

SE/2023-24/85 December 31, 2023

The BSE Limited

Phiroze Jeejeebhoy Towers
Dalal Street, Fort
Mumbai – 400001

Scrip Code: 543942, 958095, 959644, 968226

National Stock Exchange of India Limited

5th Floor, Exchange Plaza, C-1, Block G,
Bandra Kurla Complex, Bandra East, Mumbai
– 400 051

NSE symbol: UTKARSHBNK

Dear Sir/Madam,

## Subject - Reporting under SEBI (Prohibition of Insider Trading) Regulations, 2015

This is to inform you that in terms of the SEBI Circular No. SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020, the details of violation of the Bank's Code of Conduct for Prohibition of Insider Trading and Code of Fair Disclosure and Conduct (**Code**) under the SEBI (Prohibition of Insider Trading) Regulations, 2015 by the Bank's Designated Persons along with the action taken by the Bank thereon are enclosed to this letter.

Thanking You

For Utkarsh Small Finance Bank Limited

Muthiah Digitally signed by Muthiah Ganapathy Date: 2023.12.31 10:43:44 +05'30'

Muthiah Ganapathy Company Secretary & Compliance Officer



Sr. No.		Particulars	Details
1.	Name	of the listed	Utkarsh Small Finance Bank Limited
*		any <del>/Intermediary/Fiduciary</del>	o that shi shian i manee Baim Binnea
2.		tick appropriate checkbox	Listed Company
		ting in capacity of :	
		Listed Company	
		Intermediary	
		Fiduciary	
3.	A. D	etails of Designated Person (DP)	
	i.	Name of the DP	Gaurav Bhasin
	ii.	PAN of the DP	
	iii.	Designation of DP	Chief Manager
	iv.	Functional Role of DP	Transformation – Management Office
	v.	Whether DP is Promoter or belongs to Promoter Group	No
	B. If	Reporting is for immediate relative of	of DP
	i.	Name of the immediate relative of DP	Not applicable
	ii.	PAN of the immediate relative of DP	Not applicable
TIA	C. D	etails of transaction(s)	TISVALED TO THE TEST OF THE TE
	i.	Name of the scrip	BSE - 543942
100	0.0.0		NSE – UTKARSHBNK
	ii.	No of shares traded and value (Rs.)	The number and value of shares traded are
10.0	D 1	(Date-wise)	provided below.
UU		n case value of trade(s) is more than R  Date of intimation of trade(s) by	Not applicable
2111	i.	concerned	Not applicable
	1111	DP/director/promoter/promoter	
143	9 4 1	group to Company under regulation	
	111	7 of SEBI (PIT) Regulations, 2015	
	ii.	Date of intimation of trade(s) by	Not applicable
		Company to stock exchanges under	
		regulation 7 of SEBI (PIT)	
	72350	Regulations, 2015	

Details of violations observed under Code of Conduct	Violation of the Bank's Code on account of trading during window closure and undertaking contra trade.							
	Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value			
	21-07-2023	Subscribed in IPO	5389	25.00	1,34,725.00			
	21-07-2023	Sell	1500	47.91	71,865.00			
	15-09-2023	Sell	600	51.2	30,720.00			
Action taken by Listed company <del>/Intermediary/Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP and directed the DP to deposit a sum of INR 50,085 towards disgorgement of the profits made out of the contra trades in the SEBI IPEF.							
Reasons recorded in writing for taking action stated above	Violation of th	e Bank's Code	•					
Details of the previous instances of violations, if any, since last financial year	violations, if any, since last financial							
If any amount collected for Code of Co	onduct violation	(s)						
i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online							
ii. Details of transfer/payment In case of Online:								
Particulars	Details							
Name of the transferor	Gaurav Bhasin							
Bank Name, branch and Account number	Kotak Mahind Kanpur- 80 Fe ######4725							
UTR/Transaction reference Number	23122517279	3096						
Transaction date	December 25,	2023						
Transaction Amount (in Rs.)	52,090			- 16				
Any other relevant information	Nil	The state of the s	- SP - SP	- 1				

Sr. No.	Particulars	Details					
1.	Name of the listed	Utkarsh Small Finance Bank Limited					
	company <del>/Intermediary/Fiduciary</del>						
2.	Please tick appropriate checkbox	Listed Company					
	Reporting in capacity of :						
	☐ Listed Company						
	☐ Intermediary						
	☐ Fiduciary						
3.	A. Details of Designated Person (DP)						
	i. Name of the DP	Sujit Chaphekar					
	ii. PAN of the DP						
	iii. Designation of DP	Chief Manager					
	iv. Functional Role of DP	Treasury Back Office					
11111	v. Whether DP is Promoter or belongs to Promoter Group	No					
B. If Reporting is for immediate relative of DP							
	i. Name of the immediate relative of DP	Geetanjali Chaphekar					
	ii. PAN of the immediate relative of DP						
M	C. Details of transaction(s)						
HA	i. Name of the scrip	BSE - 543942					
		NSE – UTKARSHBNK					
1717	ii. No of shares traded and	The number and value of shares traded are					
	value (Rs.) (Date- wise)	provided below.					
HA	D. In case value of trade(s) is more than R	s.10 lacs in a calendar quarter					
	i. Date of intimation of trade(s) by	Not applicable					
141	concerned						
	DP/director/promoter/promoter						
	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015						
	ii. Date of intimation of trade(s) by	Not applicable					
	Company to stock exchanges under	not applicable					
	regulation 7 of SEBI (PIT)						
	Regulations, 2015						



4.	Details of violations observed under	Violation of the	Bank's (	Code for trad	ing durin	g window	
	Code of Conduct	closure.					
		Date of	Туре	Quantity	Trade	Traded	
		Transaction		Traded	rate	value	
		21-07-2023	Buy	5	47.18	235.90	
5.	,	The Bank impo					
	company <del>/Intermediary/Fiduciary</del>	which has been	which has been deposited by the DP in the SEBI IPEF.				
6.	Reasons recorded in writing for taking	Violation of the	Bank's	Code.			
	action stated above			AC 16.			
7.		Not applicable					
	violations, if any, since last financial year						
8.	If any amount collected for Code of Conduct violation(s)						
	i. Mode of transfer to SEBI – IPEF	Online					
	(Online/Demand Draft)						
SHREEKER	STREET, STREET						
	ii. Details of transfer/payment						
F	In case of Online:						
THE R. P. LEWIS CO., LANSING, MICH.	Particulars	Details			71.1		
T IIII	Name of the transferor	Sujit Chaphekai					
2010	Bank Name, branch and Account	Indusind bank l	td				
FILMIN	number	Opera House					
1000000		#######288		Marie Tolland			
CININI	UTR/Transaction reference Number	231228173012	463		100		
THE PERSON NAMED IN	Transaction date	December 28, 2	023				
r Lillian	Transaction Amount (in Rs.)	2000					
9.	Any other relevant information	Nil					

Sr. No		Particulars	Details				
		of the listed	Utkarsh Small Finance Bank Limited				
	compa	ny <del>/Intermediary/Fiduciary</del>					
2		tick appropriate checkbox	Listed Company				
		ting in capacity of :					
		Listed Company					
		ntermediary					
	_	Fiduciary					
3	B. A.	Details of Designated Person (DP)					
	i.	Name of the DP	Sapna Mehra				
	ii.	PAN of the DP					
	iii.	Designation of DP	Zonal Sales Head				
	iv.	Functional Role of DP	Liabilities				
SHREET,	v.	Whether DP is Promoter or belongs to Promoter Group	No				
r	B. If Reporting is for immediate relative of DP						
	i.	Name of the immediate relative of DP	Not applicable				
r L	ii.	PAN of the immediate relative of DP	Not applicable				
1301/10	C. De	etails of transaction(s)					
F. A. H. H.		i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK				
CHINA		ii. No of shares traded and	The number and value of shares traded are				
1717/4/4	4 1 1 4	value (Rs.) (Date- wise)	provided below.				
	D. In	case value of trade(s) is more than R					
- 1000	i.	Date of intimation of trade(s) by concerned	Not applicable				
100 March 11 March 12	A A A A	DP/director/promoter/promoter					
E IIII	14.1.1	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015					
	ii.	Date of intimation of trade(s) by Company to stock exchanges under	Not applicable				
	London.	regulation 7 of SEBI (PIT) Regulations, 2015					

4.	4. Details of violations observed under Code of Conduct  Violation of the Bank's Code for trading during window closure and undertaking contra trade.							
		Date of Transac tion	Туре	Quantit y Traded	Trad e rate	Traded value		
		15-09- 2023	Subscri bed in IPO	5389	25.00	1,34,725.0 0		
		15-09- 2023	Sell	1	49.72	49.72		
5.	Action taken by Listed company <del>/Intermediary/Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP and directed the DP to deposit a sum of INR 25 towards disgorgement of the profits made out of the contra trades in the SEBI IPEF.						
6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.						
7.	Details of the previous instances of violations, if any, since last financial year	Not applica	ıble			( 5)		
8.	If any amount collected for Code of Conduc	ct violation(s	()					
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				A Least St		
	ii. Details of transfer/payment In case of Online:							
W.	Particulars	Details						
717	Name of the transferor	Sapna Meh						
Bank Name, branch and Account number HDFC Bank D C Chowk / Sector 9, Rohini, Delhi 110085 ########1058								
	UTR/Transaction reference Number	231226172	2883234					
	Transaction date	December	26, 2023					
	Transaction Amount (in Rs.)	2025						
9.	Any other relevant information	Nil						

Sr. No.	Particulars	Details					
1.	Name of the listed	Utkarsh Small Finance Bank Limited					
	company <del>/Intermediary/Fiduciary</del>						
2.	Please tick appropriate checkbox	Listed Company					
	Reporting in capacity of :						
	☐ Listed Company						
	☐ Intermediary						
	□ Fiduciary						
3.	A. Details of Designated Person (DP)						
	i. Name of the DP	Anish Saproo					
	ii. PAN of the DP						
	iii. Designation of DP	Zonal Sales Manager					
	iv. Functional Role of DP	MSME					
11111	v. Whether DP is Promoter or belongs to Promoter Group	No					
B. If Reporting is for immediate relative of DP							
-	i. Name of the immediate relative of DP						
	ii. PAN of the immediate relative of DP	Not applicable					
	C. Details of transaction(s)	TO VOICE					
HA	i. Name of the scrip	BSE - 543942					
		NSE – UTKARSHBNK					
111	ii. No of shares traded and	The number and value of shares traded are					
	value (Rs.) (Date- wise)	provided below.					
	D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter						
	i. Date of intimation of trade(s) by	Not applicable					
141	concerned	THE PERSON NAMED IN COLUMN					
	DP/director/promoter/promoter						
	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015						
	ii. Date of intimation of trade(s) by	Not applicable					
	Company to stock exchanges under	The applicable					
	regulation 7 of SEBI (PIT)						
	Regulations, 2015						

4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.					
		Date of Transaction	Туре	Quantity Traded	Trade rate	Trade d value	
		21-07-2023	Buy	20	50.4	1,008	
5.	Action taken by Listed company <del>/Intermediary/Fiduciary</del>	The Bank impo					
6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.					
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable					
8.	If any amount collected for Code of Conduc	t violation(s)					
	<ul><li>i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)</li></ul>	Online	1111	i i i i i			
	ii. Details of transfer/payment In case of Online:				N.	2	
	Particulars	Details					
	Name of the transferor	Anish Saproo				77.7.7	
	Bank Name, branch and Account	HDFC BANK LII			LA.		
	number	Gurugram Haryana #######5935					
HIF	UTR/Transaction reference Number	231222172636318					
	Transaction date	December 22, 2	2023				
	Transaction Amount (in Rs.)	2000					
9.	Any other relevant information	Nil			The		

Sr.	Particulars	Details
No.	Name of the listed	Utkarsh Small Finance Bank Limited
1.		Utkarsh Small Finance Bank Limited
2.	company <del>/Intermediary/Fiduciary</del>	Listed Company
۷.	Please tick appropriate checkbox Reporting in capacity of:	Listed Company
	☐ Listed Company	
	2 2	
	☐ Intermediary	
2	☐ Fiduciary	
3.	A. Details of Designated Person (DP) i. Name of the DP	Trilok Nath Shukla
		Trilok Natri Shukia
	ii. PAN of the DP	
	iii. Designation of DP	Head
	iv. Functional Role of DP	Micro Banking (MB)
11111	v. Whether DP is Promoter or belongs to Promoter Group	No
	B. If Reporting is for immediate relative of	of DP
	i. Name of the immediate relative of DP	Ashwin Shukla
	ii. PAN of the immediate relative of DP	The state of the s
10.00	C. Details of transaction(s)	
009	i. Name of the scrip	BSE - 543942
A AL A		NSE – UTKARSHBNK
	ii. No of shares traded and	The number and value of shares traded are
	value (Rs.) (Date- wise)	provided below.
	D. In case value of trade(s) is more than R	_
A II A	i. Date of intimation of trade(s) by	Not applicable
	concerned	
18 73 S.B.	DP/director/promoter/promoter group to Company under regulation	
	7 of SEBI (PIT) Regulations, 2015	
	ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	
12.7	regulation 7 of SEBI (PIT)	
	Regulations, 2015	

4.	Details of violations observed under	Violation of the Bank's Code for trading during						
	Code of Conduct	window closure.						
		Date of	Туре	Quantity	Trade	Traded		
		Transaction		Traded	rate	value		
		24-07-2023	Buy	479	52	24,908		
5.	•	The Bank impo						
	company <del>/Intermediary/Fiduciary</del>	which has been			P in the S	SEBI IPEF.		
6.	Reasons recorded in writing for taking	Violation of the	Bank's	Code.				
	action stated above							
7.	Details of the previous instances of	Not applicable						
	violations, if any, since last financial year							
8.	If any amount collected for Code of Conduc	ct violation(s)						
	i. Mode of transfer to SEBI – IPEF	Online						
	(Online/Demand Draft)							
	ii. Details of transfer/payment	THE REAL PROPERTY.						
BRRE	In case of Online:							
	Particulars	Details						
	Name of the transferor	Trilok Nath Shu	kla	MI DE				
	Bank Name, branch and Account	HDFC Bank Ltd	1		- 111			
	number	Varanasi			1			
		########8172						
	UTR/Transaction reference Number	231228173014	988					
HA-A	Transaction date	December 28, 2	023					
	Transaction Amount (in Rs.)	5000						
9.	Any other relevant information	Nil						



Sr.			Particulars	Details				
No.	N	- C+1 1:	-L- J	Hilland Condition of David Control				
1.		of the li		Utkarsh Small Finance Bank Limited				
2.			ermediary/Fiduciary Propriate checkbox	Listed Company				
۷.			apacity of :	Listed Company				
	_	_	ompany					
		interme						
			•					
3.		Fiduciar						
3.			ls of Designated Person (DP)					
	i.	Nan	ne of the DP	Hiranmoy Das				
	ii.	PAN	of the DP					
	iii.	Desi	ignation of DP	Senior Zonal Manager				
	iv.	Fun	ctional Role of DP	Internal Audit (Micro finance)				
	V.		ether DP is Promoter or ongs to Promoter Group	No				
	B. If		ing is for immediate relative o	of DP				
	i.	Name	of the immediate relative of DP					
TITLE	ii.	PAN o	f the immediate relative of DP	Not applicable				
	C. D	etails o	f transaction(s)	No. of the latter				
TIFE	70 / 0	i.	Name of the scrip	BSE - 543942				
	177	1.1		NSE – UTKARSHBNK				
TITE	AAA	ii.	No of shares traded and	The number and value of shares traded are				
	1,11	111	value (Rs.) (Date- wise)	provided below.				
MA	D. In			ks.10 lacs in a calendar quarter				
	i.		of intimation of trade(s) by	Not applicable				
TA:A	BAA	conce		and the state of t				
	DP/director/promoter/promoter							
			to Company under regulation EBI (PIT) Regulations, 2015					
	ii.		of intimation of trade(s) by	Not applicable				
1.7	11.		any to stock exchanges under	Not applicable				
	ستعاب	regula						
		_	ations, 2015					

4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.						
		Date	of	Туре	Quantity	Trade	Traded	
		Transactio	on	<b>7 1</b>	Traded	rate	value	
		25-07-202	23	Buy	200	50	10,000	
5.	Action taken by Listed	The Bank i	impo	sed a p	enalty of R	s. 2,000	on the DP	
	company <del>/Intermediary/Fiduciary</del>	which has l	oeen	deposit	ed by the D	P in the S	EBI IPEF.	
6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.						
7.	Details of the previous instances of	Not applica	ble					
	violations, if any, since last financial							
	year							
8.	If any amount collected for Code of Condu	ct violation(	s)					
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online		imi				
111111	ii. Details of transfer/payment							
	In case of Online:							
	Particulars	Details						
	Name of the transferor	Hiranmoy I	Das					
-	Bank Name, branch and Account	HDFC Bank				144		
7 H A	number	HDFC0000				1 72		
HH.E.		#########3409						
400	UTR/Transaction reference Number	T2312220720435100968961						
1111	Transaction date	December 2	22, 2	023				
4114	Transaction Amount (in Rs.)	2000						
9.	Any other relevant information	Nil				The same		

Sr. No.	Particulars	Details					
1.	Name of the listed	Utkarsh Small Finance Bank Limited					
-	company <del>/Intermediary/Fiduciary</del>						
2.	Please tick appropriate checkbox	Listed Company					
	Reporting in capacity of :						
	☐ Listed Company						
	☐ Intermediary						
	☐ Fiduciary						
3.	A. Details of Designated Person (DP)						
	i. Name of the DP	Rahul Pratap Singh					
	ii. PAN of the DP						
	iii. Designation of DP	Project Manager					
	iv. Functional Role of DP	Projects					
1222	v. Whether DP is Promoter or belongs to Promoter Group	No					
	B. If Reporting is for immediate relative of DP						
-	i. Name of the immediate relative of DP	Not applicable					
	ii. PAN of the immediate relative of DP	Not applicable					
	C. Details of transaction(s)						
HA	i. Name of the scrip	BSE - 543942					
		NSE – UTKARSHBNK					
i ii ii	ii. No of shares traded and	The number and value of shares traded are					
	value (Rs.) (Date- wise)	provided below.					
	D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter						
	i. Date of intimation of trade(s) by	Not applicable					
141	concerned	I ISSUED E II WOM					
	DP/director/promoter/promoter						
	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015						
	ii. Date of intimation of trade(s) by	Not applicable					
	Company to stock exchanges under	The applicable					
	regulation 7 of SEBI (PIT)						
	Regulations, 2015						



	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure and undertaking contra trade.							
		Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value			
		21-07-2023	Subscribed in IPO	2,902	25.00	72,550			
		05-10-2023 05-10-2023	Sell Sell	2,000 902	53.86 57.91	1,07,720 52,234.82			
	Action taken by Listed company <del>/Intermediary/Fiduciary</del>	The Bank imp directed the I disgorgement the SEBI IPEF	the DP and 405 towards						
	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.							
100	Details of the previous instances of violations, if any, since last financial year	Not applicable		I LICA		63			
	If any amount collected for Code of Conduct violation(s)								
	<ul> <li>i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)</li> </ul>	Online			- 1	hteaker			
M	ii. Details of transfer/payment In case of Online:					TOTAL			
11/1	Particulars	Details							
	Name of the transferor	Rahul Pratap S							
	Bank Name, branch and Account number	Utkarsh Small Finance Bank Varanasi ###########0271							
	UTR/Transaction reference Number	231225172793							
	Transaction date	December 26, 2	2023	124		2364			
	Transaction Amount (in Rs.)	89405							
	Any other relevant information	Nil		self .	1/41/2	31. N. S.			

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Sr. No.	Particulars	Details				
1.	Name of the listed	Utkarsh Small Finance Bank Limited				
	company <del>/Intermediary/Fiduciary</del>					
2.	Please tick appropriate checkbox	Listed Company				
	Reporting in capacity of :					
	☐ Listed Company					
	☐ Intermediary					
	☐ Fiduciary					
3.	A. Details of Designated Person (DP)					
	i. Name of the DP	Rajeev Pandey				
	ii. PAN of the DP					
	iii. Designation of DP	Zonal Manager				
	iv. Functional Role of DP	HR & training				
11111	v. Whether DP is Promoter or belongs to Promoter Group	No				
	B. If Reporting is for immediate relative of DP					
	i. Name of the immediate relative of DP	Not applicable				
	ii. PAN of the immediate relative of DP	Not applicable				
	C. Details of transaction(s)					
HA	i. Name of the scrip	BSE - 543942				
		NSE – UTKARSHBNK				
i ii ii	ii. No of shares traded and	The number and value of shares traded are				
	value (Rs.) (Date- wise)	provided below.				
HA	D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter					
	i. Date of intimation of trade(s) by	Not applicable				
141	concerned	I ISSUE E I WOM				
	DP/director/promoter/promoter					
	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015					
	ii. Date of intimation of trade(s) by	Not applicable				
	Company to stock exchanges under	not applicable				
	regulation 7 of SEBI (PIT)					
	Regulations, 2015					



4.	Details of violations observed under	Violation of the Bank's Code for trading during					
	Code of Conduct	window closure.					
		D	m	0 111	m 1	m 1 1	
		Date of	Туре	Quantity	Trade	Traded	
		Transaction	_	Traded	rate	value	
		05-08-2023	Buy	40	50.3	2,012	
5.	,	The Bank impo					
	company <del>/Intermediary/Fiduciary</del>	which has been	deposi	ted by the D	P in the S	SEBI IPEF.	
6.	Reasons recorded in writing for taking action stated above	Violation of the	Bank's	Code.			
7.	Details of the previous instances of	Not applicable					
	violations, if any, since last financial year						
8.	If any amount collected for Code of Conduc	ct violation(s)					
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online	nini		0		
1111	ii. Details of transfer/payment						
	In case of Online:						
	Particulars	Details					
	Name of the transferor	Rajeev Pandey	l		- 1		
	Bank Name, branch and Account	HDFC Bank				la distribution	
71 (1-1)	number	Hyderabad			1 7		
H III.V	#######4990						
HILL	UTR/Transaction reference Number 231226172878614						
	Transaction date December 26, 2023						
	Transaction Amount (in Rs.)	2000					
9.	Any other relevant information	Nil			The same		

Sr. No.	Particulars	Details					
1.	Name of the listed company/Intermediary/Fiduciary	Utkarsh Small Finance Bank Limited					
2.	Please tick appropriate checkbox  Reporting in capacity of:  Listed Company  Intermediary  Fiduciary	Listed Company					
3.	A. Details of Designated Person (DP)						
i. Name of the DP Susmit Akhaury							
	ii. PAN of the DP						
	iii. Designation of DP	Branch Head					
	iv. Functional Role of DP	Liabilities					
	v. Whether DP is Promoter or belongs to Promoter Group	No					
FILE	B. If Reporting is for immediate relative of DP						
	<ul><li>i. Name of the immediate relative of DP</li><li>ii. PAN of the immediate relative of DP</li></ul>	Not applicable Not applicable					
M	C. Details of transaction(s)						
H	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK					
	ii. No of shares traded and value (Rs.) (Date-wise)	The number and value of shares traded are provided below.					
	D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter						
	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	Violation of the closure and ur			ng durin	g window		
			Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value		
			21-07-2023	Subscribed in IPO	829	25.00	20,725		
			21-07-2023	Sell	400	44.97	17,988		
	5.	Action taken by Listed	The Bank imp	osed a penalt	y of Rs. 2,0	000 on th	ne DP and		
		company <del>/Intermediary/Fiduciary</del>	directed the DP to deposit a sum of INR 7,988 towards disgorgement of the profits made out of the contra trades in the SEBI IPEF.						
	6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.						
SHIP	7.	Details of the previous instances of violations, if any, since last financial year	Not applicable		2				
	8.	8. If any amount collected for Code of Conduct violation(s)							
î le		i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online			w	. Aksi		
FIN	П	ii. Details of transfer/payment In case of Online:				11/1/2	SAFE		
10 10 17	T/F	Particulars	Details						
FILE		Name of the transferor	Susmit Akhaui	ry .					
	İ	Bank Name, branch and Account number	HDFC Bank LTD Boring Road #########0704						
r Mil		UTR/Transaction reference Number	23122817301	2538					
	F 11	Transaction date	December 28,	2023		- / -			
		Transaction Amount (in Rs.)	9988		E	1.08	1964		
	9.	Any other relevant information	Nil						



Sr. No.	Particulars	Details				
1.	Name of the listed	Utkarsh Small Finance Bank Limited				
1.	company <del>/Intermediary/Fiduciary</del>	Otkarsh shian i manee bank Eminted				
2.	Please tick appropriate checkbox	Listed Company				
	Reporting in capacity of :					
	☐ Listed Company					
	☐ Intermediary					
	☐ Fiduciary					
3.	A. Details of Designated Person (DP)					
	i. Name of the DP	Vikash Singh				
	ii. PAN of the DP					
	iii. Designation of DP	Deputy Manager				
11 11 11	iv. Functional Role of DP	Operations Risk Support				
	v. Whether DP is Promoter or	No				
	belongs to Promoter Group					
	B. If Reporting is for immediate relative of					
	<ul><li>i. Name of the immediate relative of DP</li><li>ii. PAN of the immediate relative of DP</li></ul>	Madhu Singh				
		1202				
U.V	C. Details of transaction(s)					
	i. Name of the scrip	BSE - 543942				
11 8		NSE – UTKARSHBNK				
	ii. No of shares traded and	The number and value of shares traded are				
	value (Rs.) (Date- wise)	provided below.				
	D. In case value of trade(s) is more than F	Rs.10 lacs in a calendar quarter				
	i. Date of intimation of trade(s) by	Not applicable				
	concerned					
	DP/director/promoter/promoter	THE PROPERTY OF THE PARTY.				
	group to Company under regulation	THE RESERVE THE PERSON NAMED IN COLUMN TWO IS NOT THE PERSON NAMED IN COLUMN TWO IS NAMED IN COLUMN TWIND TWO IS NAMED IN COLUMN TWO IS NAMED IN COLUMN TWO IS NAMED IN				
	7 of SEBI (PIT) Regulations, 2015					
	ii. Date of intimation of trade(s) by	Not applicable				
1	Company to stock exchanges under					
	regulation 7 of SEBI (PIT)					
	Regulations, 2015					



	4.	Details of violations observed under	Violation of the Bank's Code for trading during win						ng window	
		Code of Conduct	closure.					_		
			١,	D.	c	m	0 "	m 1	m 1 1	
			П	Date	of	Type	Quantity	Trade	Traded	
			$\prod$	Transactio			Traded	rate	value	
			Ц	21-07-202		Buy	18	38.25	688.50	
				24-07-202	23	Buy	2	52.25	104.50	
	5.	Action taken by Listed	<u>ا</u> ا	The Bank in	mpo	sed a p	enalty of F	Rs. 2,000	on the DP	
		company <del>/Intermediary/Fiduciary</del>	ľ	which has b	een	deposit	ed by the D	P in the S	SEBI IPEF.	
	6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.							
	7.	Details of the previous instances of	Not applicable							
		violations, if any, since last financial year	, if any, since last financial year							
	8.	If any amount collected for Code of Conduct violation(s)								
THERE		i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	(	Online						
		ii. Details of transfer/payment In case of Online:				7			9	
		Particulars	]	Details						
F		Name of the transferor	Vikash Singh				Land Ser			
73077	TITA	Bank Name, branch and Account	Central Bank of India						INVESTIGE.	
F		number		Lalpur, Rand ######713		harkha	nd, 834001			
FILE		UTR/Transaction reference Number	2	231228173	0123	300				
1137	iiii	Transaction date	]	December 2	28, 20	023	HI.F			
FILE		Transaction Amount (in Rs.)	_	2000	-			The same		
1.21.7	9.		]	Nil	1					

Sr.	Particulars	Details				
No.	N Col 1: 1	The locality is a				
1.	Name of the listed	Utkarsh Small Finance Bank Limited				
<u> </u>	company <del>/Intermediary/Fiduciary</del>	1: . 10				
2.	Please tick appropriate checkbox	Listed Company				
	Reporting in capacity of:					
	☐ Listed Company					
	☐ Intermediary					
	☐ Fiduciary					
3.	A. Details of Designated Person (DP)					
	i. Name of the DP	Rakesh Kumar				
	ii. PAN of the DP					
	iii. Designation of DP	Chief Manager				
	iv. Functional Role of DP	Projects				
***	v. Whether DP is Promoter or belongs to Promoter Group	No				
	B. If Reporting is for immediate relative of DP					
	i. Name of the immediate relative of DP	Not applicable				
	ii. PAN of the immediate relative of DP	Not applicable				
m	C. Details of transaction(s)	DEWEL DEWELL				
HHA	i. Name of the scrip	BSE - 543942				
		NSE – UTKARSHBNK				
4 11 11	ii. No of shares traded and	The number and value of shares traded are				
	value (Rs.) (Date- wise)	provided below.				
	D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter					
	i. Date of intimation of trade(s) by	Not applicable				
	concerned					
	DP/director/promoter/promoter					
	group to Company under regulation					
	7 of SEBI (PIT) Regulations, 2015	W. H. II				
160	ii. Date of intimation of trade(s) by	Not applicable				
	Company to stock exchanges under					
	regulation 7 of SEBI (PIT)					
	Regulations, 2015					

	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure and undertaking contra trade.						
		Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value		
		21-07-2023	Subscribed in IPO	2,487	25.00	62,175		
		03-10-2023	Sell	2,487	51.64			
	Action taken by Listed	The Bank im	posed a pena	lty of Rs.	2,000 o	n the DP and		
	company <del>/Intermediary/Fiduciary</del>					5,254 towards		
		the SEBI IPEF.			of the co	ontra trades in		
	Reasons recorded in writing for taking action stated above	Violation of th	e Bank's Code					
	Details of the previous instances of violations, if any, since last financial year	e previous instances of Not applicable any, since last financial						
-	If any amount collected for Code of Co	onduct violation	n(s)					
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online			L	William State		
M	ii. Details of transfer/payment In case of Online:	. 10				<b>TEVELSE</b>		
iri	Particulars	Details						
	Name of the transferor	Rakesh Kuma						
iπ	Bank Name, branch and Account	AXIS Bank						
	number   Uttar Pradesh							
	UTR/Transaction reference 231227172981867 Number Transaction date December 27, 2023							
14								
	Transaction Amount (in Rs.)	68254						
	Any other relevant information	Nil		944	100 to 7.09			

Sr. No.	Particulars	Details				
1.	Name of the listed company/Intermediary/Fiduciary	Utkarsh Small Finance Bank Limited				
2.	Please tick appropriate checkbox  Reporting in capacity of:  Listed Company  Intermediary  Fiduciary	Listed Company				
3.	A. Details of Designated Person (DP)					
	i. Name of the DP	Praveen Baranwal				
	ii. PAN of the DP					
	iii. Designation of DP	Zonal Manager				
	iv. Functional Role of DP	Internal Audit				
	v. Whether DP is Promoter or belongs to Promoter Group	No				
	B. If Reporting is for immediate relative of DP					
	<ul><li>i. Name of the immediate relative of DP</li><li>ii. PAN of the immediate relative of DP</li></ul>	Not applicable Not applicable				
Mi	C. Details of transaction(s)					
H	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK				
iii	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.				
	D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter					
	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	Violation of the Bank's Code for trading during window						
	Code of Conduct	closure and un	closure and undertaking contra trade.					
		Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value		
		21-07-2023	Subscribed in IPO	2,487	25.00	62,175		
		01-09-2023	Sell	2,486	48.05	1,19,452		
5.	Action taken by Listed company <del>/Intermediary/Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP directed the DP to deposit a sum of INR 57,302 towards disgorgement of the profits made out of the contra train the SEBI IPEF.						
6.	Reasons recorded in writing for taking action stated above	Violation of th						
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable						
8.	If any amount collected for Code of Con	duct violation(s						
	<ul> <li>i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)</li> </ul>	Online						
TIT.	ii. Details of transfer/payment In case of Online:	7						
U.	Particulars	Details						
M	Name of the transferor	Praveen Baran	ıwal					
	Bank Name, branch and Account number	ICICI Bank Limited Ranchi Ratu Road #######3235						
1.17	UTR/Transaction reference Number	23122217266		-				
П	Transaction date	December 22, 2023						
II 11 II 23-2	Transaction Amount (in Rs.)	59302	1.196.1					
9.	Any other relevant information	Nil	120000000000000000000000000000000000000			POLL .		

Sr. No.	Particulars	Details
1.	Name of the listed	Utkarsh Small Finance Bank Limited
1	company <del>/Intermediary/Fiduciary</del>	o that sit sittan i manee samt simted
2.	Please tick appropriate checkbox	Listed Company
	Reporting in capacity of :	
	☐ Listed Company	
	☐ Intermediary	
	☐ Fiduciary	
3.	A. Details of Designated Person (DP)	
	i. Name of the DP	Naincy Srivastava
	ii. PAN of the DP	
	iii. Designation of DP	Assistant Manager
	iv. Functional Role of DP	Managing Director's office (MDO)
	v. Whether DP is Promoter or	No
	belongs to Promoter Group	
	B. If Reporting is for immediate relative of	
	i. Name of the immediate relative of DP	Not applicable
-	ii. PAN of the immediate relative of DP	Not applicable
100	C. Details of transaction(s)	
HHA	i. Name of the scrip	BSE - 543942
		NSE – UTKARSHBNK
i i i i	ii. No of shares traded and	The number and value of shares traded are
ш	value (Rs.) (Date- wise)	provided below.
i ii i	D. In case value of trade(s) is more than R	s.10 lacs in a calendar quarter
	i. Date of intimation of trade(s) by	Not applicable
1.43	concerned	E ESSES E E LANCE
	DP/director/promoter/promoter	
	group to Company under regulation	
	7 of SEBI (PIT) Regulations, 2015  ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	ποι αρμπίαυτε
	regulation 7 of SEBI (PIT)	
	Regulations, 2015	

4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure and undertaking contra trade.				
		Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value
		21-07-2023	Subscribed in IPO	830	25.00	20,750
		24-07-2023	Sell	310	55.00	17,050
		26-07-2023	Buy	10	50.95	509.50
5.	Action taken by Listed	The Bank imp				
	company <del>/Intermediary/Fiduciary</del>	directed the D				
		disgorgement of the profits made out of the contra tra in the SEBI IPEF.				tra trades
6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.				
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable				
8.	If any amount collected for Code of Conc	luct violation(s)				
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online			w	
	ii. Details of transfer/payment In case of Online:	A THE			12	EMIE
11	Particulars	Details				
l W	Name of the transferor	Naincy Srivast	ava			
0	Bank Name, branch and Account number	Canara Bank Orderly Bazaar				
111		##########	4706			
11.	UTR/Transaction reference Number	11300				
14	Transaction date	December 28,	2023	-		
	Transaction Amount (in Rs.)	11300	Marine Sala		- 1465	
9.	Any other relevant information	Nil			100000	

SHEER

Sr. No.	Particulars	Details
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company <del>/Intermediary/Fiduciary</del>	
2.	Please tick appropriate checkbox	Listed Company
	Reporting in capacity of:	
	☐ Listed Company	
	☐ Intermediary	
	☐ Fiduciary	
3.	A. Details of Designated Person (DP)	
	i. Name of the DP	Sukhanpal Singh
	ii. PAN of the DP	
	iii. Designation of DP	Zonal Sales Manager
	iv. Functional Role of DP	Housing Loan
11111	v. Whether DP is Promoter or belongs to Promoter Group	No
	B. If Reporting is for immediate relative of	of DP
1	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
M	C. Details of transaction(s)	
HAT	i. Name of the scrip	BSE - 543942
		NSE – UTKARSHBNK
i i i	ii. No of shares traded and	The number and value of shares traded are
	value (Rs.) (Date- wise)	provided below.
	D. In case value of trade(s) is more than R	ts.10 facs in a calendar quarter
	i. Date of intimation of trade(s) by	
1.6:3	concerned	H DESCRIPTION OF THE PARTY OF T
	DP/director/promoter/promoter	
	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	The concerned DP has neither obtained pre- clearance nor has intimated to the Bank.
	ii. Date of intimation of trade(s) by	clearance nor has intimated to the bank.
	Company to stock exchanges under	
-	regulation 7 of SEBI (PIT)	
	Regulations, 2015	



	4. Details of violations observed under Violation of the Bank's Code for tradin						ading du	ring window	
		Code of Conduct	(	closure.					
			lг	D.	c	m	0 "	m 1	m 1 1
					of	Type	Quantity	Trade	Traded
				Transactio			Traded	rate	value
				10-10-202		ESOP	41,250	27.00	11,13,750
				16-10-202		Sell	30,000	55.2	16,56,000
	5.	Action taken by Listed							0 on the DP
		company <del>/Intermediary/Fiduciary</del>						DP in the	e SEBI IPEF.
	6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.						
	7.	Details of the previous instances of	]	Not applica	ble				
		violations, if any, since last financial year							- LW
L	8.	If any amount collected for Code of Conduct violation(s)							
THREE	1111	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	(	Online					40
r		<ul><li>ii. Details of transfer/payment</li><li>In case of Online:</li></ul>							6
		Particulars	]	Details					
F		Name of the transferor		Sukhanpal S	Sing	gh			
77077		Bank Name, branch and Account		HDFC BANK	K				THE VEHICLE
		number		Udyog Viha ########		_	n		
FILE	11/1	UTR/Transaction reference Number	1	231222172	265	3128			
11111	1717	Transaction date	]	December 2	22,	2023			
FILE	1111	Transaction Amount (in Rs.)	_	2000					
11.311.7	9.	Any other relevant information	l	Nil	1			-	

Sr.	Particulars	Details
No.	N Cal II a	The locality is a
1.	Name of the listed	Utkarsh Small Finance Bank Limited
<u> </u>	company <del>/Intermediary/Fiduciary</del>	I into 1 Commonwell
2.	Please tick appropriate checkbox	Listed Company
	Reporting in capacity of :	
	☐ Listed Company	
	□ Intermediary	
	☐ Fiduciary	
3.	A. Details of Designated Person (DP)	
	i. Name of the DP	Saptadeep Guha
	ii. PAN of the DP	
	iii. Designation of DP	Branch Head
	iv. Functional Role of DP	Liabilities
	v. Whether DP is Promoter or	No
	belongs to Promoter Group	.f. D.D.
	B. If Reporting is for immediate relative of DP  i. Name of the immediate relative of DP	
	<ul><li>i. Name of the immediate relative of DP</li><li>ii. PAN of the immediate relative of DP</li></ul>	Not applicable  Not applicable
	C. Details of transaction(s)	Not applicable
000	C. Details of transaction(s)	
N II A	i. Name of the scrip	BSE - 543942
000		NSE – UTKARSHBNK
14 6	ii. No of shares traded and	The number and value of shares traded are
	value (Rs.) (Date- wise)	provided below.
	D. In case value of trade(s) is more than R	s.10 lacs in a calendar quarter
111	i. Date of intimation of trade(s) by	Not applicable
北华淮	concerned	THE PROPERTY OF THE PARTY OF TH
	DP/director/promoter/promoter	
	group to Company under regulation	THE EXPLICATION IN A PARTY NAMED IN
	7 of SEBI (PIT) Regulations, 2015	
18.0	ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	
	regulation 7 of SEBI (PIT)	
	Regulations, 2015	

4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.				
		Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value
		10-10-2023	ESOP	10,000	27.00	2,70,000
		13-10-2023	Sell	10,000	54.94	5,49,400
5.	Action taken by Listed	The Bank imp				
	company <del>/Intermediary/Fiduciary</del>	which has beer	n deposi	ted by the I	OP in the	SEBI IPEF.
6.	Reasons recorded in writing for taking	Violation of the	e Bank's	Code.		
	action stated above			W 10		
7.	Details of the previous instances of	Not applicable				
	violations, if any, since last financial year					
8.	If any amount collected for Code of Conduc	ct violation(s)				
	i. Mode of transfer to SEBI – IPEF	Online		di-order of the	-11	
	(Online/Demand Draft)					
1111	ii. Details of transfer/payment					
	In case of Online:					
	Particulars	Details			18	
	Name of the transferor	Saptadeep Guh	ia			A CONTRACT
_	Bank Name, branch and Account	ICICI Bank				
	number	Bangalore				JE VE ED
11.11.1		#######711	16			
1111	UTR/Transaction reference Number	231225172795	5736			
	Transaction date	December 25, 2	2023			
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil			The same	

Sr.	Particulars	Details			
No.	N	Halanda Con all Firms and Doub Limited			
1.	Name of the listed	Utkarsh Small Finance Bank Limited			
<u> </u>	company <del>/Intermediary/Fiduciary</del>	1: - 10			
2.	Please tick appropriate checkbox	Listed Company			
	Reporting in capacity of:				
	☐ Listed Company				
	☐ Intermediary				
	☐ Fiduciary				
3.	A. Details of Designated Person (DP)				
	i. Name of the DP	Alok Singh			
	ii. PAN of the DP				
	iii. Designation of DP	Branch Head			
	iv. Functional Role of DP	Liabilities			
	v. Whether DP is Promoter or	No			
	belongs to Promoter Group				
	B. If Reporting is for immediate relative				
	iii. Name of the immediate relative of DP				
	iv. PAN of the immediate relative of DP	Not applicable			
000	C. Details of transaction(s)				
100	i. Name of the scrip	BSE - 543942			
400		NSE – UTKARSHBNK			
1 11 0	ii. No of shares traded and value (Rs.)	The number and value of shares traded are			
	(Date- wise)	provided below.			
4	D. In case value of trade(s) is more than	Rs.10 lacs in a calendar quarter			
N.	i. Date of intimation of trade(s) by	Not applicable			
	concerned	III DESCRIPTION TO THE PARTY OF			
	DP/director/promoter/promoter				
	group to Company under regulation	THE COUNTY IN A PROPERTY.			
	7 of SEBI (PIT) Regulations, 2015				
18.7	ii. Date of intimation of trade(s) by				
	Company to stock exchanges under				
	regulation 7 of SEBI (PIT)				
	Regulations, 2015				

4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.				
		Date of Transaction	Typ e	Quantit y Traded	Trade rate	Traded value
	A 1 1 1 1 1	25-07-2023	Buy	55	54.25	2,983.75
5.	Action taken by Listed company <del>/Intermediary/Fiduciary</del>	The Bank impo which has been				
6.	Reasons recorded in writing for taking action stated above	Violation of the	Bank's	Code.		
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable				
8.	If any amount collected for Code of Conduc	ct violation(s)				
	<ul> <li>i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)</li> </ul>	Online	i			
	ii. Details of transfer/payment In case of Online:					63
	Particulars	Details	THE			
	Name of the transferor	Alok Singh				La Crava
	Bank Name, branch and Account	231228173009				
	number	Sion (E) Mumba ########5				MERCHE
HAL	UTR/Transaction reference Number	231228173009				
	Transaction date	December 28, 2	023			
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil			The same	

Sr.	Particulars	Details
No.	N Cal lead	Ital 1 C UE: D 1 II: '- 1
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company <del>/Intermediary/Fiduciary</del>	Links I Commonwell
2.	Please tick appropriate checkbox	Listed Company
	Reporting in capacity of:	
	☐ Listed Company	
	☐ Intermediary	
	☐ Fiduciary	
3.	A. Details of Designated Person (DP)	
	i. Name of the DP	Anil Kumar Bind
	ii. PAN of the DP	
	iii. Designation of DP	Assistant Manager – 1
	iv. Functional Role of DP	Accounts
11 11 11	v. Whether DP is Promoter or	No
	belongs to Promoter Group	
	B. If Reporting is for immediate relative of	of DP
111	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	C. Details of transaction(s)	
HA	i. Name of the scrip	BSE – 543942
		NSE – UTKARSHBNK
TITA	ii. No of shares traded and	The number and value of shares traded are
	value (Rs.) (Date- wise)	provided below.
	D. In case value of trade(s) is more than R	Rs.10 lacs in a calendar quarter
	i. Date of intimation of trade(s) by	Not applicable
	concerned	I ISLES E II LANGE
	DP/director/promoter/promoter	
	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	
	ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	Trot applicable
-	regulation 7 of SEBI (PIT)	
	Regulations, 2015	

4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure and undertaking contra trades.				
		Date of	Туре	Quantity	Trade	Traded
		Transaction		Traded	rate	value
		04-09-2023	Buy	10	47.95	479.50
		04-09-2023	Sell	10	47.85	478.50
		20-10-2023	Buy	90	53.25	4,792.50
		31-10-2023	Buy	40	49.85	1,994.00
5.	Action taken by Listed	The Bank impo	osed a j	penalty of	Rs. 2,000	on the DP
	company <del>/Intermediary/Fiduciary</del>	which has beer	depos	ited by the	DP in the	e SEBI IPEF.
		No profit was i	nade by	the DP on	executio	on of contra
		trades.				
6.	Reasons recorded in writing for taking	Violation of the	Bank's	Code.		
	action stated above				100	
7.	Details of the previous instances of	Not applicable				
1000	violations, if any, since last financial year					
8.	If any amount collected for Code of Conduc	ct violation(s)				
	i. Mode of transfer to SEBI – IPEF	Online				
	(Online/Demand Draft)					
	ii. Details of transfer/payment					i kasisali
	In case of Online:					UPVELED
	Particulars	Details				
171-1	Name of the transferor	Anil Kumar Bin			1	
	Bank Name, branch and Account	Union Bank of I	India			
1717	number	Gopiganj				
JUE		##########			160	
171	UTR/Transaction reference Number	231226172841				
	Transaction date	December 26, 2023				
674.4	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil		F-1		PRINTER.

Sr. No.	Particulars	Details
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company <del>/Intermediary/Fiduciary</del>	
2.	Please tick appropriate checkbox	Listed Company
	Reporting in capacity of:	
	☐ Listed Company	
	☐ Intermediary	
	□ Fiduciary	
3.	A. Details of Designated Person (DP)	
	i. Name of the DP	Pradeep Kumar
	ii. PAN of the DP	
	iii. Designation of DP	Regional Manager
	iv. Functional Role of DP	Credit
11111	v. Whether DP is Promoter or belongs to Promoter Group	No
	B. If Reporting is for immediate relative of	of DP
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
M	C. Details of transaction(s)	THE THE PERSON NAMED IN TH
HAT	i. Name of the scrip	BSE - 543942
		NSE – UTKARSHBNK
Hi	ii. No of shares traded and	The number and value of shares traded are
	value (Rs.) (Date- wise)	provided below.
	D. In case value of trade(s) is more than R	ls.10 lacs in a calendar quarter
	i. Date of intimation of trade(s) by	Not applicable
141	concerned	THE PERSON AS A PE
	DP/director/promoter/promoter	
	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	
	ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	Trot applicable
	regulation 7 of SEBI (PIT)	
	Regulations, 2015	

4.	Details of violations observed under	Violation of the Bank's Code for trading during				ing during
	Code of Conduct	window closur	e.			
		Date of	Туре	Quantity	Trade	Traded
		Transaction		Traded	rate	value
		21-07-2023	Buy	138	39.00	5,382.00
5.	Action taken by Listed	The Bank imp	osed a j	penalty of	Rs. 2,000	on the DP
	company <del>/Intermediary/Fiduciary</del>	which has beer	ı deposi	ted by the l	DP in the	SEBI IPEF.
6.	Reasons recorded in writing for taking	Violation of the	Bank's	Code.		
	action stated above					
7.	Details of the previous instances of	Not applicable				
	violations, if any, since last financial year					
8.	If any amount collected for Code of Conduc	ny amount collected for Code of Conduct violation(s)				
	i. Mode of transfer to SEBI – IPEF	Online				
	(Online/Demand Draft)					
	ii. Details of transfer/payment	THE REAL PROPERTY.				
1111	In case of Online:					
	Particulars	Details			4	
	Name of the transferor	Pradeep Kumar				
	Bank Name, branch and Account	HDFC BANK				
	number	BOKARO, JHARKHAND				
75 (1-8)		########7748				
	UTR/Transaction reference Number	231227172967	7989			
ATT	Transaction date	December 27, 2	2023			
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil				

Sr. No.	Particulars	Details				
1.	Name of the listed company <del>/Intermediary/Fiduciary</del>	Utkarsh Small Finance Bank Limited				
2.	Please tick appropriate checkbox Reporting in capacity of: □ Listed Company □ Intermediary □ Fiduciary	Listed Company				
3.	A. Details of Designated Person (DP)					
	i. Name of the DP	Rajib Paul				
	ii. PAN of the DP					
	iii. Designation of DP	Assistant Vice President With effect from October 16, 2023 Mr. Paul has left the organisation.				
RESES.	iv. Functional Role of DP	Operations				
ĦН	v. Whether DP is Promoter or belongs to Promoter Group	No				
	B. If Reporting is for immediate relative of DP					
TITLE	i. Name of the immediate relative of DP	Not applicable				
	<ul><li>ii. PAN of the immediate relative of DP</li><li>C. Details of transaction(s)</li></ul>	Not applicable				
100						
**	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK				
	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.				
	D. In case value of trade(s) is more than R					
	iii. 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				
	iv. 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	Violation of the closure and un			ing duri	ng window
		Date of	Туре	Quantity	Trade	Traded
		Transaction		Traded	rate	value
		21-07-2023	Subscribed in IPO	3,316	25.00	82,900
		21-07-2023	Sell	3,316	39.00	1,29,324
		21-07-2023	Buy	2,800	46.00	1,28,800
		21-07-2023	Sell	2,800	47.25	1,32,300
5.	Action taken by Listed	The Bank imposed a penalty of Rs. 2,000 on the DP which				e DP which
	company <del>/Intermediary/Fiduciary</del>	has been deposited by the DP in the SEBI IPEF				
6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.				
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable				
8.	If any amount collected for Code of Co	nduct violation(	s)			
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				
TIT	ii. Details of transfer/payment In case of Online:					
W	Particulars	Details				
176	Name of the transferor	Rajib Paul				
	Bank Name, branch and Account	Indusind Bank	Limited			
171	number	#######6541				
Ļį	UTR/Transaction reference Number	231222172634128				
	Transaction date	December 22, 2023				
1713	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	The Employee has left the organization.				

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Sr. No.	Particulars	Details			
1.	Name of the listed	Utkarsh Small Finance Bank Limited			
1.	company <del>/Intermediary/Fiduciary</del>	Otkarsh shian i mance bank binned			
2.	Please tick appropriate checkbox Reporting in capacity of:  Listed Company  Intermediary	Listed Company			
	☐ Fiduciary				
3.	A. Details of Designated Person (DP)				
	i. Name of the DP	Parimal Mondal			
	ii. PAN of the DP				
	iii. Designation of DP	Assistant Manager -II			
	iv. Functional Role of DP	Risk Management			
	v. Whether DP is Promoter or belongs to Promoter Group	No			
	B. If Reporting is for immediate relative of	of DP			
	i. Name of the immediate relative of DP	Not applicable			
	ii. PAN of the immediate relative of DP	Not applicable			
	C. Details of transaction(s)				
	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK			
	ii. No of shares traded and	The number and value of shares traded are			
11.	value (Rs.) (Date- wise)	provided below.			
	D. In case value of trade(s) is more than F	Rs.10 lacs in a calendar quarter			
	i. Date of intimation of trade(s) by concerned	Not applicable			
	DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015				
	ii. Date of intimation of trade(s) by Company to stock exchanges under	Not applicable			
	regulation 7 of SEBI (PIT) Regulations, 2015				

4.	Details of violations observed under	Violation of the Bank's Code for trading durin				ding during
	Code of Conduct	window closus	re.			
		Date of	Туре	Quantity	Trade	Traded
		Transaction		Traded	rate	value
		16-10-2023	Buy	1,377	57.90	79,728.30
5.	Action taken by Listed	The Bank imp	osed a	penalty of	Rs. 2,00	0 on the DP
	company <del>/Intermediary/Fiduciary</del>	which has been deposited by the DP in the SEBI IPEF.			e SEBI IPEF.	
6.	Reasons recorded in writing for taking	Violation of the Bank's Code.				
	action stated above					
7.	Details of the previous instances of	Not applicable				
	violations, if any, since last financial year					
8.	If any amount collected for Code of Conduc	ct violation(s)				
	i. Mode of transfer to SEBI – IPEF	Online				
	(Online/Demand Draft)					
	ii. Details of transfer/payment					
1111	In case of Online:					
	Particulars	Details				
	Name of the transferor	Parimal Mondal				
	Bank Name, branch and Account	Axis Bank				
	number	Bidhannagar, l	Durgapı	ır		
75 (1-8)		##########	#7841			
	UTR/Transaction reference Number	23122717291	0298			
AIT	Transaction date	December 27,	2023			
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil				

Sr.	Particulars	Details				
No.	N Cal II a	The locality is a				
1.	Name of the listed	Utkarsh Small Finance Bank Limited				
<u> </u>	company <del>/Intermediary/Fiduciary</del>	1110				
2.	Please tick appropriate checkbox	Listed Company				
	Reporting in capacity of:					
	☐ Listed Company					
	☐ Intermediary					
	☐ Fiduciary					
3.	A. Details of Designated Person (DP)					
	i. Name of the DP	Kantala Prassanna Rao				
	ii. PAN of the DP					
	iii. Designation of DP	Assistant Vice President				
	iv. Functional Role of DP	Operations				
1111	v. Whether DP is Promoter or	No				
	belongs to Promoter Group	CDD				
B. If Reporting is for immediate relative of DP						
	i. Name of the immediate relative of DP	Not applicable				
	ii. PAN of the immediate relative of DP	Not applicable				
100	C. Details of transaction(s)					
100	i. Name of the scrip	BSE - 543942				
400		NSE – UTKARSHBNK				
11 5	ii. No of shares traded and	The number and value of shares traded are				
0000	value (Rs.) (Date- wise)	provided below.				
	D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter					
	i. Date of intimation of trade(s) by	Not applicable				
北华北	concerned	THE PROPERTY OF THE PARTY OF TH				
	DP/director/promoter/promoter					
	group to Company under regulation	THE COUNTY OF STREET,				
	7 of SEBI (PIT) Regulations, 2015					
18.7	ii. Date of intimation of trade(s) by	Not applicable				
	Company to stock exchanges under					
	regulation 7 of SEBI (PIT)					
	Regulations, 2015					

4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.			ng during	
		Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value
		17-10-2023 20-10-2023	Buy Buy	200 100	54.47 53.06	10,894 5,306
		25-10-2023	Buy	100	48.76	4,876
5.	Action taken by Listed company <del>/Intermediary/Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the D which has been deposited by the DP in the SEBI IPEF.				
6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.				
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable				
8.	If any amount collected for Code of Conduc					
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				4
	<ul><li>ii. Details of transfer/payment</li><li>In case of Online:</li></ul>					6
	Particulars	Details	- 1			
-	Name of the transferor	Kantala Prassan	na Rao		واللوا الله	
	Bank Name, branch and Account number	State Bank of India Hyderabad Uppal ######0494			E/C/EC	
	UTR/Transaction reference Number	231227172964641				
1111	Transaction date	December 27, 2023				
Transaction Amount (in Rs.) 2000					1	
9.	Any other relevant information	Nil				

Sr. No.	Particulars	Details
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company <del>/Intermediary/Fiduciary</del>	
2.	Please tick appropriate checkbox	Listed Company
	Reporting in capacity of :	
	☐ Listed Company	
	□ Intermediary	
	☐ Fiduciary	
3.	A. Details of Designated Person (DP)	
	i. Name of the DP	Pinaki Bhattacharya
	ii. PAN of the DP	
	iii. Designation of DP	Chief Manager
	iv. Functional Role of DP	HR & Training
11111	v. Whether DP is Promoter or	No
	belongs to Promoter Group	
	B. If Reporting is for immediate relative of	of DP
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	C. Details of transaction(s)	
110	i. Name of the scrip	BSE – 543942
		NSE – UTKARSHBNK
	ii. No of shares traded and value (Rs.)	The number and value of shares traded are
ш	(Date- wise)	provided below.
iii	D. In case value of trade(s) is more than R	Rs.10 lacs in a calendar quarter
	i. Date of intimation of trade(s) by	Not applicable
	concerned	I DESCRIPTION OF THE PARTY OF T
	DP/director/promoter/promoter	
	group to Company under regulation	
	7 of SEBI (PIT) Regulations, 2015	N 1: 11
	ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	
	regulation 7 of SEBI (PIT)	
	Regulations, 2015	

4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure and undertaking contra trade.				ring window
		Date of	Туре	Quantity	Trade	Traded
		Transaction	Турс	Traded	rate	value
		21-07-2023	Subscribed	829	25.00	20,725
			in IPO	027	20.00	20,720
		24-07-2023	Sell	100	54.95	5,495
		04-09-2023	Sell	416	47.93	19,938.88
5.	Action taken by Listed	The Bank imp	osed a penal	ty of Rs. 5	,000 on	the DP and
	company <del>/Intermediary/Fiduciary</del>	directed the I				
		disgorgement of the profits made out of the contra trades				
		towards SEBI IPEF.				
6.	Reasons recorded in writing for	Violation of the Bank's Code.				
	taking action stated above					
7.	Details of the previous instances of	Not applicable				
1111	violations, if any, since last financial					
	year					
8.	If any amount collected for Code of Co	nduct violation(	s)			
	i. Mode of transfer to SEBI -	Online				
	IPEF (Online/Demand Draft)					
7671	ii. Details of transfer/payment					TUE VILLED
W	In case of Online:					
1111	Particulars	Details				
W	Name of the transferor	Pinaki Bhattac	narya			
11 (1)	Bank Name, branch and Account	Utkarsh Small		Ltd		
U.V	number	Orderly Bazar, Varanasi				
BA		##########5484				
	UTR/Transaction reference	336218763965				
10	Number					
	Transaction date	December 28, 2023				
	Transaction Amount (in Rs.)	17,534.00				
9.	Any other relevant information	Nil				

Sr. No.	Particulars	Details			
1.	Name of the listed company/Intermediary/Fiduciary	Utkarsh Small Finance Bank Limited			
2.	Please tick appropriate checkbox  Reporting in capacity of:  Listed Company  Intermediary  Fiduciary	Listed Company			
3.	A. Details of Designated Person (DP)				
	i. Name of the DP	Jyoti Singh			
	ii. PAN of the DP				
	iii. Designation of DP	Senior Executive			
	iv. Functional Role of DP	Accounts			
	v. Whether DP is Promoter or belongs to Promoter Group	No			
B. If Reporting is for immediate relative of DP					
	<ul><li>i. Name of the immediate relative of DP</li><li>ii. PAN of the immediate relative of DP</li></ul>	Not applicable Not applicable			
M	C. Details of transaction(s)	I LOVE APPROXIMENT			
H	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK			
	ii. No of shares traded and value (Rs.) (Date-wise)	The number and value of shares traded are provided below.			
	D. In case value of trade(s) is more than I	Rs.10 lacs in a calendar quarter			
	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	Violation of the Bank's Code for trading during window closure and undertaking contra trade.		g window		
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		21-07-2023	Subscribed in IPO	600	25.00	15,000
		21-07-2023	Sell	600	48.00	28,800
		27-07-2023	Buy	100	48.6	4,860
		27-07-2023	Buy	100	48.6	4,860
		28-07-2023	Buy	20	48.25	965
5.	Action taken by Listed	The Bank imp				
	company <del>/Intermediary/Fiduciary</del>	directed the D				
		disgorgement towards SEBI		made out o	f the con	tra trades
6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.				
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable				
8.	If any amount collected for Code of Conc	duct violation(s)			LU	
III	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online			II W	EVELEC
II	ii. Details of transfer/payment In case of Online:					
'n	Particulars	Details				
	Name of the transferor	Jyoti Singh			16	
	Bank Name, branch and Account number	State Bank of India Uttar Pradesh ######2783				
	UTR/Transaction reference Number	ce Number 306737				
	Transaction date	December 28,	2023			
	Transaction Amount (in Rs.)	15800	LEVIL RUSSY		MES	
9.	Any other relevant information	Nil				

	Sr. No.	Particulars	Details					
	1.	Name of the listed company <del>/Intermediary/Fiduciary</del>	Utkarsh Small Finance Bank Limited					
	2.	Please tick appropriate checkbox Reporting in capacity of: □ Listed Company □ Intermediary □ Fiduciary	Listed Company					
	3.	A. Details of Designated Person (DP)						
		i. Name of the DP	Anchal Jaiswal					
		ii. PAN of the DP						
		iii. Designation of DP	Executive					
		iv. Functional Role of DP	Accounts					
SHIP		v. Whether DP is Promoter or belongs to Promoter Group	No					
		B. If Reporting is for immediate relative of	f DP					
		i. Name of the immediate relative of DP	Not applicable					
F	_	ii. PAN of the immediate relative of DP	Not applicable					
- 111		C. Details of transaction(s)						
	i	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK					
	iii	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.					
1 1111		D. In case value of trade(s) is more than R						
		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	Violation of the Bank's Code for trading during window closure and undertaking contra trade.				
		Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value
		21-07-2023	Subscribed in IPO	600	25.00	15,000
		21-07-2023	Sell	350	43.04	15,064
5.	Action taken by Listed company <del>/Intermediary/Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP and directed the DP to deposit a sum of INR 6,314 towards disgorgement of the profits made out of the contra trades towards SEBI IPEF.				4 towards
6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.				
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable				
8.	If any amount collected for Code of Cond	luct violation(s)			- 3	1
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				
	ii. Details of transfer/payment In case of Online:				V.A	
W	Particulars	Details				
IF/IF	Name of the transferor	Anchal Jaiswal				
	Bank Name, branch and Account	Union Bank of	India			
	number	Varanasi #########4223				
100	UTR/Transaction reference Number	er 231227172978144				
	Transaction date	December 27,	2023			
18.3	Transaction Amount (in Rs.)	8314				
9.	Any other relevant information	Nil				

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Sr. No.	Particulars	Details		
1.	Name of the listed	Utkarsh Small Finance Bank Limited		
1.	company <del>/Intermediary/Fiduciary</del>	Otkarsh shan i manee bank binneed		
2.	Please tick appropriate checkbox	Listed Company		
	Reporting in capacity of:			
	☐ Listed Company			
	□ Intermediary			
	☐ Fiduciary			
3.	A. Details of Designated Person (DP)			
	i. Name of the DP	Amaresh Chandra Sahoo		
	ii. PAN of the DP			
	iii. Designation of DP	Channel credit Manager		
11 11 11	iv. Functional Role of DP	Credit		
	v. Whether DP is Promoter or	No		
	belongs to Promoter Group  B. If Reporting is for immediate relative of	of DP		
	i. Name of the immediate relative of DP	Not applicable		
	ii. PAN of the immediate relative of DP	Not applicable		
	C. Details of transaction(s)			
	i. Name of the scrip	BSE - 543942		
	i. Name of the scrip	NSE – UTKARSHBNK		
	ii. No of shares traded and	The number and value of shares traded are		
111.11	value (Rs.) (Date- wise)	provided below.		
	D. In case value of trade(s) is more than R			
	i. Date of intimation of trade(s) by	Not applicable		
	concerned			
	DP/director/promoter/promoter	THE SHARES IN THE PASSAGE.		
	group to Company under regulation			
	7 of SEBI (PIT) Regulations, 2015	N. W. IV		
	ii. Date of intimation of trade(s) by	Not applicable		
	Company to stock exchanges under regulation 7 of SEBI (PIT)			
	,			
	Regulations, 2015			



4.	Details of violations observed under	Violation of the Bank's Code for trading during				
4.	Code of Conduct	window closure				
	Code of Conduct	willdow closure	anu un	iuei takilig t	Juliu a ti a	iue.
		Date of	Туре	Quantity	Trade	Traded
		Transaction	Type	Traded	rate	value
		27-10-2023	Buy	1,000	50.37	50,370
		08-11-2023	Sell	1,000	50.65	50,650
5.	Action taken by Listed	The Bank impos		,		
5.	company <del>/Intermediary/Fiduciary</del>	directed the DP				
		disgorgement of				
		trades towards			0 0 0 0 1	circ correra
6.	Reasons recorded in writing for taking	Violation of the				
	action stated above					
7.	Details of the previous instances of	Not applicable			4	
	violations, if any, since last financial year					
8.	If any amount collected for Code of Conduc	ct violation(s)				4
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				61
	ii. Details of transfer/payment					
	In case of Online:					
	Particulars	Details		rittin (1	7	
	Name of the transferor	Amaresh Chand	ra Saho	0		
ATE	Bank Name, branch and Account	Suryoday Small	Finance	e Bank Ltd		
	number	Lewis Road, Bhubaneswar				
1717		#######4460				
	UTR/Transaction reference Number	231227172965960				
in it i	Transaction date	December 27, 2	023			
	Transaction Amount (in Rs.)	2280				
9.	Any other relevant information	Nil				

Sr. No.	Particulars	Details			
1.	Name of the listed	Utkarsh Small Finance Bank Limited			
1	company <del>/Intermediary/Fiduciary</del>	o that sit sittan i manoe saint sitteea			
2.	Please tick appropriate checkbox	Listed Company			
	Reporting in capacity of :				
	☐ Listed Company				
	☐ Intermediary				
	☐ Fiduciary				
3.	A. Details of Designated Person (DP)				
	i. Name of the DP	Umesh Arun Ranade			
	ii. PAN of the DP				
	iii. Designation of DP	National Audit Manager			
	iv. Functional Role of DP	Information Security Audit			
	v. Whether DP is Promoter or belongs to Promoter Group	No			
B. If Reporting is for immediate relative of DP					
	i. Name of the immediate relative of DP	Not applicable			
	ii. PAN of the immediate relative of DP	Not applicable			
	C. Details of transaction(s)				
HHA	i. Name of the scrip	BSE - 543942			
		NSE – UTKARSHBNK			
111	ii. No of shares traded and	The number and value of shares traded are			
	value (Rs.) (Date- wise)	provided below.			
	D. In case value of trade(s) is more than R	ts.10 lacs in a calendar quarter			
	i. Date of intimation of trade(s) by	Not applicable			
141	concerned	THE RESIDENCE OF THE PARTY OF T			
	DP/director/promoter/promoter				
	group to Company under regulation				
	7 of SEBI (PIT) Regulations, 2015  ii. Date of intimation of trade(s) by	Not applicable			
	Company to stock exchanges under	not applicable			
-	regulation 7 of SEBI (PIT)				
	Regulations, 2015				

4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure and undertaking contra trade.					
		Date of	Туре	Quantity	Trade	Traded	
		Transaction		Traded	rate	value	
		21-07-2023	Subscribed in IPO	5,390	25.00	1,34,750	
		21-07-2023	Sell	3,590	39.1	1,40,369	
5.	Action taken by Listed	The Bank imp	osed a penal	ty of Rs. 2,	000 on	the DP and	
	company <del>/Intermediary/Fiduciary</del>	directed the DP to deposit a sum of INR 50,619 towards					
		disgorgement of the profits made out of the contra trades towards SEBI IPEF.					
6.	Reasons recorded in writing for taking action stated above	Violation of the Bank's Code.					
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable					
8.	If any amount collected for Code of Con	nduct violation(s	)			13	
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				-	
	ii. Details of transfer/payment					I lateral and	
	In case of Online:						
	Particulars	Details					
	Name of the transferor	Umesh Arun R	anade				
	Bank Name, branch and Account	Saraswat Bank	ζ				
	number	Vashi			The same		
	TATALANDER Lot. 1 III	##########		-			
	UTR/Transaction reference Number	23122617287					
	Transaction date	December 26, 2023					
	Transaction Amount (in Rs.)	52619		F4. F	200	SOLL.	
9.	Any other relevant information	Nil					



Sr. No.		Particulars	Details				
1.		of the listed	Utkarsh Small Finance Bank Limited				
		nny <del>/Intermediary/Fiduciary</del>					
2.		tick appropriate checkbox	Listed Company				
	_	ting in capacity of :					
		Listed Company					
		Intermediary					
		Fiduciary					
3.	A.	Details of Designated Person (DP)					
	i.	Name of the DP	Nikhil Singh Yadav				
	ii.	PAN of the DP					
	iii.	Designation of DP	Assistant Manager				
	iv.	Functional Role of DP	Compliance				
ERRH.	v.	Whether DP is Promoter or belongs to Promoter Group	No				
	B. If	Reporting is for immediate relative	of DP				
	i.	Name of the immediate relative of DP	Not applicable				
	ii.	PAN of the immediate relative of DP	Not applicable				
	C. D	etails of transaction(s)	ACCEPT.				
Ť		i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK				
	iii	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.				
10.0	D. In	case value of trade(s) is more than I					
	i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation	Not applicable				
		7 of SEBI (PIT) Regulations, 2015					
	ii.	Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable				

THEFT

4.	Details of violations observed under	Violation	of t	ha Ran	k's Code f	or tradia	ng during
T.	Code of Conduct	Violation of the Bank's Code for trading during window closure.					
	Code of Conduct	willdow closure.					
		Data	o C	Т	0	Tuada	Tueded
		Date	of	Type	Quantity	Trade	Traded
		Transact			Traded	rate	value
		24-07-20		Buy	8	55.35	442.80
5.	Action taken by Listed	The Bank	impo	osed a p	enalty of R	s. 2,000	on the DP
	company <del>/Intermediary/Fiduciary</del>	which has	been	deposit	ed by the D	P in the S	EBI IPEF.
6.	Reasons recorded in writing for taking	Violation of	of the	Bank's	Code.		
	action stated above						
7.	Details of the previous instances of	Not applic	able		10 No.		
	violations, if any, since last financial year	11					
8.	-	ct violation(	s)				
	i. Mode of transfer to SEBI – IPEF	Online					
	(Online/Demand Draft)						
	ii. Details of transfer/payment			71-14-11-1		VIII -	
ERES	100000000000000000000000000000000000000						
	In case of Online:						
	Particulars	Details					
	Name of the transferor	Nikhil Sing	gh Ya	dav			
	Bank Name, branch and Account	HDFC Ban					Lead Set
75 (1) (1)	number	Lalpur - Ut	tar P	radesh		7.1	
11111		#########1576					
1111	UTR/Transaction reference Number	33618128					
	Transaction date	December	27, 2	2023			
111	Transaction Amount (in Rs.)	2000					
9.	Any other relevant information	Nil				1	

Sr. No.	Particulars	Details		
1.	Name of the listed	Utkarsh Small Finance Bank Limited		
	company <del>/Intermediary/Fiduciary</del>			
2.	Please tick appropriate checkbox	Listed Company		
	Reporting in capacity of :			
	☐ Listed Company			
	☐ Intermediary			
	☐ Fiduciary			
3.	A. Details of Designated Person (DP)			
	i. Name of the DP	Hemant Kumar Pathak		
	ii. PAN of the DP			
	iii. Designation of DP	Deputy Vice President		
	iv. Functional Role of DP	Micro – Loan against property		
11111	v. Whether DP is Promoter or belongs to Promoter Group	No		
	B. If Reporting is for immediate relative of DP			
	i. Name of the immediate relative of DP	Not applicable		
	ii. PAN of the immediate relative of DP	Not applicable		
200	C. Details of transaction(s)			
	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK		
	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.		
6101	D. In case value of trade(s) is more than R	s.10 lacs in a calendar quarter		
	<ul> <li>i. Date of intimation of trade(s) by concerned</li> <li>DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015</li> </ul>	Not applicable		
2	<ul><li>ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015</li></ul>	Not applicable		

4.		Violation of the Bank's Code for trading during				
	Code of Conduct	window closure	2.			
		Data	Т	0	Tuada	Tueded
		Date of Transaction	Туре	Quantity Traded	Trade	Traded value
		08-10-2023	Door	200	rate 50.40	
5.	Action taken by Listed	The Bank impo	Buy			10,080
ا ٥.	company <del>/Intermediary/Fiduciary</del>	which has been				
6	Reasons recorded in writing for taking	Violation of the			or ill tile s	DEDITEE.
0.	action stated above	Violation of the	Dalik S	coue.		
7.	Details of the previous instances of	Not applicable				
1	violations, if any, since last financial year	11	10.0			
8.		ct violation(s)				
	i. Mode of transfer to SEBI – IPEF	Online				
	(Online/Demand Draft)					
	ii. Details of transfer/payment					
BREE						
	In case of Online:					
	Particulars	Details				
	Name of the transferor	Hemant Kumar			113	
-	Bank Name, branch and Account	HDFC Bank Lim	ited			
71 (1 1	number	Nerul				
11.11.1		########1700				
	UTR/Transaction reference Number	231228173070				
	Transaction date	December 28, 2	023			
10717	Transaction Amount (in Rs.)	5000				
9.	Any other relevant information	Nil				

Sr. No.	Particulars	Details				
1.	Name of the listed	Utkarsh Small Finance Bank Limited				
	company <del>/Intermediary/Fiduciary</del>					
2.	Please tick appropriate checkbox	Listed Company				
	Reporting in capacity of :					
	☐ Listed Company					
	☐ Intermediary					
	☐ Fiduciary					
3.	A. Details of Designated Person (DP)					
	i. Name of the DP	Brijbhuvan Singh				
	ii. PAN of the DP					
	iii. Designation of DP	Vice President				
	iv. Functional Role of DP	Retail Assets				
1222	v. Whether DP is Promoter or belongs to Promoter Group	No				
	B. If Reporting is for immediate relative of DP					
	i. Name of the immediate relative of DP	Not applicable				
	ii. PAN of the immediate relative of DP	Not applicable				
	C. Details of transaction(s)	TEVERE				
HAT	i. Name of the scrip	BSE - 543942				
		NSE – UTKARSHBNK				
111	ii. No of shares traded and	The number and value of shares traded are				
	value (Rs.) (Date- wise)	provided below.				
	D. In case value of trade(s) is more than R	s.10 lacs in a calendar quarter				
	i. Date of intimation of trade(s) by	Not applicable				
141	concerned	THE RESIDENCE OF THE PARTY OF T				
	DP/director/promoter/promoter					
	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015					
	ii. Date of intimation of trade(s) by	Not applicable				
	Company to stock exchanges under	The applicable				
-	regulation 7 of SEBI (PIT)					
	Regulations, 2015					



Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure and undertaking contra trade.					
	Date of Transaction	Туре	Quantity Traded	Trade rate	Traded value	
	21-07-2023	Subscribed in IPO	5,390	25.00	1,34,750	
	04-09-2023	Sell	5,390	47.56	2,56,348.40	
Action taken by Listed	The Bank im	oosed a pena	lty of Rs.	5,000 o	n the DP and	
company <del>/Intermediary/Fiduciary</del>	directed the DP to deposit a sum of INR 1,21,598 towards disgorgement of the profits made out of the contra trades					
	towards SEBI					
Reasons recorded in writing for taking action stated above	Violation of th	e Bank's Code				
Details of the previous instances of violations, if any, since last financial year	Not applicable					
If any amount collected for Code of Co	nduct violation	(s)				
i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				Uhle Ales	
ii. Details of transfer/payment						
In case of Online:						
Particulars	Details					
Name of the transferor	Brijbhuvan Sin	gh	MH. =			
Bank Name, branch and Account	ICICI Bank Lim	ited	1			
number	Thakur Village, Mumbai ######3135					
UTR/Transaction reference Number	231228173077252					
Transaction date	December 29, 2023					
Transaction Amount (in Rs.)	nt (in Rs.) 121598					
Any other relevant information	Nil	THE STA				

	Sr. No.	Particulars	Details					
Ī	1.	Name of the listed	Utkarsh Small Finance Bank Limited					
		company <del>/Intermediary/Fiduciary</del>						
	2.	Please tick appropriate checkbox	Listed Company					
		Reporting in capacity of :						
		☐ Listed Company						
		☐ Intermediary						
		☐ Fiduciary						
	3.	A. Details of Designated Person (DP)						
		i. Name of the DP	Adapala Karthik					
		ii. PAN of the DP						
		iii. Designation of DP	Branch Head					
		iv. Functional Role of DP	Liabilities					
THERE	1111	v. Whether DP is Promoter or belongs to Promoter Group	No					
-		B. If Reporting is for immediate relative of DP						
1.		i. Name of the immediate relative of DP	Not applicable					
F 1		ii. PAN of the immediate relative of DP	Not applicable					
200	THE	C. Details of transaction(s)						
r IIII		i. Name of the scrip	BSE – 543942					
11111	TA	ii. No of shares traded and	NSE - UTKARSHBNK The number and value of shares traded are					
BILL		value (Rs.) (Date- wise)	provided below.					
- mm	TIT	D. In case value of trade(s) is more than R	*					
	U B	i. Date of intimation of trade(s) by	Not applicable					
- (HE)		concerned	Not applicable					
1 1000	N.E	DP/director/promoter/promoter						
u III		group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	E III					
		ii. Date of intimation of trade(s) by	Not applicable					
		Company to stock exchanges under						
	1	regulation 7 of SEBI (PIT)						
		Regulations, 2015	THE RESERVE TO SERVE THE PARTY OF THE PARTY					



	4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.				
			Date of Transaction 26-10-2023	Type Buy	Quantity Traded 770	Trade rate 51.25	Traded value 39,462.50
	5.	Action taken by Listed company <del>/Intermediary/Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP which has been deposited by the DP in the SEBI IPEF.				
	6.	Reasons recorded in writing for taking action stated above	rious instances of Not applicable since last financial year				
	7.	Details of the previous instances of violations, if any, since last financial year					
	8.	If any amount collected for Code of Conduc					
		<ul><li>i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)</li></ul>	Online				
78111	ii. Details of transfer/payment In case of Online:						63
r		Particulars	Details				
		Name of the transferor	Adapala Karthik				
rm	П	Bank Name, branch and Account number	ICICI Bank Ltd Gachibowli #######9529				
1 1111	THE R	UTR/Transaction reference Number	231227172964205				
FILE		Transaction date	December 27, 2023				
- 1117	TITE	Transaction Amount (in Rs.)	2000				
	9.	9. Any other relevant information Nil					