

Ref. No.: AUSFB/SEC/2021-22/311

Date: 20th January 2022

To,

National Stock Exchange of India Ltd. Exchange Plaza, C-1, Block G, Bandra Kurla Complex, Bandra (East), Mumbai 400051, Maharashtra. NSE Symbol: AUBANK	BSE Limited Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai 400001, Maharashtra. Scrip Code: 540611
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Dear Sir/Madam,

Sub: Compliance pursuant to Regulation 31(1)(b) of SEBI (Listing Obligations and Disclosure Requirements) Regulation, 2015.

We hereby enclose the shareholding pattern of the Bank for the quarter ended on 31st December 2021.

This is for your information and records.

Thanking You,

Yours faithfully,

For AU SMALL FINANCE BANK LIMITED




Manmohan Parnami
Company Secretary and Compliance Officer
Membership No.: F9999
investorrelations@aubank.in

Encl: As above

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

Shareholding Pattern under Regulation 31 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 as on 31st December, 2021	
1.	Name of Listed Entity: AU Small Finance Bank Limited
2.	Scrip Code/Name of Scrip/Class of Security: 540611
3.	Share Holding Pattern Filed under: Reg. 31(1)(b)
a	If under 31(1)(b) then indicate the report for Quarter ending : 31st December, 2021
b	If under 31(1)(c) then indicate date of allotment/extinguishment : NA
4.	Declaration: The Listed entity is required to submit the following declaration to the extent of submission of information:-

Sr. No.	Particular	Yes/No	Promoter and Promoter Group	Public shareholder	Non Promoter-Non Public
1	Whether the Listed Entity has issued any partly paid up shares?	No	No	No	No
2	Whether the Listed Entity has issued any Convertible Securities ?	No	No	No	No
3	Whether the Listed Entity has issued any Warrants ?	No	No	No	No
4	Whether the Listed Entity has any shares against which depository receipts are issued?	No	No	No	No
5	Whether the Listed Entity has any shares in locked-in?	No	No	No	No
6	Whether any shares held by promoters are pledge or otherwise encumbered?	No	No		
7	Whether company has equity shares with differential voting rights?	No	No	No	No
8	Whether the listed entity has any significant beneficial owner?	No			

AU Small Finance Bank Limited**Table I - Summary Statement holding of specified securities**

Category	Category of shareholder	Nos. of shareholders	No. of fully paid up equity shares held	No. of Partly paid-up equity shares held	No. of shares underlying Depository Receipts	Total nos. shares held	Shareholding as a % of total no. of shares (calculated as per SCRR, 1957)	Number of Voting Rights held in each class of securities				No. of Shares Underlying Outstanding convertible securities (including Warrants)	Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital)	Number of Locked in shares		Number of Shares pledged or otherwise encumbered		Number of equity shares held in dematerialised form
								No of Voting Rights			Total as a % of (A+B+C)			No. (a)	As a % of total Shares held(b)	No. (a)	As a % of total Shares held(b)	
								Class eg: X	Class eg: y	Total								
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII) = (IV)+(V)+	(VIII) As a %	(IX)				(X)	(XI)= (VII)+(X) As	(XII)		(XIII)		(XIV)
(A)	Promoter & Promoter Group	5	88899206	0	0	88899206	28.3327	88899206	0	88899206	28.3327	0	28.3327	0	0.0000	0	0.0000	88899206
(B)	Public	142816	224870228	0	0	224870228	71.6673	224870228	0	224870228	71.6673	0	71.6673	0	0.0000	NA	NA	224870228
(C)	Non Promoter - Non Public				0				0			0			0.0000	NA	NA	
(C1)	Shares Underlying DRs	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(C2)	Shares Held By Employee Trust	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
	Total	142821	313769434	0	0	313769434	100.0000	313769434	0	313769434	100.0000	0	100.0000	0	0.0000	0	0.0000	313769434

AU Small Finance Bank Limited
Table II - Statement showing shareholding pattern of the Promoter and Promoter Group

Category & Name of the shareholders	Entity Type	PAN	Nos. of shareholders	No. of fully paid up equity shares held	Partly paid-up equity shares held	No. of shares underlying Depository Receipts	Total nos. shares held	Shareholding % calculated as per SCRR, 1957 As a % of (A+B+C2)	Number of Voting Rights held in each class of securities				No. of Shares Underlying Outstanding convertible securities (including Warrants)	Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital)	Number of Locked in shares		Number of Shares pledged or otherwise encumbered		Number of equity shares held in dematerialised form	
									No of Voting Rights			Total as a % of (A+B+C)			No. (a)	As a % of total Shares held(b)	No. (a)	As a % of total Shares held(b)		
									Class eg: X	Class eg: y	Total									
(I)		(II)	(III)	(IV)	(V)	(VI)	(VII) =	(VIII) As a			(IX)		(X)	(XI)= (VII)+(X) As		(XII)		(XIII)	(XIV)	
1	Indian																			
(a)	Individuals / Hindu Undivided Family			4	82234670	0	0	82234670	26.2086	82234670	0	82234670	26.2086	0	26.2086	0	0.0000	0	0.0000	82234670
	Sanjay Agarwal	Promoters	ACDPA9685N	1	56766359	0	0	56766359	18.0917	56766359	0	56766359	18.0917	0	18.0917	0	0.0000	0	0.0000	56766359
	Shakuntala Agarwal	Promoters	AECPA7984B	1	11820430	0	0	11820430	3.7672	11820430	0	11820430	3.7672	0	3.7672	0	0.0000	0	0.0000	11820430
	Jyoti Agarwal	Promoters	ABJPA3157A	1	11818560	0	0	11818560	3.7666	11818560	0	11818560	3.7666	0	3.7666	0	0.0000	0	0.0000	11818560
	Chiranji Lal Agarwal*	Promoters	AAYPA7038C	1	1829321	0	0	1829321	0.5830	1829321	0	1829321	0.5830	0	0.5830	0	0.0000	0	0.0000	1829321
(b)	Central Government / State Government(s)			0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
(c)	Financial Institutions / Banks			0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
(d)	Any Other (Specify)			1	6664536	0	0	6664536	2.1240	6664536	0	6664536	2.1240	0	2.1240	0	0.0000	0	0.0000	6664536
	Bodies Corporate			1	6664536	0	0	6664536	2.1240	6664536	0	6664536	2.1240	0	2.1240	0	0.0000	0	0.0000	6664536
	Mys Holdings Private Limited	Promoter Group Entity	AAJCM1361J	1	6664536	0	0	6664536	2.1240	6664536	0	6664536	2.1240	0	2.1240	0	0.0000	0	0.0000	6664536
	Sub Total (A)(1)			5	88899206	0	0	88899206	28.3327	88899206	0	88899206	28.3327	0	28.3327	0	0.0000	0	0.0000	88899206
2	Foreign																			
(a)	Individuals (Non-Resident Individuals / Foreign Individuals)			0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
(b)	Government			0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
(c)	Institutions			0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
(d)	Foreign Portfolio Investor			0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
(e)	Any Other (Specify)			0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
	Sub Total (A)(2)			0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
	Total Shareholding Of Promoter And Promoter Group (A)= (A)(1)+(A)(2)			5	88899206	0	0	88899206	28.3327	88899206	0	88899206	28.3327	0	28.3327	0	0.0000	0	0.0000	88899206

*As informed to Stock Exchanges on 6th October 2021, Mr. Chiranji Lal Agarwal, one of the promoters of the Bank demised on 06th October 2021 and shareholding held by him is continue to be shown under Promoter category in shareholding pattern as the transmission of shares held by him is yet to be completed.

Details of Shares which remain unclaimed may be given here along with details such as number of shareholders, outstanding shares held in demat/unclaimed suspense account, voting rights which are frozen etc.

No. of shareholders
NIL

AU Small Finance Bank Limited
Table III - Statement showing shareholding pattern of the Public shareholder

Category & Name of the shareholders	PAN	Nos. of shareholders	No. of fully paid up equity shares held	Partly paid-up equity shares held	No. of shares underlying Depository Receipts	Total nos. shares held	Shareholding % calculated as per SCRR, 1957 As a % of (A+B+C2)	Number of Voting Rights held in each class of securities				No. of Shares Underlying Outstanding convertible securities (including securities)	Shareholding , as a % assuming full conversion of convertible securities	Number of Locked in shares		Number of Shares pledged or otherwise encumbered		Number of equity shares held in dematerialised form	
								No of Voting Rights			Total as a % of (A+B+C)			No. (a)	As a % of total Shares held(b)	No. (a)	As a % of total Shares held(b)		
								Class eg: X	Class eg: y	Total									
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII) =	(VIII) As a	(IX)				(X)	(XI)=	(XII)		(XIII)		(XIV)	
1	Institutions																		
(a)	Mutual Fund		21	36536012	0	0	36536012	11.6442	36536012	0	36536012	11.6442	0	11.6442	0	0.0000	NA	NA	36536012
	Kotak Flexicap Fund	AAATK4475F	1	14317474	0	0	14317474	4.5631	14317474	0	14317474	4.5631	0	4.5631	0	0.0000	NA	NA	14317474
	Nippon Life India Trustee Ltd-A/C Nippon India Growth Fund	AAATR0090B	1	7063424	0	0	7063424	2.2512	7063424	0	7063424	2.2512	0	2.2512	0	0.0000	NA	NA	7063424
	Uti Flexi Cap Fund	AAATU1088L	1	5083614	0	0	5083614	1.6202	5083614	0	5083614	1.6202	0	1.6202	0	0.0000	NA	NA	5083614
	Motilal Oswal Flexi Cap Fund	AACTM3577A	1	4895381	0	0	4895381	1.5602	4895381	0	4895381	1.5602	0	1.5602	0	0.0000	NA	NA	4895381
(b)	Venture Capital Funds		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(c)	Alternate Investment Funds		19	13405556	0	0	13405556	4.2724	13405556	0	13405556	4.2724	0	4.2724	0	0.0000	NA	NA	13405556
	Westbridge Aif I	AAATW4890J	1	11458196	0	0	11458196	3.6518	11458196	0	11458196	3.6518	0	3.6518	0	0.0000	NA	NA	11458196
(d)	Foreign Venture Capital Investors		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(e)	Foreign Portfolio Investor		287	104209326	0	0	104209326	33.2121	104209326	0	104209326	33.2121	0	33.2121	0	0.0000	NA	NA	104209326
	Smallcap World Fund, Inc	AABCS3581L	1	11857100	0	0	11857100	3.7789	11857100	0	11857100	3.7789	0	3.7789	0	0.0000	NA	NA	11857100
	Nomura India Investment Fund Mother Fund	AAAAN3240L	1	8520570	0	0	8520570	2.7156	8520570	0	8520570	2.7156	0	2.7156	0	0.0000	NA	NA	8520570
	New World Fund Inc	AABCN3163H	1	6308752	0	0	6308752	2.0106	6308752	0	6308752	2.0106	0	2.0106	0	0.0000	NA	NA	6308752
	St. James's Place Emerging Markets Equity Unit Trust Managed By Wasatch Advisors Inc	AARTS5333H	1	4849941	0	0	4849941	1.5457	4849941	0	4849941	1.5457	0	1.5457	0	0.0000	NA	NA	4849941
	Amansa Holdings Private Limited	AAKCA7237L	1	4575996	0	0	4575996	1.4584	4575996	0	4575996	1.4584	0	1.4584	0	0.0000	NA	NA	4575996
	Camas Investments Pte. Ltd.	AADCC0381N	1	4330441	0	0	4330441	1.3801	4330441	0	4330441	1.3801	0	1.3801	0	0.0000	NA	NA	4330441
	Morgan Stanley Investment Funds Emerging Leaders Equity Fund	AAJCM8623M	1	3536438	0	0	3536438	1.1271	3536438	0	3536438	1.1271	0	1.1271	0	0.0000	NA	NA	3536438
(f)	Financial Institutions / Banks		1	107	0	0	107	0.0000	107	0	107	0.0000	0	0.0000	0	0.0000	NA	NA	107
(g)	Insurance Companies		12	12805114	0	0	12805114	4.0811	12805114	0	12805114	4.0811	0	4.0811	0	0.0000	NA	NA	12805114
	Hdfc Life Insurance Company Limited	AAACH8755L	1	6736027	0	0	6736027	2.1468	6736027	0	6736027	2.1468	0	2.1468	0	0.0000	NA	NA	6736027
(h)	Provident Funds/ Pension Funds		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(i)	Any Other (Specify)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
	Sub Total (B)(1)		340	166956115	0	0	166956115	53.2098	166956115	0	166956115	53.2098	0	53.2098	0	0.0000	NA	NA	166956115
2	Central Government/ State Government(s)/ President of India																		
	Sub Total (B)(2)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
3	Non-Institutions																		
(a)	Individuals			0	0									0			NA	NA	
	i. Individual shareholders holding nominal share capital up to Rs. 2 lakhs.		134337	18752330	0	0	18752330	5.9765	18752330	0	18752330	5.9765	0	5.9765	0	0.0000	NA	NA	18752330
	ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.		108	14381030	0	0	14381030	4.5833	14381030	0	14381030	4.5833	0	4.5833	0	0.0000	NA	NA	14381030
	Uttam Tibrewal	ADRPT3343H		5465595	0	0	5465595	1.7419	5465595	0	5465595	1.7419	0	1.7419	0	0.0000	NA	NA	5465595
(b)	NBFCs registered with RBI		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
	Trust Employee		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0

(d)	Overseas Depositories(holding DRs) (balancing figure)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(c)	Any Other (Specify)		8031	24780753	0	0	24780753	7.8978	24780753	0	24780753	7.8978	0	7.8978	0	0.0000	NA	NA	24780753
	Trusts		14	3439912	0	0	3439912	1.0963	3439912	0	3439912	1.0963	0	1.0963	0	0.0000	NA	NA	3439912
	Hindu Undivided Family		3207	430289	0	0	430289	0.1371	430289	0	430289	0.1371	0	0.1371	0	0.0000	NA	NA	430289
	Foreign Companies		1	10104364	0	0	10104364	3.2203	10104364	0	10104364	3.2203	0	3.2203	0	0.0000	NA	NA	10104364
	Camas Investments Pte. Ltd.	AADCC0381N	1	10104364	0	0	10104364	3.2203	10104364	0	10104364	3.2203	0	3.2203	0	0.0000	NA	NA	10104364
	Non Resident Indians (Non Repat)		1161	1494450	0	0	1494450	0.4763	1494450	0	1494450	0.4763	0	0.4763	0	0.0000	NA	NA	1494450
	Non Resident Indians (Repat)		2371	1076680	0	0	1076680	0.3431	1076680	0	1076680	0.3431	0	0.3431	0	0.0000	NA	NA	1076680
	Body Corp-Ltd Liability Partnership		98	1107607	0	0	1107607	0.3530	1107607	0	1107607	0.3530	0	0.3530	0	0.0000	NA	NA	1107607
	Clearing Member		133	716809	0	0	716809	0.2285	716809	0	716809	0.2285	0	0.2285	0	0.0000	NA	NA	716809
	Bodies Corporate		1046	6410642	0	0	6410642	2.0431	6410642	0	6410642	2.0431	0	2.0431	0	0.0000	NA	NA	6410642
	Motilal Oswal Financial Services Ltd	AAECM2876P	1	3282719	0	0	3282719	1.0462	3282719	0	3282719	1.0462	0	1.0462	0	0.0000	NA	NA	3282719
	Sub Total (B)(3)		142476	57914113	0	0	57914113	18.4575	57914113	0	57914113	18.4575	0	18.4575	0	0.0000	NA	NA	57914113
	Total Public Shareholding (B)= (B)(1)+(B)(2)+(B)(3)		142816	224870228	0	0	224870228	71.6673	224870228	0	224870228	71.6673	0	71.6673	0	0.0000	NA	NA	224870228

Details of the shareholders acting as persons in Concert including their Shareholding (No. and %):

No. of shareholders
NIL

Details of Shares which remain unclaimed may be given here along with details such as number of shareholders, outstanding shares held in demat/unclaimed suspense account, voting rights which are frozen etc.

No. of shareholders
NIL

AU Small Finance Bank Limited
Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder

Category & Name of the shareholders	PAN	Nos. of shareholders	No. of fully paid up equity shares held	Partly paid-up equity shares held	No. of shares underlying Depository Receipts	Total nos. shares held	Shareholding % calculated as per SCRR, 1957 As a % of (A+B+C2)	Number of Voting Rights held in each class of securities				No. of Shares Underlying Outstanding convertible securities (including Warrants)	g , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital)	Number of Locked in shares		Number of Shares pledged or otherwise encumbered		Number of equity shares held in dematerialised form
								No of Voting Rights			Total as a % of (A+B+C)			No. (a)	As a % of total Shares held(b)	No. (a)	As a % of total Shares held(b)	
								Class eg: X	Class eg: y	Total								
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII) =	(VIII) As a	(IX)				(X)	(XI)=	(XII)		(XIII)		(XIV)
1 Custodian/DR Holder		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
2 Employee Benefit Trust (under SEBI (Share based Employee Benefit) Regulations, 2014)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
Total Non-Promoter- Non Public Shareholding (C)= (C)(1)+(C)(2)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0