

USFB/CS/SE/2020-21/31

Date: July 31, 2020

To,

National Stock Exchange of India Limited
Listing Department
Exchange Plaza, C-1, Block G, Bandra Kurla
Complex, Bandra (E)
Mumbai – 400 051

BSE Limited
Listing Compliance
P.J. Tower,
Dalal Street
Mumbai – 400 001

Symbol: UJJIVANSFB

Scrip Code: 542904

Dear Sir/Madam,

Sub: Inadvertent violation of Code of Conduct for Prevention of Insider Trading of Ujjivan Small Finance Bank Limited by Spouse of a Designated Person

Pursuant to Clause 13 of Schedule B read with Regulation 9 of SEBI (Prohibition of Insider Trading) Regulations, 2015, we hereby enclose the Report in Annexure A as prescribed under SEBI circular SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020.

The violation was brought to the notice of the Audit Committee in its meeting held today and being the first and inadvertent instance of violation of the Code by spouse of designated person, the Audit Committee has taken note thereof and did not levy any monetary penalty or disciplinary action for the inadvertent violation.

We request you to take note of the above.

Thanking You,
Yours faithfully

For UJJIVAN SMALL FINANCE BANK LIMITED



Chanchal Kumar

Company Secretary and Compliance Officer

Ujjivan Small Finance Bank Ltd.

Registered Office: Plot No. 2364/8, Khampur Raya Village, Shadi Kampur, Main Patel Road, New Delhi-110008.
Tel: +91 11 30432121, Fax: +91 11 30432111.

Head Office: Grape Garden, No. 27, 3rd A Cross, 18th Main, Koramangala 6th Block, Bengaluru-560095.
Tel: +91 80 40712121, Fax: +91 80 4146 8700.

CIN: L65110DL2016PLC302481 **W** www.ujjivansfb.in **E** ujjivan.blr@ujjivan.com

Annexure A

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

[Schedule B read with Regulation 9 (1) of SEBI (Prohibition of Insider Trading) Regulations, 2015]

Sr. No.	Particulars	Details
1	Name of the listed Company/ Intermediary/Fiduciary	Ujjivan Small Finance Bank Limited
2	Reporting in capacity of : ☐ Listed Company ☐ Intermediary ☐ Fiduciary	Listed Company
3	A. Details of Designated Person (DP): Violation was done by spouse of a Designated Person under the Code formulated by Ujjivan Small Finance Bank Limited ("Bank") in terms of Regulation 9 of the SEBI (Prohibition of Insider Trading) Regulations, 2015.	
	i. Name of the DP	Pankaj Kumar Porwal
	ii. PAN of the DP	ATUPP5196M
	iii. Designation of DP	Regional Manager-HR North
	iv. Functional Role of DP	Regional Manager-HR North
	v. Whether DP is Promoter or belongs to Promoter	No
	B. If Reporting is for immediate relative of DP	
	i. Name of the immediate relative of DP	Priyanka Porwal
	ii. PAN of the immediate relative of	BQQPP0769L
	C. Details of transaction(s)	
	i. Name of the scrip	Equity Shares of Ujjivan Small Finance Bank Limited



	ii. No of shares traded and value (Rs.) (Date- wise)	Friday, July 10, 2020 Purchased 96 (Ninety-six) equity shares of the Bank from the open market @ Rs. 39.92 per equity share with an aggregate investment of Rs. 3,832.20/- Monday, July 20, 2020 Sold all the 96 equity shares at a price of Rs. 36.03 per equity share amounting to Rs. 3,459/-
	D. In case value of trade(s) is more than Rs.10 lacs in a calendar Quarter	
Sr. No.	Particulars	Details
	i. Date of intimation of trade(s) by concerned DP/director/promoter /promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not Applicable
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI(PIT) Regulations, 2015	Not Applicable
4	Details of violations observed under Code of Conduct	The violation is due to trade executed by spouse of Designated Person during the trading window closure period. Para 4 of Schedule B of Regulations 9(1) of SEBI (Prohibition of Insider Trading) Regulations, 2015 and Para 2.9 of the Code of Conduct for Prevention of Insider Trading of Ujjivan Small Finance Bank Limited, prohibits Designated Person and their dependent(s) from dealing in securities of the Bank when the trading window is closed.

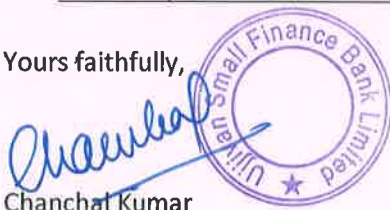


5	Action taken by Listed company	1. Cautioned the Designated Person (DP) not to repeat such violation of the Code in future. 2. Instructed the DP to attend an educative session on the Code, as and when conducted by the Company Secretary and Compliance Officer; 3. Since, spouse of the DP has not made any profits/gains out of the purchase and sale of the shares of the Bank and this being the first instance and that the trade was done inadvertently, the Bank did not levy any monetary penalty or disciplinary action for the violation.
6	Reasons recorded in writing for taking action stated above	This was the first instance of violation, wherein the spouse of concerned "Designated Person", Mr. Pankaj Kumar Porwal, Regional Manager - HR North, had acquired 96 (Ninety-six) equity shares of Bank from the open market on Friday, July 10, 2020 @ Rs. 39.92 per equity share with an aggregate investment of Rs. 3,832. 20/- and then sold all those equity shares on Monday, July 20, 2020 at a price of Rs. 36.03 per equity share amounting to Rs.3,459/-, during the trading window closure period. On the basis of the explanation/response provided by Mr. Pankaj Kumar Porwal to the Bank, it appears that he/his spouse was not in possession of any un-published price sensitive information and that the trade was executed inadvertently during the window closure period.
7	Details of the previous instances of violations, if any, since last financial year	This is the first instance of violation by the Designated Person, Mr. Pankaj Kumar Porwal, Regional Manager - HR North /his Spouse under the Code.
If any amount collected for Code of Conduct violation(s)		
i. Mode of transfer to SEBI - IPEF		NOT APPLICABLE
ii. Details of transfer/payment		
In case of Online:		
Particulars		D
Name of the transferor		



8	Bank Name, branch and Account number		
	UTR/Transaction reference Number		
	Transaction date		
	Transaction Amount (in Rs.)		
	In case of Demand Draft (DD):		
	Particulars	D	
	Bank Name and branch		
	DD Number		
	DD date		
	DD amount (in Rs.)		
9	Any other relevant information	Nil	

Yours faithfully,



Chanchal Kumar

Company Secretary and Compliance Officer

PAN: ALJPK1011B

Email Id: chanchal.kumar@ujjivan.com

Mobile Number: +91-9986084151

Date: July 31, 2020

Place: Bengaluru