

Ref. No.: AUSFB/SEC/2021-22/90

Date: 26<sup>th</sup> May, 2021

To,

|                                                                                                                                                                      |                                                                                                                             |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|
| National Stock Exchange of India Limited,<br>Exchange Plaza, Bandra Kurla Complex,<br>Bandra (East), Mumbai 400051,<br>Maharashtra.<br><br>NSE Symbol: <b>AUBANK</b> | BSE Limited,<br>Phiroz Jeejee bhoy Towers,<br>Dalal Street, Mumbai 400001,<br>Maharashtra.<br><br>Scrip Code: <b>540611</b> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|

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 year ended 31<sup>st</sup> March, 2021 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**  
**Membership No.: F9999**

**Encl: As above**

**Registered Office**

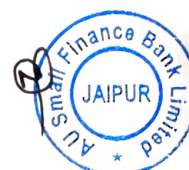
**AU SMALL FINANCE BANK LIMITED**  
19-A Dhuleshwar Garden, Ajmer Road,  
Jaipur - 302001, Rajasthan, India  
**Phone:** +91 141 4110060/61, **Fax:** +91 141 4110090  
**CIN:** L36911RJ1996PLC011381  
Formerly known as **Au Financiers (India) Limited**

# AU SMALL FINANCE BANK LIMITED

## Related Party Disclosures:

### A. Related Parties :

|                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|-------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Key management personnel (KMP)</b>                                                     | 1 Mr. Sanjay Agarwal, Managing Director and CEO<br>2 Mr. Uttam Tibrewal, Whole Time Director<br>3 Mr. Deepak Jain, Chief Operating Officer<br>4 Mr. Vimal Jain, Chief Financial Officer (w.e.f. April 1, 2020)<br>5 Mr. Manmohan Parnami, Company Secretary                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Enterprises over which KMP / relatives of KMP have control / significant influence</b> | 1 AU Foundation<br>2 Sanjay And Jyoti Agarwal Foundation<br>3 Abhiyan Bharat Foundation<br>4 Shivgyan Mines and Minerals Private Limited<br>5 MYS Holdings Private Limited<br>6 Jyoti Sanjay Family Trust<br><br>7 Shree Dham Mining Industries LLP<br>8 Speciality Stones Private Limited<br>9 BIFCO Private Limited<br>10 Kalinga Agencies<br>11 Kalinga Mercantile Private Limited<br>12 Kalinga Extrusions India Private Limited<br>13 Durga Bearings (Mumbai) Private Limited<br>14 DS Speciality Product LLP<br>15 Durga Automation & Control Private Limited<br><br>16 Deepak Tarachand HUF<br>17 AU Bank Employees Group Gratuity Trust<br>18 Namokar Mining Industries LLP<br>19 Khushi Buildhome Private Limited<br>20 AU Small Finance Bank Employees Welfare Trust<br><br>21 Pradeep Kumar Jain HUF (w.e.f. April 1, 2020)<br>22 VS and Sons HUF ( " )<br><br>23 Manmohan Parnami HUF                                                                                                                                       |
| <b>Relatives of KMP</b>                                                                   | 1 Ms. Jyoti Agarwal<br>2 Ms. Mallika Agarwal<br>3 Mr. Yuvraj Agarwal<br>4 Mr. Chirinjee Lal Agarwal<br>5 Ms. Shakuntala Agarwal<br>6 Mr. Ajay Agarwal<br>7 Ms. Pinki Agarwal<br><br>8 Ms. Pooja Tibrewal<br>9 Mr. Vaibhav Tibrewal<br>10 Mr. Devi Prasad Tibrewal<br>11 Ms. Geeta Devi Tibrewal<br>12 Mr. Subhash Tibrewal<br>13 Ms. Manju Agarwal<br>14 Ms. Uma Bagaria<br>15 Ms. Suman Sultania<br><br>16 Ms. Shweta Jain<br>17 Ms. Khushi Jain<br>18 Mr. Devansh Jain<br>19 Ms. Santosh Jain<br>20 Ms. Kavita Goyal<br>21 Ms. Sunita Agrawal<br>22 Ms. Anita Agarwal<br><br>23 Mrs. Sinku Jain (w.e.f. April 1, 2020)<br>24 Mr. Dhairya Jain ( " )<br>25 Ms. Ladh Devi Jain ( " )<br>26 Mr. Pradeep Kumar Jain ( " )<br>27 Mr. Dilip Kumar Jain ( " )<br>28 Ms. Suman Lata Jain ( " )<br>29 Ms. Renu Kataria ( " )<br>30 Ms. Rekha Jain ( " )<br><br>31 Ms. Bhawna Parnami<br>32 Ms. Asmita Parnami<br>33 Ms. Jaisvi Parnami<br>34 Ms. Rajkumari Sukhija<br>35 Mr. Mahinder Parnami<br>36 Ms. Kavita Sukhija<br>37 Ms. Shikha Taneja |



## AU SMALL FINANCE BANK LIMITED

**B. The Bank's related parties balances and transactions for the year ended are summarised as follows:**

### 1. Deposits

(₹ in Crore)

| Particular                                                                     | As at March 31, 2021 |                                 | As at March 31, 2020 |                                 |
|--------------------------------------------------------------------------------|----------------------|---------------------------------|----------------------|---------------------------------|
|                                                                                | Closing balance      | Highest balance during the year | Closing balance      | Highest balance during the year |
| Key Management Personnel (KMP)                                                 | 84.65                | 95.11                           | 6.62                 | 24.66                           |
| Relatives of KMP                                                               | 79.10                | 144.76                          | 26.62                | 46.38                           |
| Enterprise over which KMP/Relative of KMP have control / significant influence | 2.41                 | 35.04                           | 2.52                 | 22.89                           |

### 2. Interest Paid on Deposits

(₹ in Crore)

| Particular                                                                     | Year ended<br>March 31, 2021 | Year ended<br>March 31, 2020 |
|--------------------------------------------------------------------------------|------------------------------|------------------------------|
| Key Management Personnel (KMP)                                                 | 0.59                         | 0.40                         |
| Relatives of KMP                                                               | 4.82                         | 1.19                         |
| Enterprise over which KMP/Relative of KMP have control / significant influence | 0.54                         | 0.02                         |

1. Income including miscellaneous charges received from all the related parties are less than ₹ 100,000/- hence not shown separately.

2. Bank has also given Overdraft Facility against Fixed Deposit placed with the Bank of KMP, relatives of KMP and enterprise over which KMP/Relative of KMP have control / significant influence - Balance as on 31st March 2021 is Nil. (Highest balance during the year is ₹ 25.16 Cr.) and Interest earned during the year is ₹ 0.38 Cr.

### 3. Remuneration

(₹ in Crore)

| Particular                                    | Year ended<br>March 31, 2021 | Year ended<br>March 31, 2020 |
|-----------------------------------------------|------------------------------|------------------------------|
| Mr. Sanjay Agarwal, Managing Director and CEO | -                            | 2.31                         |
| Mr. Uttam Tibrewal, Executive Director        | 2.24                         | 3.43                         |
| Mr. Deepak Jain, Chief Operating Officer      | 1.62                         | 1.65                         |
| Mr. Vimal Jain, Chief Financial Officer       | 0.93                         | NA                           |
| Mr. Manmohan Parnami, Company Secretary       | 0.50                         | 0.48                         |
| <b>Total</b>                                  | <b>5.29</b>                  | <b>7.87</b>                  |

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. Loans given and repayment

There is no other loan related transaction except disclosed above with the related parties during the year (Previous year : Nil).

### 5. Other transaction

(₹ in Crore)

| Name of related party                                                            | Nature of transactions             | Year ended<br>March 31, 2021 | Year ended<br>March 31, 2020 |
|----------------------------------------------------------------------------------|------------------------------------|------------------------------|------------------------------|
| Mr. Uttam Tibrewal                                                               | Issue of Equity Shares of the Bank | 4.28                         | -                            |
| Mr. Deepak Jain                                                                  | Issue of Equity Shares of the Bank | 7.53                         | 6.64                         |
| Mr. Vimal Jain                                                                   | Issue of Equity Shares of the Bank | 0.09                         | NA                           |
| Mr. Manmohan Parnami                                                             | Issue of Equity Shares of the Bank | 0.02                         | 0.02                         |
| Key Management Personnel (KMP)                                                   | Dividend Paid                      | -                            | 4.61                         |
| Relatives of KMP                                                                 | Dividend Paid                      | -                            | 2.32                         |
| Enterprises over which KMP/ relatives of KMP have control/ significant influence | Dividend Paid                      | -                            | 0.73                         |
| AU Bank Employees Group Gratuity Trust                                           | Contribution to Fund               | 17.21                        | 3.30                         |
| AU Foundation                                                                    | Donation                           | 0.85                         | 4.05                         |

For AU Small Finance Bank Limited

Vimal Jain  
Chief Financial Officer



For AU Small Finance Bank Limited

Manmohan Parnami  
Company Secretary

