

CSFB.2024- 2025/35

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	Sham Singh Bains
	PAN of DP	ACUPB7893A
	ii. Designation of DP	Non – Executive Independent Director
	iii. Functional role of DP	Director on Board of the Bank
	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)	<b>Date:</b> February 14, 2024 to February 29, 2024 <b>No. of Shares:</b> 30 Equity Shares were purchased amounting to total value of Rs. 12,908.22.
	<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	NA
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	NA
4.	<b>Details of violations observed under Code of Conduct</b>	Shares purchased 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.

**Capital Small Finance Bank Limited**

		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.													
6.	<b>Reasons recorded in writing for taking action stated above</b>	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 purchased 30 Equity Shares between February 14, 2024 to February 29, 2024 amounting to total value of Rs. 12908.22 during trading window closure period.  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.													
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>	No													
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	NA													
	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>NA</td> </tr> <tr> <td>Bank Name, branch and Account number</td> <td>NA</td> </tr> <tr> <td>UTR/Transaction reference Number</td> <td>NA</td> </tr> <tr> <td>Transaction date</td> <td>NA</td> </tr> <tr> <td>Transaction Amount (in Rs.)</td> <td>NA</td> </tr> </tbody> </table>		Particulars	Details	Name of the transferor	NA	Bank Name, branch and Account number	NA	UTR/Transaction reference Number	NA	Transaction date	NA	Transaction Amount (in Rs.)	NA
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	In case of Demand Draft (DD):	NA													

**Capital Small Finance Bank Limited**

	Particulars	Details	
	Bank Name and branch		
	DD Number		
	DD date		
	DD amount (in Rs.)		
9.	<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