

Ref. No. AUSFB/SEC/2021-22/239

Date: 28th October, 2021

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

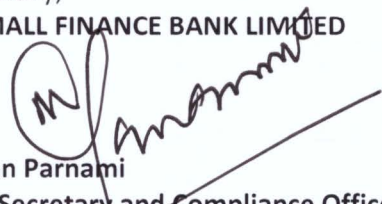
In reference to the compliance of disclosure of Related Party Transactions in terms of Regulation 23(9) of the Listing Regulations, we are enclosing herewith note on Related Party Transactions for the half year ended 30th September, 2021 drawn in accordance with applicable accounting standards.

This is for your information and records.

Thanking You,

Yours faithfully,

For AU SMALL FINANCE BANK LIMITED


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



Encl: A/a

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 for the Half Year Ended September 30, 2021

A. Related Parties:

Key management personnel (KMP)	1 Mr. Sanjay Agarwal, Managing Director and CEO 2 Mr. Uttam Tibrewal, Whole Time Director 3 Mr. Deepak Jain, Chief Operating Officer (upto August 31, 2021) 4 Mr. Vimal Jain, Chief Financial Officer 5 Mr. Manmohan Parnami, Company Secretary
Enterprises over which KMP / relatives of KMP have control / significant influence	1 AU Foundation 2 Sanjay And Jyoti Agarwal Foundation 3 Abhiyan Bharat Foundation 4 Shivgyan Mines and Minerals Private Limited 5 MYS Holdings Private Limited 6 Jyoti Sanjay Family Trust 7 Universal Quartz & Natural Stone Private Limited 8 Universal Galaxy Granite LLP 9 Universal Rocks India LLP 10 Universal Gold Granite LLP 11 Universal Black Granite LLP 12 Universal Granimarmo Pvt Ltd 13 Shree Dham Mining Industries LLP 14 Speciality Stones Private Limited 15 BIFCO Private Limited 16 Kalinga Agencies 17 Kalinga Mercantile Private Limited 18 Kalinga Extrusions India Private Limited 19 Durga Bearings (Mumbai) Private Limited 20 DS Speciality Product LLP 21 Durga Automation & Control Private Limited 22 Deepak Tarachand HUF (upto August 31, 2021) 23 Namokar Mining Industries LLP (") 24 Khushi Buildhome Private Limited (") 25 AU Bank Employees Group Gratuity Trust 26 VS and Sons HUF 27 Pradeep Kumar Jain HUF 28 AU Small Finance Bank Employees Welfare Trust 29 Manmohan Parnami HUF
Relatives of KMP	1 Ms. Jyoti Agarwal 2 Ms. Mallika Agarwal 3 Mr. Yuvraj Agarwal 4 Late Chirinjee Lal Agarwal 5 Ms. Shakuntala Agarwal 6 Mr. Ajay Agarwal 7 Ms. Pinki Agarwal 8 Ms. Pooja Tibrewal 9 Mr. Vaibhav Tibrewal 10 Mr. Devi Prasad Tibrewal 11 Ms. Geeta Devi Tibrewal 12 Mr. Subhash Tibrewal 13 Ms. Manju Agarwal 14 Ms. Uma Bagaria 15 Ms. Suman Sultania 16 Ms. Shweta Jain (upto August 31, 2021) 17 Ms. Khushi Jain (") 18 Mr. Devansh Jain (") 19 Ms. Santosh Jain (") 20 Ms. Kavita Goyal (") 21 Ms. Sunita Agrawal (") 22 Ms Anita Agarwal (") 23 Ms. Sinku Jain 24 Mr. Dhairya Jain 25 Ms. Ladh Devi Jain 26 Mr. Pradeep Kumar Jain 27 Mr. Dilip Kumar Jain

(Signature)



- 28 Ms. Suman Lata Jain
29 Ms. Renu Kataria
30 Ms. Rekha Jain
31 Ms. Bhawna Parnami
32 Ms. Asmita Parnami
33 Ms. Jaisvi Parnami
34 Ms. Rajkumari Sukhija
35 Mr. Mahinder Parnami
36 Ms. Kavita Sukhija
37 Ms. Shikha Taneja

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

1. Deposits

Particular	As at Sep 30, 2021		As at Sep 30, 2020	
	Closing balance	Highest balance during the period	Closing balance	Highest balance during the period
Key Management Personnel (KMP)	40.24	90.19	5.30	28.16
Relatives of KMP	57.48	100.30	81.18	128.19
Enterprise over which KMP/Relative of KMP have control / significant influence	30.02	31.05	10.83	20.41

2. Interest Paid on Deposits

Particular	Period ended Sep 30, 2021	Period ended Sep 30, 2020
Key Management Personnel (KMP)	1.76	0.31
Relatives of KMP	2.74	2.19
Enterprise over which KMP/Relative of KMP have control / significant influence	0.05	0.30

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

3. Remuneration

Particular	Period ended Sep 30, 2021	Period ended Sep 30, 2020
Mr. Sanjay Agarwal, Managing Director and CEO	1.35	-
Mr. Uttam Tibrewal, Executive Director	1.21	1.40
Mr. Deepak Jain, Chief Operating Officer	0.71	0.60
Mr. Vimal Jain, Chief Financial Officer	0.56	0.26
Mr. Manmohan Parnami, Company Secretary	0.36	0.21
Total	4.19	2.47

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

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. Advances

Particular	As at Sep 30, 2021		As at Sep 30, 2020	
	Closing balance	Highest balance during the period	Closing balance	Highest balance during the period
Key Management Personnel (KMP)	0.19	0.44	-	-
Relatives of KMP	0.15	0.16	-	-

Related to credit card facility

5. Other transaction

Name of related party	Nature of transactions	Period ended Sep 30, 2021	Period ended Sep 30, 2020
Mr. Uttam Tibrewal	Exercise of ESOP	1.77	4.28
Mr. Deepak Jain	Exercise of ESOP	0.63	0.89
Mr. Vimal Jain	Exercise of ESOP	-	0.09
Mr. Manmohan Parnami	Exercise of ESOP	-	0.02

For AU Small Finance Bank Limited

Vimal Jain
Chief Financial Officer



For AU Small Finance Bank Limited

Manmohan Parnami
Company Secretary

