

Ref. No.: AUSFB/SEC/2022-23/71

Date: 19th April 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
--	--

Dear Sir/Madam,

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

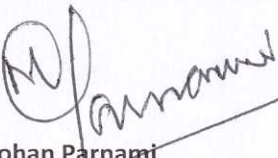
We hereby enclose the Shareholding Pattern of the Bank for the Quarter and Year ended on 31st March 2022.

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 March, 2022					
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 March, 2022				
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			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		Number of		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)+(VI)	(VIII) As a % of (A+B+C2)	(IX)			(X)	(XI)= (VII)+(X) As a % of (A+B+C2)	(XII)		(XIII)		(XIV)	
(A)	Promoter & Promoter Group	5	88899206	0	0	88899206	28.23	88899206	0	88899206	28.23	0	28.23	0	0.0000	0	0.0000	88899206
(B)	Public	149879	226000825	0	0	226000825	71.77	226000825	0	226000825	71.77	0	71.77	0	0.0000	NA	NA	226000825
(C)	Non Promoter - Non Public				0				0			0			0.0000	NA	NA	
(C1)	Shares Underlying DRs	0	0	0	0	0	0.00	0	0	0	0	0	0	0	0.0000	NA	NA	0
(C2)	Shares Held By Employee Trust	0	0	0	0	0	0.00	0	0	0	0	0	0	0	0.0000	NA	NA	0
	Total	149884	314900031	0	0	314900031	100.00	314900031	0	314900031	100.00	0	100.00	0	0.0000	0	0.0000	314900031

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

	Category & Name of the shareholders	Entity Type	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				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		Number of Shares		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)		(III)	(IV)	(V)	(VI)	(VII) = (IV)+(V)+(VI)	(VIII) As a % of (A+B+C2)	(IX)				(X)	(XI)= (VII)+(X) As a % of (A+B+C2)	(XII)		(XIII)		(XIV)
1	Indian																		
(a)	Individuals / Hindu Undivided Family		4	82234670	0	0	82234670	26.11	82234670	0	82234670	26.11	0	26.11	0	0.0000	0	0.0000	82234670
	Sanjay Agarwal	Promoters	1	56766359	0	0	56766359	18.03	56766359	0	56766359	18.03	0	18.03	0	0.0000	0	0.0000	56766359
	Shakuntala Agarwal	Promoters	1	11820430	0	0	11820430	3.75	11820430	0	11820430	3.75	0	3.75	0	0.0000	0	0.0000	11820430
	Jyoti Agarwal	Promoters	1	11818560	0	0	11818560	3.75	11818560	0	11818560	3.75	0	3.75	0	0.0000	0	0.0000	11818560
	Chiranjii Lal Agarwal	Promoters	1	1829321	0	0	1829321	0.58	1829321	0	1829321	0.58	0	0.58	0	0.0000	0	0.0000	1829321
(b)	Central Government / State Government(s)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.0000	0	0.0000	0
(c)	Financial Institutions / Banks		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.0000	0	0.0000	0
(d)	Any Other (Specify)		1	6664536	0	0	6664536	2.12	6664536	0	6664536	2.12	0	2.12	0	0.0000	0	0.0000	6664536
	Bodies Corporate		1	6664536	0	0	6664536	2.12	6664536	0	6664536	2.12	0	2.12	0	0.0000	0	0.0000	6664536
	Mys Holdings Private Limited	Promoter Group	1	6664536	0	0	6664536	2.12	6664536	0	6664536	2.12	0	2.12	0	0.0000	0	0.0000	6664536
	Sub Total (A)(1)		5	88899206	0	0	88899206	28.23	88899206	0	88899206	28.23	0	28.23	0	0.0000	0	0.0000	88899206
2	Foreign																		
(a)	Individuals (Non-Resident Individuals / Foreign Individuals)		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0.0000	0	0.0000	0
(b)	Government		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0.0000	0	0.0000	0
(c)	Institutions		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0.0000	0	0.0000	0
(d)	Foreign Portfolio Investor		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0.0000	0	0.0000	0
(e)	Any Other (Specify)		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0.0000	0	0.0000	0
	Sub Total (A)(2)		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0.0000	0	0.0000	0
	Total Shareholding Of Promoter And Promoter Group (A)= (A)(1)+(A)(2)		5	88899206	0	0	88899206	28.23	88899206	0	88899206	28.23	0	28.23	0	0.0000	0	0.0000	88899206

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

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

	Category & Name of the shareholders	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			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		Number of Shares		Number of equity shares held in dematerialised form
								No of Voting Rights Class eg: X	Class eg: Y	Total			No. (a)	As a % of total Shares held(b)	No. (a)	As a % of total Shares held(b)	
	(I)	(III)	(IV)	(V)	(VI)	(VII) = (IV)+(V)+(VI)	(VIII) As a % of (A+B+C2)	(IX)			(X)	(XI)= (VII)+(X) As a % of (A+B+C2)	(XII)		(XIII)		(XIV)
1	Institutions																
(a)	Mutual Fund	19	35344899	0	0	35344899	11.22	35344899	0	35344899	11.22	0	0	0.0000	NA	NA	35344899
	Kotak Flexicap Fund	1	14749916	0	0	14749916	4.68	14749916	0	14749916	4.68	0	0	0.0000	NA	NA	14749916
	Nippon Life India Trustee Ltd- A/C Nippon India Growth Fund	1	6632005	0	0	6632005	2.11	6632005	0	6632005	2.11	0	0	0.0000	NA	NA	6632005
	Uti Flexi Cap Fund	1	4648811	0	0	4648811	1.48	4648811	0	4648811	1.48	0	0	0.0000	NA	NA	4648811
	Motilal Oswal Flexi Cap Fund	1	4307204	0	0	4307204	1.37	4307204	0	4307204	1.37	0	0	0.0000	NA	NA	4307204
(b)	Venture Capital Funds	0	0	0	0	0	0.00	0	0	0	0.00	0	0	0.0000	NA	NA	0
(c)	Alternate Investment Funds	20	12098424	0	0	12098424	3.84	12098424	0	12098424	3.84	0	0	0.0000	NA	NA	12098424
	Westbridge Aif I	1	10463446	0	0	10463446	3.32	10463446	0	10463446	3.32	0	0	0.0000	NA	NA	10463446
(d)	Foreign Venture Capital Investors	0	0	0	0	0	0.00	0	0	0	0.00	0	0	0.0000	NA	NA	0
(e)	Foreign Portfolio Investor	288	108055655	0	0	108055655	34.31	108055655	5	108055655	34.31	0	0	0.0000	NA	NA	5
	Smallcap World Fund, Inc	1	12933400	0	0	12933400	4.11	12933400	0	12933400	4.11	0	0	0.0000	NA	NA	12933400
	Nomura India Investment Fund Mother Fund	1	8419483	0	0	8419483	2.67	8419483	0	8419483	2.67	0	0	0.0000	NA	NA	8419483
	New World Fund Inc	1	6308752	0	0	6308752	2.00	6308752	0	6308752	2.00	0	0	0.0000	NA	NA	6308752
	St. James's Place Emerging Markets Equity Unit Trust Managed By Wasatch Advisors Inc	1	5395842	0	0	5395842	1.71	5395842	0	5395842	1.71	0	0	0.0000	NA	NA	5395842
	Amansa Holdings Private Limited	1	4351147	0	0	4351147	1.38	4351147	0	4351147	1.38	0	0	0.0000	NA	NA	4351147
	Camas Investments Pte. Ltd.	1	4330441	0	0	4330441	1.38	4330441	0	4330441	1.38	0	0	0.0000	NA	NA	4330441
	Morgan Stanley Investment Funds Emerging Leaders Equity Fund	1	3536438	0	0	3536438	1.12	3536438	0	3536438	1.12	0	0	0.0000	NA	NA	3536438
(f)	Financial Institutions / Banks	1	107	0	0	107	0.00	107	0	107	0.00	0	0	0.0000	NA	NA	107
(g)	Insurance Companies	12	11698278	0	0	11698278	3.71	11698278	0	11698278	3.71	0	0	0.0000	NA	NA	11698278
	Hdfc Life Insurance Company Limited	1	6264274	0	0	6264274	1.99	6264274	0	6264274	1.99	0	0	0.0000	NA	NA	6264274
(h)	Provident Funds/ Pension Funds	0	0	0	0	0	0.00	0	0	0	0.00	0	0	0.0000	NA	NA	0
(i)	Any Other (Specify)	0	0	0	0	0	0.00	0	0	0	0.00	0	0	0.0000	NA	NA	0
	Sub Total (B)(1)	340	167197363	0	0	167197363	53.10	167197363	3	167197363	53.10	0	0	0.0000	NA	NA	167197363
2	Central Government/ State Government(s)/ President of India																
	Sub Total (B)(2)	0	0	0	0	0	0.00	0	0	0	0.00	0	0	0.0000	NA	NA	0
3	Non-Institutions																
(a)	Individuals	0	0	0	0	0	0.00	0	0	0	0.00	0	0	0.0000	NA	NA	0
	i. Individual shareholders holding nominal share capital up to Rs. 2 lakhs.	141450	18335796	0	0	18335796	5.82	18335796	0	18335796	5.82	0	0	0.0000	NA	NA	18335796

	ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.	109	15076760	0	0	15076760	4.79	15076760	0	15076760	4.79	0	4.79	0	0.0000	NA	NA	15076760
	Uttam Tibrewal		6365595	0	0	6365595	2.02	6365595	0	6365595	2.02	0	2.02	0	0.0000	NA	NA	6365595
(b)	NBFCs registered with RBI	0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.0000	NA	NA	0
	Trust Employee	0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.0000	NA	NA	0
(d)	Overseas Depositories(holding DRs) (balancing figure)	0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.0000	NA	NA	0
(c)	Any Other (Specify)	7980	25390906	0	0	25390906	8.06	25390906	0	25390906	8.06	0	8.06	0	0.0000	NA	NA	25390906
	Trusts	14	3331287	0	0	3331287	1.06	3331287	0	3331287	1.06	0	1.06	0	0.0000	NA	NA	3331287
	Hindu Undivided Family	3118	376112	0	0	376112	0.12	376112	0	376112	0.12	0	0.12	0	0.0000	NA	NA	376112
	Foreign Companies	1	10104364	0	0	10104364	3.21	10104364	0	10104364	3.21	0	3.21	0	0.0000	NA	NA	10104364
	Camas Investments Pte. Ltd.	1	10104364	0	0	10104364	3.21	10104364	0	10104364	3.21	0	3.21	0	0.0000	NA	NA	10104364
	Non Resident Indians (Non Repat)	1210	1496761	0	0	1496761	0.48	1496761	0	1496761	0.48	0	0.48	0	0.0000	NA	NA	1496761
	Non Resident Indians (Repat)	2403	1076504	0	0	1076504	0.34	1076504	0	1076504	0.34	0	0.34	0	0.0000	NA	NA	1076504
	Body Corp-Ltd Liability Partnership	102	1782054	0	0	1782054	0.57	1782054	0	1782054	0.57	0	0.57	0	0.0000	NA	NA	1782054
	Clearing Member	98	722440	0	0	722440	0.23	722440	0	722440	0.23	0	0.23	0	0.0000	NA	NA	722440
	Bodies Corporate	1034	6501384	0	0	6501384	2.06	6501384	0	6501384	2.06	0	2.06	0	0.0000	NA	NA	6501384
	Motilal Oswal Financial Services Limited	1	3282719	0	0	3282719	1.04	3282719	0	3282719	1.04	0	1.04	0	0.0000	NA	NA	3282719
	Sub Total (B)(3)	149539	58803462	0	0	58803462	18.67	58803462	0	58803462	18.67	0	18.67	0	0.0000	NA	NA	58803462
	Total Public Shareholding (B)= (B)(1)+(B)(2)+(B)(3)	149879	226000825	0	0	226000825	71.77	226000825	5	226000825	71.77	0	71.77	0	0.0000	NA	NA	226000825

S.No.	Name of shareholder	Name of PAC	Number of Shares	Percentage of Shareholding by PAC
1	WASATCH ADVISORS, INC.	LOS ANGELES CITY EMPLOYEES RETIREMENT SYSTEM	834048	0.26
2	WASATCH ADVISORS, INC.	PRIME SUPER	176045	0.06
3	WASATCH ADVISORS, INC.	UPMC BASIC RETIREMENT PLAN	49842	0.02
4	WASATCH ADVISORS, INC.	EMPLOYEES RETIREMENT SYSTEM	1160935	0.37
5	WASATCH ADVISORS, INC.	PUBLIC EMPLOYEES RETIREMENT	741554	0.24
6	WASATCH ADVISORS, INC.	UNIVERSITY OF WISCONSIN	253305	0.08
7	WASATCH ADVISORS, INC.	AL MEHWAR COMMERCIAL	1627439	0.52
8	WASATCH ADVISORS, INC.	ST. JAMES'S PLACE EMERGING	5395842	1.71
9	WASATCH ADVISORS, INC.	WASATCH INTERNATIONAL	1104282	0.35
10	WASATCH ADVISORS, INC.	APT-UNIVERSAL-FONDS	187154	0.06
11	WASATCH ADVISORS, INC.	WASATCH EMERGING MARKETS	1734062	0.55
12	WASATCH ADVISORS, INC.	WASATCH GLOBAL	563617	0.18
13	WASATCH ADVISORS, INC.	COMMONWEALTH OF	1372358	0.44
14	WASATCH ADVISORS, INC.	WASATCH EMERGING INDIA FUND	2450428	0.78
15	WASATCH ADVISORS, INC.	UPMC	74764	0.02
16	WASATCH ADVISORS, INC.	WASATCH EMERGING MARKETS	954502	0.30
17	WASATCH ADVISORS, INC.	PENSION RESERVES INVESTMENT	535326	0.17
18	WASATCH ADVISORS, INC.	TEACHERS RETIREMENT SYSTEM	864026	0.27
19	WASATCH ADVISORS, INC.	WASATCH ADVISORS, INC.	5719	0.00
20	WASATCH ADVISORS, INC.	TEXAS MUNICIPAL RETIREMENT	443589	0.14
21	WASATCH ADVISORS, INC.	VFMC INTERNATIONAL EQUITY	243810	0.08
22	WASATCH ADVISORS, INC.	VFMC INTERNATIONAL EQUITY	304869	0.10
23	WASATCH ADVISORS, INC.	COUNSEL GLOBAL SMALL CAP	371367	0.12
24	WASATCH ADVISORS, INC.	BUSS (QUEENSLAND) PTY LTD AS TRUSTEE FOR BUSS (QUEENSLAND) POOLED SUPERANNUATION TRUST	86410	0.03

Details of Shares which remain unclaimed may be given hear 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				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		Number of Shares		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 % of	(IX)			(X)	(XI)= (VII)+(X) As a % of	(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