

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	Quarterly
Date of Quarter Ending	31-12-2025
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 December 31, 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.
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						Yes																		
Whether the listed entity has a Regular Chairperson						Disqualification of Directors under section 164 of the Companies Act, 2013																		
Whether Chairperson is related to MD or CEO						No																		
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		48,04	1	1	0	0			
2	Mr	Kannan Gopalraghavan Vellur	03443982	Non-Executive - Independent Director	Not Applicable		No				Active	NA		22-01-2020	22-01-2023		71.1	2	2	2	1			
3	Mr	Kamlesh Shivji Vikamsey	00059620	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-04-2022	25-04-2025		44,06	3	2	6	5			
4	Ms	Malini Thadani	01516555	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-11-2022	25-11-2025		37,06	3	3	3	0			
5	Ms	Kavita Venugopal	07551521	Non-Executive - Independent Director	Not Applicable		No				Active	NA		29-03-2023	29-03-2023		33,03	4	4	6	2			
6	Mr	Divya Sehgal	01775308	Non-Executive - Non Independent Director	Not Applicable		No				Active	NA		01-04-2024	01-04-2024		21	2	0	1	0			
7	Mr	Nandkumar Saravade	07601861	Non-Executive - Independent Director	Not Applicable		No				Active	NA		31-05-2025	31-05-2025		7,01	1	1	0	0			
8	Mr	Jagajit Mangal Prasad	11146660	Non-Executive - Independent Director	Not Applicable		No				Active	NA		01-07-2025	01-07-2025		6	1	1	0	0			
9	Mr	Venkatesh Narasinganallore Srinivasan	01893686	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-11-2025	25-11-2025		1,06	2	2	4	2			
10	Mr	Satyajit Dwivedi	08118455	Non-Executive - Independent Director	Not Applicable		No				Active	NA		25-11-2025	25-11-2025		1,06	1	1	0	0			
11	Mr	Mankal Shankar Sriram	00588922	Non-Executive - Independent Director	Not Applicable		No				Active	NA		21-10-2019	21-10-2022	20-10-2025	72	0	0	0	0	Tenure Completion		
12	Mr	Pushpinder Singh	08496066	Non-Executive - Independent Director	Not Applicable		No				Active	NA		21-10-2019	21-10-2022	20-10-2025	72	0	0	0	0	Tenure Completion		
13	Mr	Sanjay Agarwal	00009526	Executive Director	Not Applicable	CEO-MD	No				Active	NA		22-01-2003	19-04-2022			1	0	1	0			
14	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	20-10-2025	
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	20-10-2025	
2	08496066	Pushpinder Singh	Non-Executive - Independent Director	Member	30-03-2023	20-10-2025	
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		
5	11146660	Jagajit Mangal Prasad	Non-Executive - Independent Director	Chairperson	21-10-2025		
6	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Member	21-10-2025		

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	20-10-2025	
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	24-11-2025	
6	07551521	Kavita Venugopal	Non-Executive - Independent Director	Member	24-11-2025		
7	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Member	24-11-2025		

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						

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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	19-07-2025			Yes	12	12	9
2	25-07-2025	5		Yes	12	12	9
3	26-09-2025	62		Yes	12	10	9
4	17-10-2025	20		Yes	12	12	9
5	24-11-2025	37		Yes	10	10	7

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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	Reason 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	16-07-2025				Yes	4	4	4	0
2	Audit Committee	19-07-2025	2			Yes	4	4	4	0
3	Audit Committee	26-09-2025	68			Yes	4	3	3	0
4	Audit Committee	10-10-2025	13			Yes	4	4	4	0
5	Audit Committee	17-10-2025	6			Yes	4	4	4	0
6	Nomination and remuneration committee	25-07-2025				Yes	4	4	4	0
7	Nomination and remuneration committee	26-09-2025	62			Yes	4	4	4	0
8	Nomination and remuneration committee	16-10-2025	19			Yes	4	4	4	0
9	Nomination and remuneration committee	24-11-2025	38			Yes	4	4	4	0
10	Risk Management Committee	15-07-2025				Yes	6	6	6	0
11	Risk Management Committee	18-07-2025	2			Yes	6	6	6	0
12	Risk Management Committee	09-10-2025	82			Yes	6	6	6	0
13	Risk Management Committee	16-10-2025	6			Yes	6	6	6	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		

Signatory Details

Name of signatory	Manmohan Parnami
Designation of person	Company Secretary and Compliance Officer
Place	Jaipur
Date	30-03-2026

Investor Grievance Details

No. of investor complaints pending at the beginning of Quarter	1
No. of investor complaints received during the Quarter	2
No. of investor complaints disposed off during the Quarter	2
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. 0.09 Lakh paid to Rajasthan GST department for FY 2020-21 to 2022-23	04-12-2025	Reversal of input tax credit (ITC) against certain supplies received from supplier who are GSTR-3B defaulters.	The impact would be limited to the amount of levy payable by the Bank
2	Haryana Central GST	Penalty of Rs. 0.05 Lakh paid to Haryana GST department for FY 2018-19 to FY 2021-22.	07-11-2025	Reversal of input tax credit (ITC) against certain supplies received from suppliers who are non-existent and retrospectively cancelled taxpayers.	The impact would be limited to the amount of levy payable by the Bank
3	Haryana Central GST	Penalty of Rs. 0.25 Lakh levied by Haryana GST department for FY 2018-19.	30-12-2025	Penalty was wrongly levied due to an alleged non-receipt of a response that the Bank had already filed but the Department overlooked. Consequently, the Bank is filing a rectification application to have the penalty dropped	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				