

Ref. No.: AUSFB/SEC/2020-21/296

Date: 25th November 2020

To,

National Stock Exchange of India Limited,
Exchange Plaza, Bandra Kurla Complex,
Bandra (East), Mumbai 400051,
Maharashtra.

NSE Symbol: **AUBANK**

BSE Limited,
Phiroz Jeejee bhoy Towers,
Dalal Street, Mumbai 400001,
Maharashtra.

Scrip Code: **540611**

Dear Sir/Madam,

Sub: Disclosure of Related Party Transactions in compliance to Regulation 23(9) of the SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015.

In reference to the compliance of disclosure of Related Party Transactions in terms of Regulation 23(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, we are enclosing herewith note on Related Party Transactions for the half year ended 30th September, 2020 drawn in accordance with applicable accounting standards.

This for your records and appropriate dissemination.

Thanking You

For AU SMALL FINANCE BANK LIMITED


MANMOHAN PARNAMI
COMPANY SECRETARY AND COMPLIANCE OFFICER



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
Formerly known as Au Financiers (India) Limited

AU SMALL FINANCE BANK LIMITED

Related Party Disclosures:

A. Related Parties :

Key management personnel (KMP)	Mr. Sanjay Agarwal, Managing Director and CEO Mr. Uttam Tibrewal, Whole Time Director Mr. Deepak Jain, Chief Operating Officer Mr. Vimal Jain, Chief Financial Officer (w.e.f. April 1, 2020) Mr. Manmohan Parnami, Company Secretary
Enterprises over which KMP / relatives of KMP have control / significant influence	Abhiyan Bharat Foundation AU Bank Employees Group Gratuity Trust Au Financiers Employees Welfare Trust AU Foundation BIFCO Private Limited Deepak Tarachand HUF DS Speciality Product LLP Durga Automation & Control Private Limited Durga Bearings (Mumbai) Private Limited Jyoti Sanjay Family Trust Kalinga Agencies Kalinga Mercantile Private Limited Kalinga Extrusions India Private Limited Khushi Buildhome Private Limited Manmohan Parnami HUF MYS Holdings Private Limited Namokar Mining Industries LLP Sanjay And Jyoti Agarwal Foundation Shivgyan Mines and Minerals Private Limited Shree Dham Mining Industries LLP Speciality Stones Private Limited VS and Sons HUF (w.e.f. April 1, 2020) Pradeep Kumar Jain HUF (w.e.f. April 1, 2020)
Relatives of KMP	Ms. Jyoti Agarwal Mr. Chiranjee Lal Agarwal Ms. Shakuntala Agarwal Mr. Yuvraj Agarwal Ms. Mallika Agarwal Mr. Ajay Agarwal Ms. Pinki Agarwal Ms. Pooja Tibrewal Mr. Devi Prasad Tibrewal Ms. Geeta Devi Tibrewal Mr. Vaibhav Tibrewal Mr. Subhash Tibrewal Ms. Manju Agarwal Ms. Uma Bagaria Ms. Suman Sultania Ms. Shweta Jain Ms. Santosh Jain Mr. Devansh Jain Ms. Khushi Jain Ms. Kavita Goyal Ms. Sunita Agrawal Ms. Anita Agarwal Ms. Bhawna Parnami Ms. Rajkumari Sukhija Ms. Asmita Parnami Ms. Jaisvi Parnami Mr. Mahinder Parnami Ms. Kavita Sukhija Ms. Shikha Taneja Mr. Sinku Jain (w.e.f. April 1, 2020) Mr. Dhairya Jain (w.e.f. April 1, 2020) Mr. Pradeep Kumar Jain (w.e.f. April 1, 2020) Mr. Dilip Kumar Jain (w.e.f. April 1, 2020) Ms. Suman Lata Jain (w.e.f. April 1, 2020) Ms. Renu Kataria (w.e.f. April 1, 2020) Ms. Rekha Jain (w.e.f. April 1, 2020) Ms. Ladh Devi Jain (w.e.f. April 1, 2020)



AU SMALL FINANCE BANK LIMITED

B. The Bank's related parties balances and transactions for the half year ended on 30th September 2020 are summarised as follows:

1. Deposits

Particular	(₹ in Crore)	
	As at September 30, 2020	
	Closing balance	Highest balance during the half year
Key Management Personnel (KMP)	5.30	28.16
Relatives of KMP	81.18	128.19
Enterprise over which KMP/Relative of KMP have control / significant influence	10.83	20.41

2. Interest Paid on Deposits

Particular	(₹ in Crore)	
	For the Half Year ended Sep 30, 2020	
Key Management Personnel (KMP)		0.31
Relatives of KMP		2.19
Enterprise over which KMP/Relative of KMP have control / significant influence		0.30

* Miscellaneous charges received from all the related parties are less than ₹ 100,000/- hence not shown separately.

Bank has given Overdraft Facility against Fixed Deposit(s) placed with the Bank by KMP, relatives of KMP and enterprise over which KMP/Relative of KMP have control / significant influence - Balance as on 30th September 2020 is ₹ 0.27 Cr. (Highest balance during the half year is ₹ 9.76 Cr.) and Interest earned during the half year is ₹ 0.12 Cr.

3. Remuneration

Particular	(₹ in Crore)	
	For the Half Year ended Sep 30, 2020	
Mr. Sanjay Agarwal, Managing Director and CEO		-
Mr. Uttam Tibrewal, Executive Director		1.40
Mr. Deepak Jain, Chief Operating Officer		0.60
Mr. Vimal Jain, Chief Financial Officer		0.26
Mr. Manmohan Parnami, Company Secretary		0.21
Total		2.47

1. Remuneration paid excludes value of employee stock options exercised during the year.

2. The remuneration to the key managerial personnel does not include the provisions made for gratuity and leave benefits, as they are determined on an actuarial basis for the Bank as a whole.

4. Other transactions

Name of related party	Nature of transactions	(₹ in Crore)	
		For the Half Year ended Sep 30, 2020	
Mr. Uttam Tibrewal	Issue of Equity Shares of the Bank		4.28
Mr. Deepak Jain	Issue of Equity Shares of the Bank		0.89
Mr. Vimal Jain	Issue of Equity Shares of the Bank		0.09
Mr. Manmohan Parnami	Issue of Equity Shares of the Bank		0.02
Key Management Personnel (KMP)	Dividend Paid		-
Relatives of KMP	Dividend Paid		-
Enterprises over which KMP/ relatives of KMP have control/ significant influence	Dividend Paid		-
AU Bank Employees Group Gratuity Trust	Contribution to Fund		-
AU Foundation	Donation		-

For AU Small Finance Bank Limited

Vimal Jain
Chief Financial Officer

For AU Small Finance Bank Limited

Manmohan Parnami
Company Secretary



SEARCHABLE FORMAT

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