Integrated Governance

AU SMALL FINANCE BANK LIMITED

General information about company

Scrip code	540611	
NSE Symbol	AUBANK	
MSEI Symbol	NOTLISTED	
ISIN	INE949L01017	
Date of start of financial year	01-04-2025	
Date of end of financial year	31-03-2026	
Reporting Quarter Type	Half Yearly	
Date of Quarter Ending	30-09-2025	
Type of company	Equity	
Whether Annexure I (Part A) of the SEBI Circular dated December 31, 2024 related to Compliance Report on Corporate Governance is applicable to the entity?	Yes	
Whether Annexure I (Part B) of the SEBI Circular dated December 31, 2024 related to Investor Grievance Redressal Report is Applicable to the entity?	Yes	
Whether Annexure I (Part C) of the SEBI Circular dated December 31, 2024 related to Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies is Applicable to the entity?	No	There was no acquisition of shares/voting rights in the unlisted companies during the quarter ended September 30, 2025.
Whether Annexure I (Part D) of the SEBI Circular dated December 31, 2024 related to Disclosure of Imposition of Fine or Penalty is Applicable to the entity?	Yes	
Whether Annexure I (Part E) of the SEBI Circular dated December 31, 2024 related to Disclosure of Updates to Ongoing Tax Litigations or Disputes is Applicable to the entity?	No	There is no material tax litigation or dispute disclosed to the stock exchange in the past in terms of SEBI (LODR) Regulations, 2015 which requires disclosure of update in this submission.
Whether Annexure I (Part F) of the SEBI Circular dated December 31, 2024 related to Disclosure Of Loans / Guarantees / Comfort Letters / Securities Etc. is Applicable to the entity?	No	AU small finance bank Limited is a banking company, hence disclosure related to Loans/ Guarantees/ Confort Letters/ securities etc. is not applicable.
Risk management committee	Yes	
Market Capitalisation as per immediate previous Financial Year	Top 500 listed entities	
Is SCORE ID Available ?	Yes	
SCORE Registration ID	A01013	
Reason For No SCORE ID		
Type of Submission	Revision	
Remarks (website dissemination)		

Annexure I

Annexure I to be submitted by listed entity on quarterly basis

I. Composition of Board of Directors

Disclosure of notes on composition of board of directors explanatory		
Whether the listed entity has a Regular Chairperson	Yes	
Whether Chairperson is related to MD or CEO	No	Disqualification of Directors under section 164 of the Companies Act, 2013

Sr no.	Title(Mr/Ms)	Name of the Director	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Whether the director is disqualified?	Start Date of disqualification	End Date of disqualification	Details of disqualification	Current status	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	Date of passing special resolution	Initial Date of appointment	Date of Re-appointment	Date of cessation	Tenure of director(in months)	No of Directorship in listed entities including this listed entity(Refer Regulation 17A of Listing Regulations)	No of Independent Directorship in listed entities including this listed entity(Refer Regulation 17A(1) of Listing Regulations	Number of memberships in Audit/ Stakeholder Committee(s) including this listed entity (Refer Regulation 26(1) of Listing Regulations)	No of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this listed entity (Refer Regulation 26(1) of Listing Regulations)	Reason for Cessation	Notes for not providing PAN	Notes for not providing DIN
1	Mr	Harun Rasid Khan	07456806	Non-Executive - Independent Director	Chairperson		No				Active	NA		28-12-2021	28-12-2024		45.04	1	1	0	0			
2	Mr	Mankal Shankar Sriram	00588922	Non-Executive - Independent Director	Not Applicable		No				Active	NA		21-10-2019	21-10-2022		71.11	1	1	2	1			
3	Mr	Pushpinder Singh	08496066	Non-Executive - Independent Director	Not Applicable		No				Active	NA		21-10-2019	21-10-2022		71.11	1	1	0	0			
4	Mr	Kannan Gopalaraghavan Vellur	03443982	Non-Executive - Independent Director	Not Applicable		No				Active	NA		22-01-2020	22-01-2023		68.1	2	2	2	1			
5	Mr	Kamlesh Shivji Vikamsey	00059620	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-04-2022	25-04-2025		41.06	3	2	6	5			
6	Ms	Malini Thadani	01516555	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-11-2022	25-11-2022		34.06	3	3	3	0			
7	Ms	Kavita Venugopal	07551521	Non-Executive - Independent Director	Not Applicable		No				Active	NA		29-03-2023	29-03-2023		30.03	4	4	6	2			
8	Mr	Divya Sehgal	01775308	Non-Executive - Non Independent Director	Not Applicable		No				Active	NA		01-04-2024	01-04-2024		18	2	0	1	0			
9	Mr	Nandkumar Saravade	07601861	Non-Executive - Independent Director	Not Applicable		No				Active	NA		31-05-2025	31-05-2025		4.01	1	1	0	0			
10	Mr	Jagajit Mangal Prasad	11146660	Non-Executive - Independent Director	Not Applicable		No				Active	NA		01-07-2025	01-07-2025		3	1	1	0	0			
11	Mr	Sanjay Agarwal	00009526	Executive Director	Not Applicable	CEO-MD	No				Active	NA		22-01-2003	19-04-2022			1	0	1	0			
12	Mr	Uttam Tibrewal	01024940	Executive Director	Not Applicable		No				Active	NA		22-01-2005	19-04-2022			1	0	0	0			

Annexure I

II. Composition of Committees	
Disclosure of notes on composition of committees explanatory	

Audit Committee Details

Whether the Audit Committee has a Regular Chairperson						Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Chairperson	26-04-2022		
2	00588922	Mankal Shankar Sriram	Non-Executive - Independent Director	Member	23-01-2020		
3	03443982	Kannan Gopalaraghavan Vellur	Non-Executive - Independent Director	Member	23-01-2020		
4	07551521	Kavita Venugopal	Non-Executive - Independent Director	Member	30-03-2023		

Nomination and remuneration committee

Whether the Nomination and remuneration committee has a Regular Chairperson						Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	00588922	Mankal Shankar Sriram	Non-Executive - Independent Director	Chairperson	12-03-2021		
2	08496066	Pushpinder Singh	Non-Executive - Independent Director	Member	30-03-2023		
3	01516555	Malini Thadani	Non-Executive - Independent Director	Member	30-03-2023		
4	07456806	Harun Rasid Khan	Non-Executive - Independent Director	Member	26-04-2022		

Stakeholders Relationship Committee

Whether the Stakeholders Relationship Committee has a Regular Chairperson						Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	07551521	Kavita Venugopal	Non-Executive - Independent Director	Chairperson	30-01-2024		
2	01516555	Malini Thadani	Non-Executive - Independent Director	Member	30-03-2023		
3	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Member	26-04-2022		
4	01775308	Divya Sehgal	Non-Executive - Non Independent Director	Member	27-06-2024		
5	00009526	Sanjay Agarwal	Executive Director	Member	30-03-2023		

Risk Management Committee

Whether the Risk Management Committee has a Regular Chairperson						Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	03443982	Kannan Gopalaraghavan Vellur	Non-Executive - Independent Director	Chairperson	23-01-2020		
2	08496066	Pushpinder Singh	Non-Executive - Independent Director	Member	30-03-2023		
3	07551521	Kavita Venugopal	Non-Executive - Independent Director	Member	30-03-2023		
4	07456806	Harun Rasid Khan	Non-Executive - Independent Director	Member	26-04-2022		
5	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Member	26-04-2022		
6	07601861	Nandkumar Saravade	Non-Executive - Independent Director	Member	28-06-2025		

Corporate Social Responsibility Committee

Whether the Corporate Social Responsibility Committee has a Regular Chairperson						Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	01516555	Malini Thadani	Non-Executive - Independent Director	Chairperson	30-03-2023		
2	07456806	Harun Rasid Khan	Non-Executive - Independent Director	Member	26-04-2022		
3	00009526	Sanjay Agarwal	Executive Director	Member	17-04-2017		
4	01024940	Uttam Tibrewal	Executive Director	Member	30-03-2023		
5	01775308	Divya Sehgal	Non-Executive - Non Independent Director	Member	27-06-2024		

Other Committee

Whether the Corporate Social Responsibility Committee has a Regular Chairperson					Yes	
Sr	DIN Number	Name of Committee members	Name of other committee	Category 1 of directors	Category 2 of directors	Remarks
No records available						

Annexure I

III. Meeting of Board of Directors							
Disclosure of notes on meeting of board of directors explanatory							
Sr	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Notes for not providing Date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors as on date of the meeting	Number of Directors present*(All directors including Independent Director)	No. of Independent Directors attending the meeting*
1	22-04-2025			Yes	10	10	7
2	02-05-2025	9		Yes	10	9	7
3	28-06-2025	56		Yes	11	10	8
4	19-07-2025	20		Yes	12	12	9
5	25-07-2025	5		Yes	12	12	9
6	26-09-2025	62		Yes	12	10	9

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IV. Meeting of Committees										
Disclosure of notes on meeting of committees explanatory										
Sr	Name of Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Name of other committee	Reson for not providing date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors in the Committee as on date of the meeting	Number of Directors Present (All Directors including Independent Director)	No. of Independent Directors attending the meeting*	No. of members attending the meeting (other than Board of Directors)
1	Audit Committee	17-04-2025				Yes	4	4	4	0
2	Audit Committee	22-04-2025	4			Yes	4	4	4	0
3	Audit Committee	27-06-2025	65			Yes	4	4	4	0
4	Audit Committee	16-07-2025	18			Yes	4	4	4	0
5	Audit Committee	19-07-2025	2			Yes	4	4	4	0
6	Audit Committee	26-09-2025	68			Yes	4	3	3	0
7	Nomination and remuneration committee	08-04-2025				Yes	4	4	4	0
8	Nomination and remuneration committee	21-04-2025	12			Yes	4	4	4	0
9	Nomination and remuneration committee	14-06-2025	53			Yes	4	4	4	0
10	Nomination and remuneration committee	25-07-2025	40			Yes	4	4	4	0
11	Nomination and remuneration committee	26-09-2025	62			Yes	4	4	4	0
12	Stakeholders Relationship Committee	28-06-2025				Yes	5	4	3	0
13	Risk Management Committee	18-04-2025				Yes	5	5	5	0
14	Risk Management Committee	21-04-2025	2			Yes	5	5	5	0
15	Risk Management Committee	27-06-2025	66			Yes	5	5	5	0
16	Risk Management Committee	15-07-2025	17			Yes	6	6	6	0
17	Risk Management Committee	18-07-2025	2			Yes	6	6	6	0
18	Corporate Social Responsibility Committee	14-05-2025				Yes	5	4	2	0

Annexure I

V. Affirmations		
Sr	Subject	Compliance status (Yes/No)
1	The composition of Board of Directors is in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015	Yes
2	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015 a. Audit Committee	Yes
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. b. Nomination & remuneration committee	Yes
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. c.Stakeholders relationship committee	Yes
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. d. Risk management committee (applicable the top 1000 listed entities)	Yes
6	The committee members have been made aware of their powers, role and responsibilities as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	Yes
7	The meetings of the board of directors and the above committees have been conducted in the manner as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	Yes
8	This report and/or the report submitted in the previous quarter has been placed before Board of Directors.	true
9	Any comments/observations/advice of Board of Directors may be mentioned here:	

Annexure I

Sr	Subject	Compliance status
1	Name of signatory	Manmohan Parnami
2	Designation	Company Secretary

Details of Cyber security incidence

Whether as per Regulation 27(2)(ba) of SEBI (LODR) Regulations, 2015 there has been cyber security incidents or breaches or loss of data or documents during the quarter		No
Other details of cyber security incidence or breaches or loss of data event		
Number of cyber security incidence or breaches or loss of data event occurred during the quarter		
Sr.	Date of the event	Brief details of the event
No records available		

Affirmations on Compliance Requirements for AGM (applicable only for the first half-year filing i.e., 2nd quarter)

III. Affirmations				
Sr	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is 'No' details of non-compliance may be given here.
1	Copy of the annual report including balance sheet, profit and loss account, directors report, corporate governance report, business responsibility report displayed on website	46(2)	Yes	
2	Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes	
3	Presence of Chairperson of the nomination and remuneration committee at the annual general meeting	19(3)	Yes	
4	Presence of Chairperson of the Stakeholder Relationship committee at the annual general meeting	20(3)	Yes	
5	Disclosure of the Secretarial Audit Report of the listed entity and the material subsidiaries in the Annual Report	24A(1)	Yes	
6	Compliance with the conditions laid down for Secretarial Auditor or the person signing the Secretarial Compliance Report	24A(1A), 24A(1B), 24A(1C)	Yes	
7	Submission of Annual Secretarial Compliance Report	24A(2)	Yes	
8	Whether 'Corporate Governance Report' disclosed in Annual Report	34(3) read with para C of Schedule V	Yes	
Any other information to be provided				

Annexure III

1	Name of signatory	Manmohan Parnami
2	Designation	Company Secretary and Compliance Officer

Signatory Details

Name of signatory	Manmohan Parnami
Designation of person	Company Secretary and Compliance Officer
Place	Jaipur
Date	31-03-2026

Investor Grievance Details

No. of investor complaints pending at the beginning of Quarter	1
No. of investor complaints received during the Quarter	1
No. of investor complaints disposed off during the Quarter	1
No. of investor complaints those remaining unresolved at the end of the Quarter	1

Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies- The details of acquisition of shares or voting rights in unlisted companies during the quarter in terms of sub-para 1 of para A of Part A of Schedule III are given below:

Any Other Information for Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies					
Sr.No.	Name of the unlisted company in which shares or voting rights have been acquired	Date of acquisition	Aggregate holding (% shares or voting rights) as at the end of the previous quarter	% shares or voting rights acquired during the quarter	Aggregate holding (% shares or voting rights) as at the end of the quarter
No records available					

Disclosure of Imposition of Fine or Penalty The details of imposition of fine or penalty during the quarter in terms of sub-para 20 of para A of Part A of Schedule III are given below:

Any Other Information for Disclosure of Imposition of Fine or Penalty					
Sr.No.	Name of the authority	Nature and details of the action(s) taken or order(s) passed	Date of receipt of direction or order, including any ad interim or interim orders, or any other communication from the authority	Details of the violation(s)/ contravention(s) committed or alleged to be committed	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible
1	Rajasthan State GST	Penalty of Rs. 0.51 lakh levied by Rajasthan GST department for FY 2019-20.	28-08-2025	Reversal of input tax credit (ITC) against certain supplies received from supplier who has not paid respective GST liability.	The impact would be limited to the amount of levy payable by the Bank

Disclosure of Updates to Ongoing Tax Litigations or Disputes The updates on tax litigations or disputes in terms of sub-para 8 of para B of Part A of Schedule III read with corresponding provisions of Annexure 18 of the Master Circular are given below:

Any Other Information for Disclosure of Updates to Ongoing Tax Litigations or Disputes				
Sr.No.	Name of the opposing party	Date of initiation of the litigation / dispute	Status of the litigation / dispute as per last disclosure	Current status of the litigation / dispute
No records available				