

CSFB.2024- 2025/33

April 25, 2024

**BSE Limited  
Listing Compliance  
Phiroze Jeejeebhoy Towers  
Dalal Street  
Mumbai 400 001  
Maharashtra**

**National Stock Exchange of India Limited  
The Listing Department,  
Exchange Plaza,  
Bandra Kurla Complex,  
Mumbai - 400 051  
Maharashtra**

**Scrip Code: 544120, 951995 & 953739**

**Symbol: CAPITALSFB**

**Sub: Reporting to Stock Exchanges regarding violations under Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 relating to the Code of Conduct (CoC).**

**Ref.: SEBI/HO/ISD/ISD/CIR/P/2020/135 circular dated 23rd July, 2020**

Dear Sir/Madam,

With reference to the above, enclosed herewith please find report on violations under SEBI (Prohibition of Insider Trading) Regulations, 2015 relating to the Code of Conduct by Designated person.

Kindly take the same on record.

Thanking you.

For **Capital Small Finance Bank Limited**

**Amit Sharma**  
Company Secretary and Compliance Officer  
Membership No: F10888  
Place: Jalandhar

**Report by Capital Small Finance Bank Limited for violations related to Code of Conduct under the SEBI (Prohibition of Insider Trading) Regulations, 2015**

Sr. No.	Particulars	Details
1.	<b>Name of the listed company</b>	Capital Small Finance Bank Limited
2.	<b>Please tick appropriate checkbox Reporting in capacity of :</b> Listed Company <input checked="" type="checkbox"/> Intermediary Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Baljit Singh
	PAN of DP	DKLPS9379N
	ii. Designation of DP	ASST. VICE PRESEDIENT
	iii. Functional role of DP	ASST. VICE PRESEDIENT - IT Department
	iv. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	NA
	ii. PAN of the immediate relative of DP	NA
	<b>C. Details of transaction(s)</b>	
	i. Name of the scrip	<b>BSE Scrip Code:</b> 544120 <b>NSE Symbol:</b> CAPITALSFB
	ii. No of shares traded and value (Rs.) (Date- wise)	Date: February 14, 2024 to February 15, 2024. No. of Shares: 4001 Equity Shares were sold amounting to total value of Rs. 18,23,447.80.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Part of System Driven Disclosure
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Part of System Driven Disclosure
4.	<b>Details of violations observed under Code of Conduct</b>	Shares sold during trading window closure period.
5.	<b>Action taken by Listed company</b>	Warning letter has been issued to the Designated Person that he would not engage in any kind of dealings in the Equity Shares of the Bank in violation of the Company's Code of Conduct and SEBI (Prohibition of Insider Trading) Regulations, 2015 and a monetary penalty of Rs. 50,000/- (Rupees Fifty Thousand Only), has been imposed.

**Capital Small Finance Bank Limited**

		<p>The aforesaid penalty has been duly submitted to the Investor Protection and Education Fund of SEBI by the DP himself.</p> <p>A Training session was conducted on SEBI (Prohibition of Insider Trading) Regulations, 2015 and the Designated Person attended the same. He has also been provided again with a copy of Code of Conduct. He has been further advised that in case of any subsequent violation stricter action(s) would be taken by the Company.</p>										
6.	<b>Reasons recorded in writing for taking action stated above</b>	<p>Based on our findings and the response received from the Designated Person, it was noted that this incidence was the first instance of violation on the part of the Designated Person wherein he has sold 4001 Equity Shares between February 14, 2024 to February 15, 2024 amounting to total value of Rs. 1823447.8 during trading window closure period.</p> <p>Further, the Designated Person has undertaken to be extra cautious while executing transactions in future and ensure compliance of Code of Conduct and SEBI (Prohibition of Insider Trading) Regulations, 2015 for himself, immediate relatives and dependents.</p>										
7.	<b>Details of the previous instances of violations, if any, since last financial year</b>	Nil										
8.	<b>If any amount collected for Code of Conduct violation(s)</b>	Rs. 50,000 /- was deposited by Mr. Baljit Singh on April 25, 2024 in IPEF as penalty towards the violation of Code of Conduct.										
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online										
	ii. Details of transfer/payment	<table border="1"> <thead> <tr> <th>Particulars</th> <th>Details</th> </tr> </thead> <tbody> <tr> <td>Name of the transferor</td> <td>Baljit Singh</td> </tr> <tr> <td>Bank Name, branch and Account number</td> <td><b>Bank Name:</b> Capital Small Finance Bank Limited <b>Branch:</b> Jalandhar – 1 <b>Account Number:</b> 013205005241</td> </tr> <tr> <td>UTR/Transaction reference Number</td> <td>CLBLN24115002945</td> </tr> <tr> <td>Transaction date</td> <td>April 25, 2024</td> </tr> </tbody> </table>	Particulars	Details	Name of the transferor	Baljit Singh	Bank Name, branch and Account number	<b>Bank Name:</b> Capital Small Finance Bank Limited <b>Branch:</b> Jalandhar – 1 <b>Account Number:</b> 013205005241	UTR/Transaction reference Number	CLBLN24115002945	Transaction date	April 25, 2024
Particulars	Details											
Name of the transferor	Baljit Singh											
Bank Name, branch and Account number	<b>Bank Name:</b> Capital Small Finance Bank Limited <b>Branch:</b> Jalandhar – 1 <b>Account Number:</b> 013205005241											
UTR/Transaction reference Number	CLBLN24115002945											
Transaction date	April 25, 2024											

**Capital Small Finance Bank Limited**

In case of Demand Draft (DD):	Transaction Amount (in Rs.)		50,000/-
	Particulars		Details
	Bank Name and branch		
	DD Number		
	DD date		
	DD amount (in Rs.)		
<b>9.</b>	<b>Any other relevant information</b>		Nil

**Date :** April 25, 2024  
**Place:** Jalandhar

**Name:** Amit Sharma  
**Designation :** Company Secretary and Compliance officer  
**PAN:** CTFPS5272N  
**Email Id:** cs@capitalbank.co.in