

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)	30-06-2026
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)	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 form (XVIII)	Sub-categorization of shares				
								No of Voting (XIV) Rights															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	22.74%	170298412						170298412	22.07%								170298412				
(B)	Public	162890	578673546			578673546	77.26%	578673546				22542051	22542051	601215597	77.93%								578671105	0	0	0	
(C)	Non Promoter-Non Public																										
(C1)	Shares underlying DRs																										
(C2)	Shares held by Employee Trusts																										
	Total	162894	748971958			748971958	100.00%	748971958				22542051	22542051	771514009	100.00%								748969517	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 equity shares held in dematerialized for (XVIII)	Sub-categorization of shares			Shareholder type		
											No of Voting (XIV) 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	21.29%	159469340		159469340	21.29%				159469340	20.67%						159469340						
	Sanjay Agarwal				1	117191360			117191360	15.65%	117191360		117191360	15.65%				117191360	15.19%						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					
	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	22.74%	170298412		170298412	22.74%				170298412	22.07%							170298412					
(2) Foreign																															
(a)	Individuals (Non-Resident 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	22.74%	170298412		170298412	22.74%				170298412	22.07%							170298412					
B Table III - Statement showing shareholding pattern of the Public shareholder																															
(1) Institutions (Domestic)																															
(a)	Mutual Funds				38	182879088			182879088	24.42%	182879088		182879088	24.42%		0	0	182879088	23.70%							182879088	0	0	0		
	Hdfc Mutual Fund - Hdfc Mid-Cap Fund				1	52902082			52902082	7.06%	52902082		52902082	7.06%		0	0	52902082	6.86%							52902082	0	0	0		
	Nippon Life India Trustee Ltd- A/C Nippon India Growth Mid Cap Fund				1	22643972			22643972	3.02%	22643972		22643972	3.02%		0	0	22643972	2.94%							22643972	0	0	0		
	Invesco India Arbitrage Fund				1	18613268			18613268	2.49%	18613268		18613268	2.49%		0	0	18613268	2.41%							18613268	0	0	0		
	Aditya Birla Sun Life Trustee Private Limited A/C Aditya Birla Sun Life Flexi Cap Fund				1	13700680			13700680	1.83%	13700680		13700680	1.83%		0	0	13700680	1.78%							13700680	0	0	0		
	Kotak Flexicap Fund				1	11703596			11703596	1.56%	11703596		11703596	1.56%		0	0	11703596	1.52%							11703596	0	0	0		
	Dsp Midcap Fund				1	7680957			7680957	1.03%	7680957		7680957	1.03%		0	0	7680957	1.00%							7680957	0	0	0		
	Uti-Flexi Cap Fund				1	7578303			7578303	1.01%	7578303		7578303	1.01%		0	0	7578303	0.98%							7578303	0	0	0		
(b)	Venture Capital Funds																														
(c)	Alternate Investment Funds				25	7757212			7757212	1.04%	7757212		7757212	1.04%		0	0	7757212	1.01%							7757212	0	0	0		

Serial 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 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)
(d)	Banks				1	214			214	0.00%	214		214	0.00%		0	0	214	0.00%						214	0	0	0		
(e)	Insurance Companies				24	49128000			49128000	6.56%	49128000		49128000	6.56%		0	0	49128000	6.37%						49128000	0	0	0		
	Sbi Life Insurance Co, Ltd				1	14705345			14705345	1.96%	14705345		14705345	1.96%		0	0	14705345	1.91%						14705345	0	0	0		
	Hdfc Life Insurance Company Limited				1	12143649			12143649	1.62%	12143649		12143649	1.62%		0	0	12143649	1.57%						12143649	0	0	0		
(f)	Provident Funds/ Pension Funds				1	4219073			4219073	0.56%	4219073		4219073	0.56%		0	0	4219073	0.55%						4219073	0	0	0		
(g)	Asset reconstruction companies																													
(h)	Sovereign Wealth Funds																													
(i)	NBFCs registered with RBI				4	16453			16453	0.00%	16453		16453	0.00%		0	0	16453	0.00%						16453	0	0	0		
(j)	Other Financial Institutions				1	1736002			1736002	0.23%	1736002		1736002	0.23%		0	0	1736002	0.23%						1736002	0	0	0		
(k)	Any Other (specify)																													
	Sub-Total (B)(1)				94	245736042			245736042	32.81%	245736042		245736042	32.81%		0	0	245736042	31.85%						245736042	0	0	0		
(2)	Institutions (Foreign)																													
(a)	Foreign Direct Investment																													
(b)	Foreign Venture Capital Investors																													
(c)	Sovereign Wealth Funds																													
(d)	Foreign Portfolio Investors Category I				645	261627663			261627663	34.93%	261627663		261627663	34.93%		0	0	261627663	33.91%						261627663	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	16249976			16249976	2.17%	16249976		16249976	2.17%		0	0	16249976	2.11%						16249976	0	0	0		
	New World Fund Inc				1	12486824			12486824	1.67%	12486824		12486824	1.67%		0	0	12486824	1.62%						12486824	0	0	0		
	Nomura India Investment Fund Mother Fund				1	10970071			10970071	1.46%	10970071		10970071	1.46%		0	0	10970071	1.42%						10970071	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	9369823			9369823	1.25%	9369823		9369823	1.25%		0	0	9369823	1.21%						9369823	0	0	0		
	Vanguard Total International Stock Index Fund				1	7616072			7616072	1.02%	7616072		7616072	1.02%		0	0	7616072	0.99%						7616072	0	0	0		
(e)	Foreign Portfolio Investors Category II				32	7838927			7838927	1.05%	7838927		7838927	1.05%		0	0	7838927	1.02%						7838927	0	0	0		
(f)	Overseas Depositories (holding DRs) (balancing figure)																													
(g)	Any Other (specify)																													
	Sub-Total (B)(2)				677	269466590			269466590	35.98%	269466590		269466590	35.98%		0	0	269466590	34.93%						269466590	0	0	0		
(3)	Central Government / State Government(s)																													
(a)	Central Government / President of India																													
(b)	State Government / Governor																													
(c)	Shareholding by Companies or Bodies Corporate where Central / State																													

Serial 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 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)												
	Government is a promoter																																		
	Sub-Total (B)(3)																																		
(4)	Non-institutions																																		
(a)	Associate companies / Subsidiaries																																		
(b)	Directors and their relatives (excluding independent directors and nominees directors)				3	149261				149261	0.02%	149261	149261	0.02%			327577	327577	476838	0.06%											149261	0	0	0	
(c)	Key Managerial Personnel				2	159949				159949	0.02%	159949	159949	0.02%			243106	243106	403055	0.05%											159949	0	0	0	
(d)	Relatives of promoters (other than 'immediate relatives' of promoters disclosed under 'Promoter and Promoter Group' category)				2	52717				52717	0.01%	52717	52717	0.01%			110625	110625	163342	0.02%											52717	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				154836	15275234				15275234	2.04%	15275234	15275234	2.04%			8988590	8988590	24263824	3.14%											15272818	0	0	0	
(h)	Resident Individuals holding nominal share capital in excess of Rs. 2 lakhs				158	30120309				30120309	4.02%	30120309	30120309	4.02%			12872153	12872153	42992462	5.57%											30120309	0	0	0	
(i)	Uttam Tibrewal				1	13393556				13393556	1.79%	13393556	13393556	1.79%			151409	151409	13544965	1.76%											13393556	0	0	0	
(j)	Non Resident Indians (NRIs)				3378	1971653				1971653	0.26%	1971653	1971653	0.26%			0	0	1971653	0.26%											1971653	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	1704300				1704300	0.23%	1704300	1704300	0.23%			0	0	1704300	0.22%											1704300	0	0	0	
(l)	Bodies Corporate				607	5496913				5496913	0.73%	5496913	5496913	0.73%			0	0	5496913	0.71%											5496888	0	0	0	
(m)	Any Other (specify)				3131	8540115				8540115	1.14%	8540115	8540115	1.14%			0	0	8540115	1.11%											8540115	0	0	0	
	Trusts	Category			5	14113				14113	0.00%	14113	14113	0.00%			0	0	14113	0.00%											14113	0	0	0	
	LLP	Category			77	1171031				1171031	0.16%	1171031	1171031	0.16%			0	0	1171031	0.15%											1171031	0	0	0	
	HUF	Category			3010	586032				586032	0.08%	586032	586032	0.08%			0	0	586032	0.08%											586032	0	0	0	
	Clearing Members	Category			39	6788939				6788939	0.90%	6788939	6788939	0.90%			0	0	6788939	0.88%											6788939	0	0	0	
	Sub-Total (B)(4)				162119	63470914				63470914	8.47%	63470914	63470914	8.47%			22542051	22542051	86012965	11.15%											63468473	0	0	0	
	(B)=(B)(1)+(B)(2)+(B)(3)+(B)(4)				162890	578673546				578673546	77.26%	578673546	578673546	77.26%			22542051	22542051	601215597	77.93%											578671105	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)																																		
(2)	Employee Benefit Trust / Employee Welfare Trust under SEBI (Share Based Employee Benefits and																																		

[illegible]

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 0.18% being considered as domestic shareholding, is not included in the above mentioned foreign shareholding.

Table VI - Statement showing foreign ownership limits

Particular	Approved limits(%)	Limits utilized(%)
As on shareholding date	74.00%	35.22%
As on the end of previous 1st quarter	74.00%	36.53%
As on the end of previous 2nd quarter	74.00%	35.71%
As on the end of previous 3rd quarter	49.00%	33.79%
As on the end of previous 4th quarter	49.00%	38.29%