

USFB/CS/SE/2023-24/04

**Date:** April 11, 2023

**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, Fort,  
Mumbai – 400 001

**Symbol:** UJJIVANSFB

**Scrip Code:** 542904

Dear Sir/Madam,

**Sub: Certificate under Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the year ended March 31, 2023.**

We hereby enclose the certificate received from K. Jayachandran, Practicing Company Secretary on compliance with the Regulation 40 (9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the year ended March 31, 2023.

We request you to take note of the above.

Thanking You,

Yours faithfully,  
**For UJJIVAN SMALL FINANCE BANK LIMITED**

**Sanjeev Barnwal**  
**Company Secretary & Head of Regulatory Framework**

Encl: As mentioned above

**CERTIFICATE UNDER REGULATION 40 (9) OF SEBI (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015 (LISTING REGULATIONS)**

**FOR THE FINANCIAL YEAR ENDED 31<sup>st</sup> MARCH, 2023**

I have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to **UJJIVAN SMALL FINANCE BANK LIMITED (“Bank”)**, maintained by **KFin Technologies Limited** (Formerly known as *KFin Technologies Private Limited*), pertaining to transfer of equity shares of the Bank for the period from **1<sup>st</sup> April, 2022 to 31<sup>st</sup> March, 2023** for the purpose of issuing a Certificate as per Regulation 40 (9) of the Listing Regulations. I hereby certify that during year ended on **31<sup>st</sup> March, 2023:**

- A) There were no requests received for transfer or transmission shares or deletion of names or split, sub-division or consolidation of shares for the period **1<sup>st</sup> April, 2022 to 31<sup>st</sup> March, 2023.**
- B) Any other information, if applicable: **Nil**

**Place: Bengaluru**  
**Dated: April 11, 2023**

KUNJITHAPADH  
AM  
JAYACHANDRAN  
Digitally signed by  
KUNJITHAPADHAM  
JAYACHANDRAN  
Date: 2023.04.11  
17:03:02 +05'30'

**K JAYACHANDRAN**  
**CP NO. 4031**  
**UDIN: A011309E000062866**