

Ref. No.: AUSFB/SEC/2023-24/176

Date: September 26, 2023

To,

National Stock Exchange of India Ltd. Exchange Plaza, C-1, Block G, Bandra Kurla Complex, Bandra (East), Mumbai 400051, Maharashtra. NSE Symbol: AUBANK	BSE Limited Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai 400001, Maharashtra. Scrip Code: 540611
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Dear Sir/Madam,

Sub: Information for Investors – Newspaper Publication

Ref: Disclosure under Regulation 47 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“Listing Regulations”)

We hereby inform that an advertisement was published in Financial Express (all editions) newspaper on September 25, 2023 informing the Investors about the Online Dispute Resolution Portal (ODR Portal) made applicable pursuant to SEBI circulars dated July 31, 2023 and August 4, 2023. The copy of the advertisement published is enclosed herewith.

Information about the investor grievance mechanism is made available on the website of the Bank at the following link: <https://www.aubank.in/investor-grievance> and also reproduced herein below for information of the investors:

Level 1 – Raise with the listed entity / its Registrar and Transfer Agent:


Initially, all complaints / disputes against the issuer company (i.e., listed entity issuing securities) are required to be directly lodged with the listed entity / its Registrar and Transfer Agent (“RTA”).

Shareholders of AU Small Finance Bank Limited (“the Bank”) may lodge the same by e-mail on: investorrelations@aubank.in or rnt.helpdesk@linkintime.co.in or by sending physical correspondence to the Company Secretary of the Bank or RTA.

Level 2 – SEBI SCORES:

Disputes remaining unresolved at Level 1 may then be raised through SEBI Complaints Redress System (“SCORES”) which can be accessed at <https://www.scores.gov.in/>.

FAQs on the process to be followed for registration/lodging complaints/disputes, is available at: <https://www.scores.gov.in/scores/Docs/FAQ-SCORES.pdf>.



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

Level 3 – ODR Platform:

An investor can initiate online dispute resolution through the ODR portal, within the applicable timeframe under law, after the option to resolve complaint / dispute with the listed entity through the routes available at Level 1 and Level 2 are exhausted.

It may be noted that the dispute resolution through the ODR portal can be initiated only if such complaint / dispute is not pending before any arbitral process, court, tribunal or consumer forum or if the same is non-arbitrable under Indian law.

There is no fee for registration of complaints / disputes on the ODR Portal. However, the process of conciliation / arbitration through ODR portal may attract fee and the same shall be borne by the concerned investor / listed entity / its RTA (as the case may be).

This is for your information and records.

Yours faithfully,

For AU SMALL FINANCE BANK LIMITED



Manmohan Parnami
Company Secretary and Compliance Officer
Membership No.: F9999
investorrelations@aubank.in
Encl: As Above

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Registered Office: 19-A, Dhuleshwar Garden, Ajmer Road, Jaipur – 302001, Rajasthan Corporate Office: 5th Floor, E-Wing, Kanakia Zillion LBS road, Kurla West, Mumbai, Maharashtra, 400070 Tel: +91-141 4110060/61 Fax: +91-141 4110090 E-mail: investorrelations@aubank.in Website: www.aubank.in	
INFORMATION FOR INVESTORS	
<p>This is to inform the Investors and all other stake holders of AU Small Finance Bank Limited ("the Bank") that the Securities and Exchange Board of India (SEBI), vide circular dated July 31, 2023 and August 04, 2023, has issued the guidelines regarding online resolution of disputes in the Indian Securities Market. The said circular can be accessed on the website of the Bank as well as SEBI.</p>	
<p>The SEBI circular inter-alia provides that an investor shall first take up his/her/their grievances with the listed entity. If the grievance is not redressed satisfactorily, the Investor may, escalate the same through the SEBI SCORES Portal. If the Investor is still not satisfied with the outcome, he/she/they can initiate dispute resolution through the Online Dispute Resolution (ODR) portal. The web-link to access the ODR Portal is https://smartodr.in/. The dispute resolution through the ODR Portal cannot be initiated for matters which are pending before any arbitral process, court, tribunal or consumer forum or are non-arbitrable in terms of Indian Law.</p>	
Date: September 25, 2023 Place: Jaipur	For AU Small Finance Bank Ltd Sd/- Manmohan Parnami Company Secretary Membership No.: F9999