

Shareholding Pattern

AU Small Finance Bank Limited

General Information

Scrip code	540611
NSE Symbol	AUBANK
MSEI Symbol	NOTLISTED
ISIN	INE949L01017
Whether company is SME	No
Class of Security	Equity Shares
Type of report	Quarterly
Quarter Ended / Half year ended/Date of Report (For Prelisting / Allotment)	31-03-2026
Shareholding pattern filed under	Regulation 31 (1) (b)
Whether the listed entity is Public Sector Undertaking (PSU)?	No

Declaration

Searial 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 Listed Entity has granted any ESOPs, which are outstanding?	Yes	No	Yes	No
5	Whether the Listed Entity has any shares against which depository receipts are issued?	No	No	No	No
6	Whether the Listed Entity has any shares in locked-in?	No	No	No	No
7	Whether any shares held by promoters are encumbered under 'Pledge'?	No	No		
8	Whether any shares held by promoters are encumbered under 'Non-Disposal Undertaking'?	No	No		
9	Whether any shares held by promoters are encumbered, other than by way of Pledge or NDU, if any?	No	No		
10	Whether company has equity shares with differential voting rights?	No	No	No	No
11	Whether the listed entity has any significant beneficial owner?	No			

Table I - Summary Statement holding of specified securities

Note : Data will be automatically populated from shareholding pattern sheet - Data Entry Restricted in this sheet																												
Category (I)	Category of shareholder (II)	Nos. Of shareholders (III)	No. of fully paid up equity shares held (IV)	No. Of Partly paid-up equity shares held (V)	No. Of shares underlying Depository Receipts (VI)	Total nos. shares held (VII) = (IV)+ (V)+ (VI)	Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	Number of Voting Rights held in each class of securities (IX)			No. Of Shares Underlying Outstanding convertible securities(XA)	No. of Shares Underlying Outstanding Warrants (XB)	No. Of Outstanding ESOP Granted (XC)	No. of Shares Underlying Outstanding convertible securities, No. of Warrants and ESOP etc. (X) = (XA+XB+XC)	Total No. of shares on fully diluted basis (including warrants, ESOP, Convertible Securities etc.) (XI)=(VII)+(X)+(A+B+C2)	Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XII)= (VII)+(XI)As a % of (A+B+C2)	Number of Locked in shares (XIII)	Number of Shares pledged (XIV)	Non-Disposal Undertaking (XV)	Other encumbrances, if any (XVI)	Total Number of Shares encumbered (XVII) = (XIV+XV+XVI)	Number of equity shares held in dematerialized form (XVIII)	Sub-categorization of shares					
								No of Voting (XIV) Rights															Total as a % of (A+B+C)	Shareholding (No. of shares) under	Sub-category (i)	Sub-category (ii)	Sub-category (iii)	
								Class eg:X	Class eg:Y	Total																		
(A)	Promoter & Promoter Group	4	170298412			170298412	22.76%	170298412		170298412	22.76%				170298412	22.07%							170298412					
(B)	Public	167439	577968709			577968709	77.24%	577968709		577968709	77.24%		23528737	23528737	601497446	77.93%							577966268	0	0	0		
(C)	Non Promoter-Non Public	0	0			0		0		0	0.00%				0								0					
(C1)	Shares underlying DRs	0	0			0		0		0	0.00%				0								0					
(C2)	Shares held by Employee Trusts	0	0			0	0.00%	0		0	0.00%				0	0.00%							0					
	Total	167443	748267121			748267121	100.00%	748267121		748267121	100.00%		23528737	23528737	771795858	100.00%							748264680	0	0	0		

Shareholding Pattern

Searial No.	Category & Name of the Shareholders (I)	Category	Category / More than 1 percentage	Bank Name	No of the Shareholders (III)	No.of fully paid up equity shares held (IV)	No.Of Partly paid-up equity shares held (V)	No.Of shares underlying Depository Receipts (VI)	Total nos.shares held (VII) = (IV) + (V) + (VI)	Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	Number of Voting Rights held in each class of securities (IX)			No.Of Shares Underlying Outstanding convertible securities (XA)	No.of Shares Underlying Outstanding Warrants (XB)	No.Of Outstanding ESOP Granted (XC)	No.of Shares Underlying Outstanding convertible securities, No. of Warrants and ESOP etc. (X) = (XA+XB+XC)	Total No.of shares on fully diluted basis (including warrants, ESOP, Convertible Securities etc.) (XI)= (VII)+X As a % of(A+B+C2)	Shareholding , as a % assuming full conversion of convertible securities(as a percentage of diluted share capital) (XII)= (VII)+(X) As a % of(A+B+C2)	Number of Locked in shares (XIII)	Number of Shares pledged (XIV)	Non-Disposal Undertaking (XV)	Other encumbrances, if any (XVI)	Total Number of Shares encumbered (XVII) = (XIV+XV+XVI)	Number of shares on fully dematerialized for (XVIII)	Sub-categorization of shares			Shareholder type		
											No of Voting (XIV) Rights															Total as a % of Total Voting rights	Shareholding (No.of shares) under				
											Class eg:X	Class eg:Y	Total														Sub - category (i)	Sub - category (ii)		Sub - category (iii)	
A	Table II - Statement showing shareholding pattern of the Promoter and Promoter Group																														
(1)	Indian																														
(a)	Individuals/Hindu undivided Family				3	159469340			159469340	21.31%	159469340	159469340	21.31%					159469340	20.66%							159469340				Promoter	
	Sanjay Agarwal				1	117191360			117191360	15.66%	117191360	117191360	15.66%					117191360	15.18%							117191360				Promoter	
	Jyoti Agarwal				1	23637120			23637120	3.16%	23637120	23637120	3.16%					23637120	3.06%							23637120				Promoter	
	Shakuntala Agarwal				1	18640860			18640860	2.49%	18640860	18640860	2.49%					18640860	2.42%							18640860				Promoter	
	Yuvraj Agarwal				0	0			0	0.00%	0	0	0.00%					0	0.00%							0				Promoter Group	
	Mallika Agarwal				0	0			0	0.00%	0	0	0.00%					0	0.00%							0				Promoter Group	
(b)	Central Government/ State Government(s)																														
(c)	Financial Institutions/ Banks																														
(d)	Any Other (specify)				1	10829072			10829072	1.45%	10829072	10829072	1.45%					10829072	1.40%							10829072					Promoter Group
	Mys Holdings Private Limited	Bodies Corporate			1	10829072			10829072	1.45%	10829072	10829072	1.45%					10829072	1.40%							10829072					Promoter Group
	Sub-Total (A)(1)				4	170298412			170298412	22.76%	170298412	170298412	22.76%					170298412	22.07%							170298412					
(2)	Foreign																														
(a)	Individuals (NonResident Individuals/ Foreign Individuals)																														
(b)	Government																														
(c)	Institutions																														
(d)	Foreign Portfolio Investor																														
(e)	Any Other (specify)																														
	Sub-Total (A)(2)																														
	Total Shareholding of Promoter and Promoter Group (A)=(A)(1)+(A)(2)				4	170298412			170298412	22.76%	170298412	170298412	22.76%					170298412	22.07%							170298412					
B	Table III - Statement showing shareholding pattern of the Public shareholder																														
(1)	Institutions (Domestic)																														
(a)	Mutual Funds				39	173732183			173732183	23.22%	173732183	173732183	23.22%			0	0	173732183	22.51%							173732183	0	0	0		
	Hdfc Mutual Fund - Hdfc Mid-Cap Fund				1	53262724			53262724	7.12%	53262724	53262724	7.12%			0	0	53262724	6.90%							53262724	0	0	0		
	Nippon Life India Trustee Ltd- A/C Nippon India Growth Mid Cap Fund				1	20140054			20140054	2.69%	20140054	20140054	2.69%			0	0	20140054	2.61%							20140054	0	0	0		
	Invesco India Arbitrage Fund				1	14508201			14508201	1.94%	14508201	14508201	1.94%			0	0	14508201	1.88%							14508201	0	0	0		
	Aditya Birla Sun Life Trustee Private Limited A/C Aditya Birla Sun Life Flexi Cap Fund				1	14047046			14047046	1.88%	14047046	14047046	1.88%			0	0	14047046	1.82%							14047046	0	0	0		
	Dsp Midcap Fund				1	12005203			12005203	1.60%	12005203	12005203	1.60%			0	0	12005203	1.56%							12005203	0	0	0		
	Kotak Flexicap Fund				1	11997824			11997824	1.60%	11997824	11997824	1.60%			0	0	11997824	1.55%							11997824	0	0	0		
	Uti Nifty 200 Momentum 30 Index Fund				1	10388708			10388708	1.39%	10388708	10388708	1.39%			0	0	10388708	1.35%							10388708	0	0	0		
(b)	Venture Capital Funds				0	0			0	0.00%	0	0	0.00%			0	0	0	0.00%							0	0	0	0		
(c)	Alternate Investment Funds				29	8156823			8156823	1.09%	8156823	8156823	1.09%			0	0	8156823	1.06%							8156823	0	0	0		
(d)	Banks				2	3814			3814	0.00%	3814	3814	0.00%			0	0	3814	0.00%							3814	0	0	0		
(e)	Insurance Companies				23	47345307			47345307	6.33%	47345307	47345307	6.33%			0	0	47345307	6.13%							47345307	0	0	0		
	Sbi Life Insurance Co. Ltd				1	13246045			13246045	1.77%	13246045	13246045	1.77%			0	0	13246045	1.72%							13246045	0	0	0		
	Hdfc Life Insurance				1	11989354			11989354	1.60%	11989354	11989354	1.60%			0	0	11989354	1.55%							11989354	0	0	0		

Searial No.	Category & Name of the Shareholders (I)	Category	Category / More than 1 percentage	Bank Name	No of the Shareholders (III)	No.of fully paid up equity shares held (IV)	No.Of Partly paid-up equity shares held (V)	No.Of shares underlying Depository Receipts (VI)	Total nos.shares held (VII) + (V) + (VI)	Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	Number of Voting Rights held in each class of securities (IX)			No.Of Shares Underlying Outstanding convertible securities (XA)	No. of Shares Underlying Outstanding Warrants (XB)	No.Of Outstanding ESOP Granted (XC)	No.of Shares Underlying Outstanding convertible securities, No. of Warrants and ESOP etc. (X) = (XA+XB+XC)	Total No.of shares on fully diluted basis (including warrants, ESOP, Convertible Securities etc.) (XI)= (VII)+(X) As a % of(A+B+C2)	Shareholding , as a % assuming full conversion of convertible securities(as a percentage of diluted share capital) (XII)= (VII)+(X) As a % of(A+B+C2)	Number of Locked in shares (XIII)	Number of Shares pledged (XIV)	Non-Disposal Undertaking (XV)	Other encumbrances, if any (XVI)	Total Number of Shares encumbered (XVII) = (XIV+XV+XVI)	Number of equity shares held in dematerialized for (XVIII)	Sub-categorization of shares			Shareholder type		
											No of Voting (XIV) Rights															Total as a % of Total Voting rights	Shareholding (No.of shares) under				
											Class eg:X	Class eg:Y	Total														Sub - category (i)	Sub - category (ii)		Sub - category (iii)	
	Company Limited																														
(f)	Provident Funds/ Pension Funds				1	3237205			3237205	0.43%	3237205		3237205	0.43%			0	0	3237205	0.42%							3237205	0	0	0	
(g)	Asset reconstruction companies				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(h)	Sovereign Wealth Funds				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(i)	NBFCs registered with RBI				3	11408			11408	0.00%	11408		11408	0.00%			0	0	11408	0.00%							11408	0	0	0	
(j)	Other Financial Institutions				1	1736002			1736002	0.23%	1736002		1736002	0.23%			0	0	1736002	0.22%							1736002	0	0	0	
(k)	Any Other (specify)				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
	Sub-Total (B)(1)				98	234222742			234222742	31.30%	234222742		234222742	31.30%			0	0	234222742	30.35%							234222742	0	0	0	
(2)	Institutions (Foreign)																														
(a)	Foreign Direct Investment				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(b)	Foreign Venture Capital Investors				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(c)	Sovereign Wealth Funds				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(d)	Foreign Portfolio Investors Category I				630	262010454			262010454	35.02%	262010454		262010454	35.02%			0	0	262010454	33.95%							262010454	0	0	0	
	Camas Investments Pte. Ltd.				1	26939946			26939946	3.60%	26939946		26939946	3.60%			0	0	26939946	3.49%							26939946	0	0	0	
	Smallcap World Fund, Inc				1	17654720			17654720	2.36%	17654720		17654720	2.36%			0	0	17654720	2.29%							17654720	0	0	0	
	New World Fund Inc				1	15585999			15585999	2.08%	15585999		15585999	2.08%			0	0	15585999	2.02%							15585999	0	0	0	
	Nomura India Investment Fund Mother Fund				1	11720071			11720071	1.57%	11720071		11720071	1.57%			0	0	11720071	1.52%							11720071	0	0	0	
	Zulia Investments Pte. Ltd.				1	10161655			10161655	1.36%	10161655		10161655	1.36%			0	0	10161655	1.32%							10161655	0	0	0	
	Government Pension Fund Global				1	9458758			9458758	1.26%	9458758		9458758	1.26%			0	0	9458758	1.23%							9458758	0	0	0	
	Vanguard Total International Stock Index Fund				1	7657711			7657711	1.02%	7657711		7657711	1.02%			0	0	7657711	0.99%							7657711	0	0	0	
(e)	Foreign Portfolio Investors Category II				33	16821778			16821778	2.25%	16821778		16821778	2.25%			0	0	16821778	2.18%							16821778	0	0	0	
	Jancho Partners Pan-Asian Master Fund				1	8012058			8012058	1.07%	8012058		8012058	1.07%			0	0	8012058	1.04%							8012058	0	0	0	
(f)	Overseas Depositories (holding DRs) (balancing figure)				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(g)	Any Other (specify)				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
	Sub-Total (B)(2)				663	278832232			278832232	37.26%	278832232		278832232	37.26%			0	0	278832232	36.13%							278832232	0	0	0	
(3)	Central Government / State Government(s)																														
(a)	Central Government / President of India				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(b)	State Government / Governor				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(c)	Shareholding by Companies or Bodies Corporate where Central / State Government is a promoter				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
	Sub-Total (B)(3)				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(4)	Non-institutions																														
(a)	Associate companies / Subsidiaries				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%							0	0	0	0	
(b)	Directors and their relatives (excluding independent directors and nominee directors)				6	13502738			13502738	1.80%	13502738		13502738	1.80%			151409	151409	13654147	1.77%							13502738	0	0	0	
	Uttam Tibrewal				1	13393556			13393556	1.79%	13393556		13393556	1.79%			151409	151409	13544965	1.75%							13393556	0	0	0	

Searial No.	Category & Name of the Shareholders (I)	Category	Category / More than 1 percentage	Bank Name	No of the Shareholders (III)	No.of fully paid up equity shares held (IV)	No.Of Partly paid-up equity shares held (V)	No.Of shares underlying Depository Receipts (VI)	Total nos.shares held (IV) + (V) + (VI)	Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	Number of Voting Rights held in each class of securities (IX)			No.Of Shares Underlying Outstanding convertible securities (XA)	No. of Shares Underlying Outstanding Warrants (XB)	No.Of Outstanding ESOP Granted (XC)	No. of Shares Underlying Outstanding convertible securities, No. of Warrants and ESOP etc. (X) = (XA+XB+XC)	Total No. of shares on fully diluted basis (including warrants, ESOP, Convertible Securities etc.) (XI)= (VII)+(X) As a % of (A+B+C2)	Shareholding , as a % assuming full conversion of convertible securities(as a percentage of diluted share capital) (XII)= (VII)+(X) As a % of (A+B+C2)	Number of Locked in shares (XIII)	Number of Shares pledged (XIV)	Non-Disposal Undertaking (XV)	Other encumbrances, if any (XVI)	Total Number of Shares encumbered (XVII) = (XIV+XV+XVI)	Number of equity shares held in dematerialized for (XVIII)	Sub-categorization of shares			Shareholder type		
											No of Voting (XIV) Rights															Total as a % of Total Voting rights	Shareholding (No. of shares) under				
											Class eg:X	Class eg:Y	Total														Sub - category (I)	Sub - category (II)		Sub - category (III)	
(c)	Key Managerial Personnel				2	159949			159949	0.02%	159949		159949	0.02%			193106	193106	353055	0.05%						159949	0	0	0		
(d)	Relatives of promoters (other than 'immediate relatives' of promoters disclosed under 'Promoter and Promoter Group' category)				2	50704			50704	0.01%	50704		50704	0.01%			114938	114938	165642	0.02%						50704	0	0	0		
(e)	Trusts where any person belonging to 'Promoter and Promoter Group' category is 'trustee', 'beneficiary', or 'author of the trust'				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%						0	0	0	0		
(f)	Investor Education and Protection Fund (IEPF)				1	463			463	0.00%	463		463	0.00%			0	0	463	0.00%						463	0	0	0		
(g)	Resident Individuals holding nominal share capital up to Rs. 2 lakhs				159280	16093855			16093855	2.15%	16093855		16093855	2.15%			9243957	9243957	25337812	3.28%						16091439	0	0	0		
(h)	Resident Individuals holding nominal share capital in excess of Rs. 2 lakhs				159	17173304			17173304	2.30%	17173304		17173304	2.30%			13825327	13825327	30998631	4.02%						17173304	0	0	0		
(i)	Non Resident Indians (NRIs)				3419	2089773			2089773	0.28%	2089773		2089773	0.28%			0	0	2089773	0.27%						2089773	0	0	0		
(j)	Foreign Nationals				0	0			0	0.00%	0		0	0.00%			0	0	0	0.00%						0	0	0	0		
(k)	Foreign Companies				1	2504300			2504300	0.33%	2504300		2504300	0.33%			0	0	2504300	0.32%						2504300	0	0	0		
(l)	Bodies Corporate				639	4942350			4942350	0.66%	4942350		4942350	0.66%			0	0	4942350	0.64%						4942325	0	0	0		
(m)	Any Other (specify)				3169	8396299			8396299	1.12%	8396299		8396299	1.12%			0	0	8396299	1.09%						8396299	0	0	0		
		Trusts	Category		4	136			136	0.00%	136		136	0.00%			0	0	136	0.00%						136	0	0	0		
		LLP	Category		88	1160571			1160571	0.16%	1160571		1160571	0.16%			0	0	1160571	0.15%						1160571	0	0	0		
		HUF	Category		3044	569618			569618	0.08%	569618		569618	0.08%			0	0	569618	0.07%						569618	0	0	0		
		Clearing Members	Category		33	6665974			6665974	0.89%	6665974		6665974	0.89%			0	0	6665974	0.86%						6665974	0	0	0		
	Sub-Total (B)(4)				166678	64913735			64913735	8.68%	64913735		64913735	8.68%			23528737	23528737	88442472	11.46%						64911294	0	0	0		
	(B)=(B)(1)+(B)(2)+(B)(3)+(B)(4)				167439	577968709			577968709	77.24%	577968709		577968709	77.24%			23528737	23528737	601497446	77.93%						577966268	0	0	0		
C	Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder																														
(1)	Custodian/DR Holder - Name of DR Holders (If Available)				0	0			0		0		0	0.00%					0							0					
(2)	Employee Benefit Trust / Employee Welfare Trust under SEBI (Share Based Employee Benefits and Sweat Equity) Regulations, 2021				0	0			0	0.00%	0		0	0.00%					0	0.00%						0					
	Total NonPromoter-Non Public Shareholding (C)=(C)(1)+(C)(2)				0	0			0		0		0	0.00%					0							0					
	Total (A+B+C2)				167443	748267121	0	0	748267121	100.00%	748267121	0	748267121	100.00%	0	0	23528737	23528737	771795858	100.00%	0	0%	0	0%	0	0%	0	748264680	0	0	0
	Total (A+B+C)				167443	748267121			748267121	100.00%	748267121		748267121	100.00%			23528737	23528737	771795858	100.00%			0	0%	0	0%	0	748264680	0	0	0
Disclosure of notes on shareholding pattern Textual Information(2)																															
Disclosure of notes in case of promoter holding in dematerialised form is less than 100 percentage																															
Disclosure of notes in case of public share holding is less than 25 percentage																															
Disclosure of notes on shareholding pattern for company remarks explanatory																															

Text Block

Textual Information(2)	In the 'Statement showing foreign ownership limits utilised percentage', sum of Foreign Portfolio Investors, Foreign company and Non-Resident Indian (Repat) is disclosed. Non-Resident Indian (Non-Repatriable) shareholding of 0.19% being considered as domestic shareholding, is not included in the above mentioned foreign shareholding.
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Table VI - Statement showing foreign ownership limits

Particular	Approved limits(%)	Limits utilized(%)
As on shareholding date	74.00%	36.53%
As on the end of previous 1st quarter	74.00%	35.71%
As on the end of previous 2nd quarter	49.00%	33.79%
As on the end of previous 3rd quarter	49.00%	38.29%
As on the end of previous 4th quarter	49.00%	39.28%