

Ref. No.: AUSFB/SEC/2024-25/100

Date: May 24, 2024

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 under Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Pursuant to Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, this is to inform that the Bank has received a communication from the Reserve Bank of India informing that penalty of Rs. 5,000 has been imposed on account of deficiency observed during RBI's regular incognito visit in awareness among official of Bank's Chandigarh branch regarding the rules of exchange of mutilated notes.

The Bank has imparted necessary training among all the branch officials to create awareness on RBI guidelines on the subject matter.

The details required under Regulation 30 of the Listing Regulations read with SEBI Circular No. SEBI/HO/CFD/CFD-PoD-1/P/CIR/2023/123 dated July 13, 2023 are given in the enclosed **Annexure - I**.

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

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

Annexure – I

Details required under Regulation 30 of the Listing Regulations read with SEBI Circular No. SEBI/HO/CFD/CFD-PoD-1/P/CIR/2023/123 dated July 13, 2023

Sr. No.	Details of events that need to be provided	Information of such event(s)
1.	Name of the authority	Issue Department, Chandigarh of the Reserve Bank of India (RBI)
2.	Nature and details of the action(s) taken, initiated or order(s) passed	RBI regular incognito visit was done at Chandigarh branch of AU Small Finance Bank Limited and considering deficiency in awareness among officials of that branch regarding exchange of mutilated notes. The RBI has imposed a penalty of Rs. 5,000.
3.	Date of receipt of direction or order, including any ad-interim or interim orders, or any other communication from the authority	May 23, 2024
4.	Details of the violation(s)/contravention(s) committed or alleged to be committed	On account of deficiency observed during RBI's regular incognito visit in awareness among official of Bank's Chandigarh branch regarding the rules of exchange of mutilated notes.
5.	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible	Rs. 5,000

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