000,000	666,745,055	666,745,055	666,745,055
Total amount of equity shares (in Rupees)	12,000,000,000	6,667,450,550	6,667,450,550	6,667,450,550

Number of classes: 1

Class of Shares EQUITY SHARES	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Number of equity shares	1,200,000,000	666,745,055	666,745,055	666,745,055
Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	12,000,000,000	6,667,450,550	6,667,450,550	6,667,450,550

(b) Preference share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid-up capital
Total number of preference shares	0	0	0	0
Total amount of preference shares (in rupees)	0	0	0	0

Number of classes: 0

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Number of preference shares				
Nominal value per share (in rupees)				
Total amount of preference shares (in rupees)				

(c) Unclassified share capital

Particulars	Authorised Capital
Total amount of unclassified shares	0

(d) Break-up of paid-up share capital

Class of shares	Number of shares			Total nominal amount	Total Paid-up amount	Total premium
Equity shares	Physical	DEMAT	Total			
At the beginning of the year	0	314,900,031	314900031	3,149,000,3	3,149,000,	

Increase during the year	0	351,845,024	351845024	3,518,450,2	3,518,450,	20,326,216,(
i. Pubic Issues	0	0	0	0	0	0
ii. Rights issue	0	0	0	0	0	
iii. Bonus issue	0	315,093,233	315093233	3,150,932,3	3,150,932,	0
iv. Private Placement/ Preferential allotment	0	34,482,758	34482758	344,827,58(	344,827,58	19,655,172,(
v. ESOPs	0	2,269,033	2269033	22,690,330	22,690,33(	671,044,586
vi. Sweat equity shares allotted	0	0	0	0	0	0
vii. Conversion of Preference share	0	0	0	0	0	0
viii. Conversion of Debentures	0	0	0	0	0	0
ix. GDRs/ADRs	0	0	0	0	0	0
x. Others, specify NIL				0	0	
Decrease during the year	0	0	0	0	0	0
i. Buy-back of shares	0	0	0	0	0	0
ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0
iv. Others, specify NIL				0	0	
At the end of the year	0	666,745,055	666745055	6,667,450,5	6,667,450,	
Preference shares						
At the beginning of the year	0	0	0	0	0	
Increase during the year	0	0	0	0	0	0
i. Issues of shares	0	0	0	0	0	0
ii. Re-issue of forfeited shares	0	0	0	0	0	0
iii. Others, specify NIL				0	0	
Decrease during the year	0	0	0	0	0	0
i. Redemption of shares	0	0	0	0	0	0

ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0
iv. Others, specify NIL				0	0	
At the end of the year	0	0	0	0	0	

ISIN of the equity shares of the company: INE949L01017

(ii) Details of stock split/consolidation during the year (for each class of shares): 0

Class of shares		(i)	(ii)	(iii)
Before split / Consolidation	Number of shares			
	Face value per share			
After split / Consolidation	Number of shares			
	Face value per share			

(iii) Details of shares/Debentures Transfers since closure date of last financial year (or in the case of the first return at any time since the incorporation of the company) *

☒ Nil

[Details being provided in a CD/Digital Media] ◯ Yes ◯ No ◯ Not Applicable

Separate sheet attached for details of transfers ◯ Yes ◯ No

Note: In case list of transfer exceeds 10, option for submission as a separate sheet attachment or submission in a CD/Digital Media may be shown.

Date of the previous annual general meeting			
Date of registration of transfer (Date Month Year)			
Type of transfer		1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock	
Number of Shares/ Debentures/ Units Transferred		Amount per Share/ Debenture/Unit (in Rs.)	

Ledger Folio of Transferor			
Transferor's Name			
	Surname	middle name	first name
Ledger Folio of Transferee			
Transferee's Name			
	Surname	middle name	first name

Date of registration of transfer (Date Month Year)			
Type of transfer		1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock	
Number of Shares/ Debentures/ Units Transferred		Amount per Share/ Debenture/Unit (in Rs.)	
Ledger Folio of Transferor			
Transferor's Name			
	Surname	middle name	first name
Ledger Folio of Transferee			
Transferee's Name			
	Surname	middle name	first name

(iv) *Debentures (Outstanding as at the end of financial year)

Particulars	Number of units	Nominal value per unit	Total value
Non-convertible debentures	5,500	Please refer additional att	10,000,000,000
Partly convertible debentures	0		0
Fully convertible debentures	0		0

Particulars	Number of units	Nominal value per unit	Total value
Total			10,000,000,000

Details of debentures

Class of debentures	Outstanding as at the beginning of the year	Increase during the year	Decrease during the year	Outstanding as at the end of the year
Non-convertible debentures	5,000,000,000	5,000,000,000	0	10,000,000,000
Partly convertible debentures	0	0	0	0
Fully convertible debentures	0	0	0	0

(v) Securities (other than shares and debentures) 0

Type of Securities	Number of Securities	Nominal Value of each Unit	Total Nominal Value	Paid up Value of each Unit	Total Paid up Value
Total					

V. *Turnover and net worth of the company (as defined in the Companies Act, 2013)

(i) Turnover 92,398,725,810.99

(ii) Net worth of the Company 109,773,436,369.5

VI. (a) *SHARE HOLDING PATTERN - Promoters

S. No.	Category	Equity		Preference	
		Number of shares	Percentage	Number of shares	Percentage
1.	Individual/Hindu Undivided Family				
	(i) Indian	159,469,340	23.92	0	
	(ii) Non-resident Indian (NRI)	0	0	0	
	(iii) Foreign national (other than NRI)	0	0	0	
2.	Government				
	(i) Central Government	0	0	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	

3.	Insurance companies	0	0	0	
4.	Banks	0	0	0	
5.	Financial institutions	0	0	0	
6.	Foreign institutional investors	0	0	0	
7.	Mutual funds	0	0	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	10,829,072	1.62	0	
10.	Others NIL	0	0	0	
	Total	170,298,412	25.54	0	0

Total number of shareholders (promoters) 5

(b) *SHARE HOLDING PATTERN - Public/Other than promoters

S. No.	Category	Equity		Preference	
		Number of shares	**Percentage**	**Number of shares**	**Percentage**
1.	Individual/Hindu Undivided Family				
	(i) Indian	65,346,181	9.8	0	
	(ii) Non-resident Indian (NRI)	4,079,573	0.61	0	
	(iii) Foreign national (other than NRI)	0	0	0	
2.	Government				
	(i) Central Government	0	0	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	
3.	Insurance companies	23,534,016	3.53	0	
4.	Banks	214	0	0	
5.	Financial institutions	0	0	0	
6.	Foreign institutional investors	231,510	0.03	0	
7.	Mutual funds	76,894,541	11.53	0	

8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	34,974,433	5.25	0	
10.	Others Foreign Portfolio Investors,	291,386,175	43.7	0	
	Total	496,446,643	74.45	0	0

Total number of shareholders (other than promoters) 174,879

Total number of shareholders (Promoters+Public/ Other than promoters) 174,884

(c) *Details of Foreign institutional investors' (FIIs) holding shares of the company 1

Name of the FII	Address	Date of Incorporation	Country of Incorporation	Number of shares held	% of shares held
THE BOEING COMPAN	JPMORGAN CHASE BANK, MINDSP			231,510	0.03

VII. *NUMBER OF PROMOTERS, MEMBERS, DEBENTURE HOLDERS
(Details, Promoters, Members (other than promoters), Debenture holders)

Details	At the beginning of the year	At the end of the year
Promoters	6	5
Members (other than promoters)	154,181	174,879
Debenture holders	13	32

VIII. DETAILS OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

(A) *Composition of Board of Directors

Category	Number of directors at the beginning of the year		Number of directors at the end of the year		Percentage of shares held by directors as at the end of year	
	Executive	Non-executive	Executive	Non-executive	Executive	Non-executive
A. **Promoter**	1	0	1	0	17.58	0
B. Non-Promoter	1	7	1	8	1.98	0
(i) Non-Independent	1	0	1	0	1.98	0
(ii) Independent	0	7	0	8	0	0
C. Nominee Directors representing	0	0	0	0	0	0
(i) Banks & FIs	0	0	0	0	0	0

(ii) Investing institutions	0	0	0	0	0	0
(iii) Government	0	0	0	0	0	0
(iv) Small share holders	0	0	0	0	0	0
(v) Others	0	0	0	0	0	0
Total	2	7	2	8	19.56	0

Number of Directors and Key managerial personnel (who is not director) as on the financial year end date 12

(B) (i) *Details of directors and Key managerial personnel as on the closure of financial year

Name	DIN/PAN	Designation	Number of equity share(s) held	Date of cessation (after closure of financial year : If any)
RAJ VIKASH VERMA	03546341	Director	0	
MANKAL SHANKAR SF	00588922	Director	0	
PUSHPINDER SINGH	08496066	Director	500	
KANNAN GOPALARAG	03443982	Director	625	
HARUN RASID KHAN	07456806	Director	0	
KAMLESH SHIVJI VIKA	00059620	Director	0	
MALINI THADANI	01516555	Director	0	
KAVITA VENUGOPAL	07551521	Director	0	
SANJAY AGARWAL	00009526	Managing Director	117,191,360	
UTTAM TIBREWAL	01024940	Whole-time directo	13,184,936	
VIMAL JAIN	AFMPJ7254G	CFO	116,378	
MANMOHAN PARNAM	AHFPP5775R	Company Secretar	145,370	

(ii) Particulars of change in director(s) and Key managerial personnel during the year 7

Name	DIN/PAN	Designation at the beginning / during the financial year	Date of appointment/ change in designation/ cessation	Nature of change (Appointment/ Change in designation/ Cessation)
KAMLESH SHIVJI VIKA	00059620	Additional director	25/04/2022	APPOINTMENT
KAMLESH SHIVJI VIKA	00059620	Director	29/05/2022	CHANGE IN DESIGNATION
MALINI THADANI	01516555	Additional director	25/11/2022	APPOINTMENT
MALINI THADANI	01516555	Director	30/12/2022	CHANGE IN DESIGNATION
KRISHAN KANT RATHI	00040094	Director	29/03/2023	CESSATION
JYOTI NARANG	00351187	Director	29/03/2023	CESSATION
KAVITA VENUGOPAL	07551521	Additional director	29/03/2023	APPOINTMENT

IX. MEETINGS OF MEMBERS/CLASS OF MEMBERS/BOARD/COMMITTEES OF THE BOARD OF DIRECTORS

A. MEMBERS/CLASS /REQUISITIONED/NCLT/COURT CONVENED MEETINGS

Number of meetings held: 1

Type of meeting	Date of meeting	Total Number of Members entitled to attend meeting	Attendance	
			Number of members attended	% of total shareholding
ANNUAL GENERAL MEETI	23/08/2022	188,786	131	19.75

B. BOARD MEETINGS

*Number of meetings held: 16

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	25/04/2022	10	10	100
2	07/05/2022	10	9	90
3	28/05/2022	10	10	100
4	27/06/2022	10	10	100
5	19/07/2022	10	10	100
6	23/07/2022	10	10	100

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
7	29/07/2022	10	9	90
8	31/08/2022	10	10	100
9	07/09/2022	10	10	100
10	10/10/2022	10	10	100
11	19/10/2022	10	10	100
12	24/11/2022	10	10	100

C. COMMITTEE MEETINGS

Number of meetings held: 58

S. No.	Type of meeting	Date of meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members attended	% of attendance
1	AUDIT COMM	14/04/2022	4	4	100
2	AUDIT COMM	26/04/2022	4	4	100
3	AUDIT COMM	19/07/2022	4	4	100
4	AUDIT COMM	25/08/2022	4	4	100
5	AUDIT COMM	17/10/2022	4	4	100
6	AUDIT COMM	19/10/2022	4	4	100
7	AUDIT COMM	16/01/2023	4	4	100
8	AUDIT COMM	19/01/2023	4	4	100
9	AUDIT COMM	16/02/2023	4	4	100
10	RISK MANAGI	18/04/2022	4	4	100

D. *ATTENDANCE OF DIRECTORS

S. No.	Name of the director	Board Meetings			Committee Meetings			Whether attended AGM held on
		Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	
								(Y/N/NA)

1	RAJ VIKASH '	16	16	100	19	19	100	
2	MANKAL SHA	16	16	100	34	34	100	
3	PUSHPINDEF	16	16	100	17	17	100	
4	KANNAN GOI	16	16	100	31	31	100	
5	HARUN RASI	16	16	100	22	22	100	
6	KAMLESH SH	16	16	100	18	18	100	
7	MALINI THAD	4	4	100	0	0	0	
8	KAVITA VENU	0	0	0	0	0	0	
9	SANJAY AGA	16	15	93.75	16	16	100	
10	UTTAM TIBRI	16	15	93.75	19	18	94.74	

X. *REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

☐ Nil

Number of Managing Director, Whole-time Directors and/or Manager whose remuneration details to be entered: 2

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	SANJAY AGARWAI	MANAGING DIF	21,969,120	0	0	8,940,000	30,909,120
2	UTTAM TIBREWAL	WHOLE TIME D	19,882,740	0	190,626,997	3,830,500	214,340,237
	Total		41,851,860	0	190,626,997	12,770,500	245,249,357

Number of CEO, CFO and Company secretary whose remuneration details to be entered: 2

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	VIMAL JAIN	CFO (KMP)	7,955,318	0	0	2,925,841	10,881,159
2	MANMOHAN PARN	COMPANY SEC	6,404,640	0	0	1,500,000	7,904,640
	Total		14,359,958	0	0	4,425,841	18,785,799

Number of other directors whose remuneration details to be entered: 10

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	RAJ VIKASH VERM	DIRECTOR	0	2,000,000	0	2,040,000	4,040,000
2	KRISHAN KANT R/	DIRECTOR	0	1,491,781	0	2,680,000	4,171,781

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
3	JYOTI NARANG	DIRECTOR	0	1,491,781	0	2,520,000	4,011,781
4	MANKAL SHANKAI	DIRECTOR	0	1,500,000	0	2,640,000	4,140,000
5	PUSHPINDER SIN(	DIRECTOR	0	1,500,000	0	1,960,000	3,460,000
6	KANNAN GOPALAI	DIRECTOR	0	1,500,000	0	2,520,000	4,020,000
7	HARUN RASID KH/	DIRECTOR	0	1,500,000	0	2,160,000	3,660,000
8	KAMLESH SHIVJI \	DIRECTOR	0	1,401,370	0	2,000,000	3,401,370
9	MALINI THADANI	DIRECTOR	0	521,918	0	320,000	841,918
10	KAVITA VENUGOP	DIRECTOR	0	12,329	0	0	12,329
	Total		0	12,919,179	0	18,840,000	31,759,179

XI. MATTERS RELATED TO CERTIFICATION OF COMPLIANCES AND DISCLOSURES

* A. Whether the company has made compliances and disclosures in respect of applicable provisions of the Companies Act, 2013 during the year ◉ Yes ◯ No

B. If No, give reasons/observations

XII. PENALTY AND PUNISHMENT - DETAILS THEREOF

(A) DETAILS OF PENALTIES / PUNISHMENT IMPOSED ON COMPANY/DIRECTORS /OFFICERS ☒ Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which penalised / punished	Details of penalty/ punishment	Details of appeal (if any) including present status

(B) DETAILS OF COMPOUNDING OF OFFENCES ☒ Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which offence committed	Particulars of offence	Amount of compounding (in Rupees)

XIII. Whether complete list of shareholders, debenture holders has been enclosed as an attachment

◯ Yes ◉ No

(In case of 'No', submit the details separately through the method specified in instruction kit)

XIV. COMPLIANCE OF SUB-SECTION (2) OF SECTION 92, IN CASE OF LISTED COMPANIES

In case of a listed company or a company having paid up share capital of Ten Crore rupees or more or turnover of Fifty Crore rupees or more, details of company secretary in whole time practice certifying the annual return in Form MGT-8.

Name	MANOJ MAHESHWARI
Whether associate or fellow	○ Associate ◉ Fellow
Certificate of practice number	1971

I/We certify that:
(a) The return states the facts, as they stood on the date of the closure of the financial year aforesaid correctly and adequately.
(b) Unless otherwise expressly stated to the contrary elsewhere in this Return, the Company has complied with all the provisions of the Act during the financial year.

Declaration

I am Authorised by the Board of Directors of the company vide resolution no. .. 07 dated 13/04/2017 (DD/MM/YYYY) to sign this form and declare that all the requirements of the Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been compiled with. I further declare that:

1. Whatever is stated in this form and in the attachments thereto is true, correct and complete and no information material to the subject matter of this form has been suppressed or concealed and is as per the original records maintained by the company.
2. All the required attachments have been completely and legibly attached to this form.

Note: Attention is also drawn to the provisions of Section 447, section 448 and 449 of the Companies Act, 2013 which provide for punishment for fraud, punishment for false statement and punishment for false evidence respectively.

To be digitally signed by

Director	
DIN of the director	00009526
To be digitally signed by	

◉ Company Secretary
○ Company secretary in practice

Membership number	9999	Certificate of practice number	

Attachments

List of attachments

1. List of share holders, debenture holders
2. Approval letter for extension of AGM;
3. Copy of MGT-8;
4. Optional Attachement(s), if any

Attach

Attach

Attach

Attach

Remove attachment

Modify | Check Form | Prescrutiny | Submit

This eForm has been taken on file maintained by the Registrar of Companies through electronic mode and on the basis of statement of correctness given by the company

AU SMALL FINANCE BANK
A SCHEDULED COMMERCIAL BANK

Annexure to MGT-7 F.Y. 2022-23

(iv) *Debentures (Outstanding as at the end of financial year)

Particulars	Number of Units	Nominal Value per unit	Total Value
Non-convertible debentures	5,000	10,00,000	5,00,00,00,000
	500	1,00,00,000	5,00,00,00,000
Partly convertible debentures	-	-	-
Fully convertible debentures	-	-	-
TOTAL	**5,500**	**-**	**10,00,00,00,000**

For AU Small Finance Bank Limited

Manmohan Parnami
Company Secretary & Compliance Officer
FCS 9999
Place: Jaipur

IX. MEETINGS OF MEMBERS/CLASS OF MEMBERS/BOARD/COMMITTEES OF THE BOARD OF DIRECTORS

B. BOARD MEETINGS

Details of Board Meetings during Financial Year 2022-23

S. No	Types of Meeting	Date of Meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members Attended	% of attendance
1.	Board Meeting	25-04-22*	10	10	100
2.	Board Meeting	07-05-22	10	9	90
3.	Board Meeting	28-05-22	10	10	100
4.	Board Meeting	27-06-22	10	10	100
5.	Board Meeting	19-07-22**	10	10	100
6.	Board Meeting	23-07-22	10	10	100
7.	Board Meeting	29-07-22	10	9	90
8.	Board Meeting	31-08-22	10	10	100
9.	Board Meeting	07-09-22	10	10	100
10.	Board Meeting	10-10-22	10	10	100
11.	Board Meeting	19-10-22	10	10	100
12.	Board Meeting	24-11-22	10	10	100
13.	Board Meeting	19-01-23	11	11	100
14.	Board Meeting	16-02-23	11	11	100
15.	Board Meeting	03-03-23	11	11	100
16.	Board Meeting	10-03-23	11	11	100

Board meeting dated 25th April, 2022 was continued till 26th April 2022 and the same was concluded on 26th April 2022.

***Board meeting dated 19th July, 2022 was continued till 20th July, 2022 and the same was concluded on 20th July, 2022.*

For AU Small Finance Bank Limited

Manmohan Parnami
Company Secretary & Compliance Officer
FCS 9999
Place: Jaipur

Registered Office
AU SMALL FINANCE BANK LIMITED
19-A Dhuleshwar Garden, Ajmer Road,
Jaipur - 302001, Rajasthan, India
Phone: +91 141 4110060/61, **Fax:** +91 141 4110090
CIN: L36911RJ1996PLC011381

IX. MEETINGS OF MEMBERS/CLASS OF MEMBERS/BOARD/COMMITTEES OF THE BOARD OF DIRECTORS

C. COMMITTEE MEETINGS

Details of Committee Meetings during Financial Year 2022-23

S. No	Types of Meeting	Date of Meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members Attended	% of attendance
1.	Audit Committee	14-04-22	4	4	100
2.	Audit Committee	26-04-22	4	4	100
3.	Audit Committee	19-07-22*	4	4	100
4.	Audit Committee	25-08-22	4	4	100
5.	Audit Committee	17-10-22	4	4	100
6.	Audit Committee	19-10-22	4	4	100
7.	Audit Committee	16-01-23	4	4	100
8.	Audit Committee	19-01-23	4	4	100
9.	Audit Committee	16-02-23	4	4	100
10.	Risk Management Committee	18-04-22	4	4	100
11.	Risk Management Committee	25-04-22	4	4	100
12.	Risk Management Committee	15-07-22	5	5	100
13.	Risk Management Committee	19-07-22	5	5	100
14.	Risk Management Committee	25-08-22	5	5	100
15.	Risk Management Committee	15-10-22	5	5	100
16.	Risk Management Committee	17-01-23	5	5	100
17.	Risk Management Committee	16-02-23	5	5	100
18.	Nomination and Remuneration Committee	11-04-22	3	3	100
19.	Nomination and Remuneration Committee	25-04-22	3	3	100
20.	Nomination and Remuneration Committee	30-06-22	4	4	100
21.	Nomination and Remuneration Committee	14-07-22	4	4	100
22.	Nomination and Remuneration Committee	23-07-22	4	4	100
23.	Nomination and Remuneration Committee	25-08-22	4	4	100
24.	Nomination and Remuneration Committee	08-10-22	4	4	100
25.	Nomination and Remuneration Committee	19-11-22	4	4	100
26.	Nomination and Remuneration Committee	16-02-23	4	4	100
27.	Nomination and Remuneration Committee	02-03-23**	4	4	100

S. No	Types of Meeting	Date of Meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members Attended	% of attendance
28.	Nomination and Remuneration Committee	10-03-23	4	4	100
29.	Stakeholders Relationship Committee	13-04-22	3	3	100
30.	Stakeholders Relationship Committee	14-07-22	4	4	100
31.	Stakeholders Relationship Committee	16-11-22	4	3	75
32.	Stakeholders Relationship Committee	18-01-23	4	4	100
33.	Corporate Social Responsibility (CSR) Committee	25-04-22	5	5	100
34.	Corporate Social Responsibility (CSR) Committee	16-11-22	4	4	100
35.	IT Strategy and Information Systems Security Committee	11-04-22	4	4	100
36.	IT Strategy and Information Systems Security Committee	14-07-22	5	5	100
37.	IT Strategy and Information Systems Security Committee	16-11-22***	5	5	100
38.	IT Strategy and Information Systems Security Committee	10-02-22	5	5	100
39.	Customer Service Committee (CSC)	13-04-22	5	5	100
40.	Customer Service Committee (CSC)	15-07-22	5	5	100
41.	Customer Service Committee (CSC)	17-11-22	5	5	100
42.	Customer Service Committee (CSC)	12-01-23	5	5	100
43.	Review of Classification of Willful Defaulters Committee	13-04-22	4	4	100
44.	Review of Classification of Willful Defaulters Committee	14-07-22	4	4	100
45.	Review of Classification of Willful Defaulters Committee	16-11-22	4	4	100
46.	Disciplinary Committee (DC)	13-04-22	4	4	100
47.	Disciplinary Committee (DC)	17-11-22	4	4	100
48.	Committee for Financial Inclusion	14-04-22	4	4	100

S. No	Types of Meeting	Date of Meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members Attended	% of attendance
49.	Committee for Financial Inclusion	14-07-22	4	4	100
50.	Committee for Financial Inclusion	16-11-22	4	4	100
51.	Committee for Financial Inclusion	18-01-23	4	4	100
52.	Management Committee	13-04-22	4	4	100
53.	Management Committee	14-07-22	4	4	100
54.	Management Committee	16-11-22	4	4	100
55.	Management Committee	18-01-23	4	4	100
56.	Management Committee	15-03-23	4	3	75
57.	Capital Raising Committee	03-08-22	4	4	100
58.	Capital Raising Committee	08-08-22	4	4	100

**Audit Committee meeting dated 19th July, 2022 was continued till 20th July 2022 and the same was concluded on 20th July 2022.*
***Nomination and Remuneration meeting dated 2nd March, 2023 was continued till 3rd March 2023 and the same was concluded on 3rd March 2023.*
****IT Strategy and Information Systems Security Committee meeting dated 16th November, 2022 was adjourned to 24th November, 2022 and the same was concluded on 24th November, 2022.*

For AU Small Finance Bank Limited

Manmohan Parnami
Company Secretary & Compliance Officer
FCS 9999
Place: Jaipur