

Date: 20th October 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 30th September 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 30th September, 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 30th September 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 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)+ (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	4	170298412	0	0	170298412	25.5831	170298412	0	170298412	25.5831	0	25.5831	0	0.0000	0	0.0000	170298412
(B)	Public	188503	495368248	0	0	495368248	74.4169	495368248	0	495368248	74.4169	0	74.4169	0	0.0000	NA	NA	495362045
(C)	Non Promoter - Non Public				0	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	188507	665666660	0	0	665666660	100.0000	665666660	0	665666660	100.0000	0	100.0000	0	0.0000	0	0.0000	665660457

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

Statement showing Shareholding pattern of 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 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 Total Voting Rights			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		3	159469340	0	0	159469340	23.9563	159469340	0	159469340	23.9563	0	23.9563	0	0.0000	0	0.0000	159469340
	Sanjay Agarwal	Promoters	1	117191360	0	0	117191360	17.6051	117191360	0	117191360	17.6051	0	17.6051	0	0.0000	0	0.0000	117191360
	Jyoti Agarwal	Promoters	1	23637120	0	0	23637120	3.5509	23637120	0	23637120	3.5509	0	3.5509	0	0.0000	0	0.0000	23637120
	Shakuntala Agarwal	Promoters	1	18640860	0	0	18640860	2.8003	18640860	0	18640860	2.8003	0	2.8003	0	0.0000	0	0.0000	18640860
	Yuvraj Agarwal	Promoters	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Mallika Agarwal	Promoters	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
(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	10829072	0	0	10829072	1.6268	10829072	0	10829072	1.6268	0	1.6268	0	0.0000	0	0.0000	10829072
	Bodies Corporate		1	10829072	0	0	10829072	1.6268	10829072	0	10829072	1.6268	0	1.6268	0	0.0000	0	0.0000	10829072
	Mys Holdings Private Limited	Promoter Group	1	10829072	0	0	10829072	1.6268	10829072	0	10829072	1.6268	0	1.6268	0	0.0000	0	0.0000	10829072
	Sub Total (A)(1)		4	170298412	0	0	170298412	25.5831	170298412	0	170298412	25.5831	0	25.5831	0	0.0000	0	0.0000	170298412
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)		4	170298412	0	0	170298412	25.5831	170298412	0	170298412	25.5831	0	25.5831	0	0.0000	0	0.0000	170298412

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 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	Sub-categorization of shares			
								No of Voting Rights					Total as a % of Total Voting Rights	No. (a)	As a % of total Shares held(b)	No. (a)		As a % of total Shares held(b)	Shareholding(No. of shares) under		
								Class eg: X	Class eg: y	Total									Sub-category(i)	Sub-category(ii)	Sub-category(iii)
	(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)	(XV)			
1	Institutions (Domestic)																				
(a)	Mutual Fund	24	86253587	0	0	86253587	12.9575	86253587	0	86253587	12.9575	0	0.0000	NA	NA	86253587	0	0	0	0	
	Kotak Flexicap Fund	1	29280461	0	0	29280461	4.3987	29280461	0	29280461	4.3987	0	0.0000	NA	NA	29280461	0	0	0	0	
	Nippon Life India Trustee Ltd-A/C																				
	Nippon India Growth Fund	1	14793355	0	0	14793355	2.2223	14793355	0	14793355	2.2223	0	0.0000	NA	NA	14793355	0	0	0	0	
	Motilal Oswal Flexi Cap Fund	1	8929855	0	0	8929855	1.3415	8929855	0	8929855	1.3415	0	0.0000	NA	NA	8929855	0	0	0	0	
	Uti Flexi Cap Fund	1	8695351	0	0	8695351	1.3063	8695351	0	8695351	1.3063	0	0.0000	NA	NA	8695351	0	0	0	0	
	Dsp Flexi Cap Fund	1	8147209	0	0	8147209	1.2239	8147209	0	8147209	1.2239	0	0.0000	NA	NA	8147209	0	0	0	0	
(b)	Venture Capital Funds	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(c)	Alternate Investment Funds	26	26990101	0	0	26990101	4.0546	26990101	0	26990101	4.0546	0	0.0000	NA	NA	26990101	0	0	0	0	
	Westbridge Aif I	1	20959996	0	0	20959996	3.1487	20959996	0	20959996	3.1487	0	0.0000	NA	NA	20959996					
(d)	Banks	1	2054	0	0	2054	0.0003	2054	0	2054	0.0003	0	0.0000	NA	NA	2054	0	0	0	0	
(e)	Insurance Companies	13	28455985	0	0	28455985	4.2748	28455985	0	28455985	4.2748	0	0.0000	NA	NA	28455985	0	0	0	0	
	Hdfc Life Insurance Company Limited	1	12005899	0	0	12005899	1.8036	12005899	0	12005899	1.8036	0	0.0000	NA	NA	12005899					
(f)	Provident Funds/ Pension Funds	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(G)	Asset Reconstruction Companies	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(h)	Sovereign Wealth Funds	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(i)	NBFCs registered with RBI	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(j)	Other Financial Institutions	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(k)	Any Other (Specify)	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
	Sub Total (B)(1)	64	141701727	0	0	141701727	21.2872	141701727	7	141701727	21.2872	0	0.0000	NA	NA	141701727	0	0	0	0	
2	Institutions (Foreign)																				
(a)	Foreign Direct Investment	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(b)	Foreign Venture Capital Investors	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(c)	Sovereign Wealth Funds	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(d)	Foreign Portfolio Investors Category I	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(e)	Foreign Portfolio Investors Category II	483	256374420	0	0	256374420	38.5139	256374420	0	256374420	38.5139	0	0.0000	NA	NA	256374420	0	0	0	0	
	Smallcap World Fund, Inc	1	30476509	0	0	30476509	4.5783	30476509	0	30476509	4.5783	0	0.0000	NA	NA	30476509					
	Camas Investments Pte. Ltd.	1	26939946	0	0	26939946	4.0471	26939946	0	26939946	4.0471	0	0.0000	NA	NA	26939946	0	0	0	0	
	New World Fund Inc	1	25126945	0	0	25126945	3.7747	25126945	0	25126945	3.7747	0	0.0000	NA	NA	25126945					
	Nomura India Investment Fund Mother	1	15705638	0	0	15705638	2.3594	15705638	0	15705638	2.3594	0	0.0000	NA	NA	15705638					
	Government Of Singapore	1	9076373	0	0	9076373	1.3635	9076373	0	9076373	1.3635	0	0.0000	NA	NA	9076373	0	0	0	0	
	Overseas Depositories(holding DRs) (balancing figure)	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(f)	Any Other (Specify)	1	285326	0	0	285326	0.0429	285326	0	285326	0.0429	0	0.0000	NA	NA	285326	0	0	0	0	
	Foreign Institutional Investors	1	285326	0	0	285326	0.0429	285326	0	285326	0.0429	0	0.0000	NA	NA	285326	0	0	0	0	
	Sub Total (B)(2)	484	256659746	0	0	256659746	38.5568	256659746	6	256659746	38.5568	0	0.0000	NA	NA	256659746	0	0	0	0	
3	Central Government/ State																				
(a)	Central Government / President of	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(b)	State Government / Governor	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(C)	Shareholding by Companies or Bodies Corporate where Central / State	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
	Sub Total (B)(3)	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
4	Non-Institutions																				
(a)	Associate companies / Subsidiaries	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(b)	Directors and their relatives (excluding Independent Directors and Uttam Tibrewal	5	13242210	0	0	13242210	1.9893	13242210	0	13242210	1.9893	0	0.0000	NA	NA	13242210	0	0	0	0	
	Key Managerial Personnel	2	267748	0	0	267748	0.0402	267748	0	267748	0.0402	0	0.0000	NA	NA	267748	0	0	0	0	
	Relatives of promoters (other than 'immediate relatives' of promoters disclosed under 'Promoter and	2	45842	0	0	45842	0.0069	45842	0	45842	0.0069	0	0.0000	NA	NA	45242	0	0	0	0	
(D)	Trusts where any person belonging to 'Promoter and Promoter Group' category is 'trustee','beneficiary', or	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(E)	Investor Education and Protection	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	NA	NA	0					
(g)	i. Resident individual holding nominal share capital up to Rs. 2 lakhs.	178609	35200995	0	0	35200995	5.2881	35200995	0	35200995	5.2881	0	0.0000	NA	NA	35195417	0	0	0	0	
(h)	ii. Resident individual holding nominal share capital in excess of Rs.	222	19793742	0	0	19793742	2.9735	19793742	0	19793742	2.9735	0	0.0000	NA	NA	19793742	0	0	0	0	

(i)	Non Resident Indians (NRIs)	4135	4495801	0	0	4495801	0.6754	4495801	0	4495801	0.6754	0	0.6754	0	0.0000	NA	NA	4495801	0	0	0
(j)	Foreign Nationals	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0			
(k)	Foreign Companies	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0			
(l)	Bodies Corporate	1289	14141263	0	0	14141263	2.1244	14141263	0	14141263	2.1244	0	2.1244	0	0.0000	NA	NA	14141238	0	0	0
(m)	Any Other (Specify)	3691	9819174	0	0	9819174	1.4751	9819174	0	9819174	1.4751	0	1.4751	0	0.0000	NA	NA	9819174	0	0	0
	Trusts	16	6381460	0	0	6381460	0.9587	6381460	0	6381460	0.9587	0	0.9587	0	0.0000	NA	NA	6381460	0	0	0
	Body Corp-Ltd Liability Partnership	113	1831777	0	0	1831777	0.2752	1831777	0	1831777	0.2752	0	0.2752	0	0.0000	NA	NA	1831777	0	0	0
	Hindu Undivided Family	3455	750430	0	0	750430	0.1127	750430	0	750430	0.1127	0	0.1127	0	0.0000	NA	NA	750430	0	0	0
	Clearing Member	107	855507	0	0	855507	0.1285	855507	0	855507	0.1285	0	0.1285	0	0.0000	NA	NA	855507	0	0	0
	Sub Total (B)(4)	187955	97006775	0	0	97006775	14.5729	97006775	0	97006775	14.5729	0	14.5729	0	0.0000	NA	NA	97000572	0	0	0
	Total Public Shareholding (B)= (B)(1)+(B)(2)+(B)(3)+b(4)	188503	495368248	0	0	495368248	74.4169	495368248	8	495368248	74.4169	0	74.4169	0	0.0000	NA	NA	495362045	0	0	0

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

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	2047315	0.31
2	WASATCH ADVISORS, INC	PRIME SUPER	255610	0.04
3	WASATCH ADVISORS, INC	UPMC BASIC RETIREMENT PLAN MASTER TRUST	99684	0.01
4	WASATCH ADVISORS, INC	EMPLOYEES RETIREMENT SYSTEM OF THE STATE OF HAWAII	2354136	0.35
5	WASATCH ADVISORS, INC	PUBLIC EMPLOYEES RETIREMENT SYSTEM OF OHIO	1472570	0.22
6	WASATCH ADVISORS, INC	UNIVERSITY OF WISCONSIN FOUNDATION - WASATCH ADVISORS, INC.	533960	0.08
7	WASATCH ADVISORS, INC	AL MEHWAR COMMERCIAL INVESTMENTS L.L.C. - (WANDA)	3383434	0.51
8	WASATCH ADVISORS, INC	ST. JAMES'S PLACE EMERGING MARKETS EQUITY UNIT TRUST MANAGED BY WASATCH ADVISORS INC	2676795	0.40
9	WASATCH ADVISORS, INC	WASATCH INTERNATIONAL GROWTH FUND	1981638	0.30
10	WASATCH ADVISORS, INC	APT-UNIVERSAL-FONDS	283821	0.04
11	WASATCH ADVISORS, INC	WASATCH EMERGING MARKETS SMALL CAP FUND	3019678	0.45
12	WASATCH ADVISORS, INC	WASATCH GLOBAL OPPORTUNITIES FUND	1092756	0.16
13	WASATCH ADVISORS, INC	COMMONWEALTH OF PENNSYLVANIA PUBLIC SCHOOL EMPLOYEES RETIREMENT SYSTEM/GE322-WASATCH ADVISORS INC	2744716	0.41
14	WASATCH ADVISORS, INC	WASATCH EMERGING INDIA FUND	4692444	0.70
15	WASATCH ADVISORS, INC	UPMC	149528	0.02
16	WASATCH ADVISORS, INC	WASATCH EMERGING MARKETS SELECT FUND	1521110	0.23
17	WASATCH ADVISORS, INC	PENSION RESERVES INVESTMENT TRUST FUND - WASTACH	1051523	0.16
18	WASATCH ADVISORS, INC	TEACHERS RETIREMENT SYSTEM OF THE STATE OF ILLINOIS - WASATCH ADVISORS	1728052	0.26
19	WASATCH ADVISORS, INC	WASATCH ADVISORS, INC.	9870	0.00
20	WASATCH ADVISORS, INC	VFMC INTERNATIONAL EQUITY TRUST 1	487620	0.07
21	WASATCH ADVISORS, INC	VFMC INTERNATIONAL EQUITY TRUST 2	609738	0.09
22	WASATCH ADVISORS, INC	COUNSEL GLOBAL SMALL CAP	692264	0.10
23	WASATCH ADVISORS, INC	BUSS QUEENSLAND PTY LTD AS TRUSTEE FOR BUSS (QUEENSLAND) POOLED SUPERANNUATION TRUST	172820	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

Table VI - Statement showing foreign ownership limits		
Particular	Approved limits (%)	Limits utilized (%)
As on shareholding date	49	38.85
As on the end of previous 1st quarter	49	38.61
As on the end of previous 2nd quarter	49	37.86
As on the end of previous 3rd quarter	49	36.77
As on the end of previous 4th quarter	49	36.00
Notes :- 1) "Approved Limits (%)" means the limit approved by Board of Directors / shareholders of the Listed entity. In case the listed entity has no Board approved limit, provide details of sectoral / statutory cap prescribed by Government / Regulatory Authorities 2) Details of Foreign ownership includes foreign ownership / investments as specified in Rule 2(s) of the Foreign Exchange Management (Non-debt Instruments) Rules, 2019, made under the Foreign Exchange Management Act, 1999.		