



Utkarsh Small Finance Bank

January 01, 2024

SE/2023-24/85

<b>The BSE Limited</b> Phiroze Jeejeebhoy Towers Dalal Street, Fort Mumbai – 400001 <b>Scrip Code:</b> 543942, 958095, 959644, 968226	<b>National Stock Exchange of India Limited</b> 5th Floor, Exchange Plaza, C-1, Block G, Bandra Kurla Complex, Bandra East, Mumbai – 400 051 <b>NSE symbol:</b> UTKARSHBNK
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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 Ganapathy**  
Company Secretary & Compliance Officer

Registered & Corporate Office:

Utkarsh Tower, NH - 31 (Airport Road) Sehmalpur, Kazi Sarai, Harhua Varanasi - Uttar Pradesh 221105  
CIN: U65992UP2016PLC082804 | Tel.: 0542-6605555 | Website: www.utkarsh.bank



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Gaurav Bhasin
ii.	PAN of the DP	XXXX
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>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable
ii.	Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable



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	Type	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</del> / <del>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 the Bank's Code.				
Details of the previous instances of violations, if any, since last financial year	None				
If any amount collected for Code of Conduct 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 Mahindra Bank Kanpur- 80 Feet Road #####4725			
UTR/Transaction reference Number		231225172793096			
Transaction date		December 25, 2023			
Transaction Amount (in Rs.)		52,090			
Any other relevant information		Nil			



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Sujit Chaphekar
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Chief Manager
	iv. Functional Role of DP	Treasury Back Office
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Geetanjali Chaphekar
	ii. PAN of the immediate relative of DP	ARSPK0233C
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		21-07-2023	Buy	5	47.18	235.90
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct violation(s)					
	i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)	Online				
ii. Details of transfer/payment In case of Online:	Particulars					
	Name of the transferor					
	Bank Name, branch and Account number					
	UTR/Transaction reference Number					
	Transaction date					
	Transaction Amount (in Rs.)					
	2000					
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Sapna Mehra
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Zonal Sales Head
iv.	Functional Role of DP	Liabilities
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	Type	Quantity Traded	Trade rate	Traded value
		15-09-2023	Subscribed in IPO	5389	25.00	1,34,725.00
		15-09-2023	Sell	1	49.72	49.72
5.	Action taken by Listed company/ <del>Intermediary</del> /Fiduciary	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 applicable				
8.	If any amount collected for Code of Conduct 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	Sapna Mehra				
	Bank Name, branch and Account number	HDFC Bank D C Chowk / Sector 9, Rohini, Delhi 110085 #####1058				
	UTR/Transaction reference Number	231226172883234				
	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 company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Anish Saproo
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Zonal Sales Manager
	iv. Functional Role of DP	MSME
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Trade d value
		21-07-2023	Buy	20	50.4	1,008
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct violation(s)					
	i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)	Online				
8.	ii. Details of transfer/payment					
	In case of Online:					
	Particulars	Details				
	Name of the transferor	Anish Saproo				
	Bank Name, branch and Account number	HDFC BANK LIMITED Gurugram Haryana #####5935				
	UTR/Transaction reference Number	231222172636318				
	Transaction date	December 22, 2023				
Transaction Amount (in Rs.)	2000					
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Trilok Nath Shukla
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Head
iv.	Functional Role of DP	Micro Banking (MB)
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Ashwin Shukla
ii.	PAN of the immediate relative of DP	QFPPS9622E
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable
ii.	Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable

**Registered & Corporate Office:**

Utkarsh Tower, NH - 31 (Airport Road) Sehmalpur, Kazi Sarai, Harhua Varanasi - Uttar Pradesh 221105

CIN: U65992UP2016PLC082804 | Tel.: 0542-6605555 | Website: www.utkarsh.bank



4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		24-07-2023	Buy	479	52	24,908
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	The Bank imposed a penalty of Rs. 5,000 on the DP which has been deposited by the DP in the SEBI IPEF.				
6.	Reasons recorded in writing for taking action stated above	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 Conduct 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	Trilok Nath Shukla				
	Bank Name, branch and Account number	HDFC Bank Ltd Varanasi #####8172				
	UTR/Transaction reference Number	231228173014988				
Transaction date	December 28, 2023					
Transaction Amount (in Rs.)	5000					
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	Please tick appropriate checkbox Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Hiranmoy Das
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Senior Zonal Manager
iv.	Functional Role of DP	Internal Audit (Micro finance)
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		25-07-2023	Buy	200	50	10,000
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct 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	Hiranmoy Das				
	Bank Name, branch and Account number	HDFC Bank HDFC0000022 #####3409				
	UTR/Transaction reference Number	T2312220720435100968961				
	Transaction date	December 22, 2023				
Transaction Amount (in Rs.)	2000					
9.	Any other relevant information	Nil				

Registered & Corporate Office:

Utkarsh Tower, NH - 31 (Airport Road) Sehmalpur, Kazi Sarai, Harhua Varanasi - Uttar Pradesh 221105

CIN: U65992UP2016PLC082804 | Tel.: 0542-6605555 | Website: www.utkarsh.bank



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Rahul Pratap Singh
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Project Manager
iv.	Functional Role of DP	Projects
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable
ii.	Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable



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	Type	Quantity Traded	Trade rate	Traded value
	21-07-2023	Subscribed in IPO	2,902	25.00	72,550
	05-10-2023	Sell	2,000	53.86	1,07,720
	05-10-2023	Sell	902	57.91	52,234.82
Action taken by Listed company/ <del>Intermediary</del> /Fiduciary	The Bank imposed a penalty of Rs. 2,000 on the DP and directed the DP to deposit a sum of INR 87,405 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 the 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 Conduct 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		Rahul Pratap Singh			
Bank Name, branch and Account number		Utkarsh Small Finance Bank Varanasi #####0271			
UTR/Transaction reference Number		231225172793096			
Transaction date		December 26, 2023			
Transaction Amount (in Rs.)		89405			
Any other relevant information		Nil			

Registered & Corporate Office:



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Rajeev Pandey
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Zonal Manager
	iv. Functional Role of DP	HR & training
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		05-08-2023	Buy	40	50.3	2,012
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct 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		Rajeev Pandey			
	Bank Name, branch and Account number		HDFC Bank Hyderabad #####4990			
	UTR/Transaction reference Number		231226172878614			
	Transaction date		December 26, 2023			
	Transaction Amount (in Rs.)		2000			
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Susmit Akhaury
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Branch Head
	iv. Functional Role of DP	Liabilities
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	Type	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 company/ <del>Intermediary</del> / <del>Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP and 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.				
7.	Details of the previous instances of violations, if any, since last financial year	Not applicable				
8.	If any amount collected for Code of Conduct 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	Susmit Akhaury				
	Bank Name, branch and Account number	HDFC Bank LTD Boring Road #####0704				
	UTR/Transaction reference Number	231228173012538				
	Transaction date	December 28, 2023				
	Transaction Amount (in Rs.)	9988				
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 : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Vikash Singh
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Deputy Manager
iv.	Functional Role of DP	Operations Risk Support
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Madhu Singh
ii.	PAN of the immediate relative of DP	CQLPS6718N
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		21-07-2023	Buy	18	38.25	688.50
		24-07-2023	Buy	2	52.25	104.50
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	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 Conduct 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		Vikash Singh			
	Bank Name, branch and Account number		Central Bank of India Lalpur, Ranchi, Jharkhand, 834001 #####7178			
	UTR/Transaction reference Number		231228173012300			
	Transaction date		December 28, 2023			
	Transaction Amount (in Rs.)		2000			
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Rakesh Kumar
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Chief Manager
	iv. Functional Role of DP	Projects
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable



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	Type	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	1,28,428.68
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 66,254 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 the 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 Conduct 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		Rakesh Kumar			
Bank Name, branch and Account number		AXIS Bank Uttar Pradesh #####8733			
UTR/Transaction reference Number		231227172981867			
Transaction date		December 27, 2023			
Transaction Amount (in Rs.)		68254			
Any other relevant information		Nil			

**Registered & Corporate Office:**

Utkarsh Tower, NH - 31 (Airport Road) Sehmalpur, Kazi Sarai, Harhua Varanasi - Uttar Pradesh 221105

CIN: U65992UP2016PLC082804 | Tel.: 0542-6605555 | Website: www.utkarsh.bank



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	Please tick appropriate checkbox Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Praveen Baranwal
	ii. PAN of the DP	XXXX
	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>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	Type	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</del> / <del>Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP and directed the DP to deposit a sum of INR 57,302 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 applicable				
8.	If any amount collected for Code of Conduct 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		Praveen Baranwal			
	Bank Name, branch and Account number		ICICI Bank Limited Ranchi Ratu Road #####3235			
	UTR/Transaction reference Number		231222172661248			
Transaction date		December 22, 2023				
Transaction Amount (in Rs.)		59302				
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	Please tick appropriate checkbox Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Naincy Srivastava
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Assistant Manager
	iv. Functional Role of DP	Managing Director's office (MDO)
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	Type	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 company/ <del>Intermediary</del> / <del>Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP and directed the DP to deposit a sum of INR 9,300 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 applicable				
8.	If any amount collected for Code of Conduct 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	Naincy Srivastava				
	Bank Name, branch and Account number	Canara Bank Orderly Bazaar #####4706				
	UTR/Transaction reference Number	11300				
	Transaction date	December 28, 2023				
	Transaction Amount (in Rs.)	11300				
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Sukhanpal Singh
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Zonal Sales Manager
	iv. Functional Role of DP	Housing Loan
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	The concerned DP has neither obtained pre-clearance nor has intimated to the Bank.
	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	Type	Quantity Traded	Trade rate	Traded value
		10-10-2023	ESOP	41,250	27.00	11,13,750
		16-10-2023	Sell	30,000	55.2	16,56,000
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	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 Conduct 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		Sukhanpal Singh			
	Bank Name, branch and Account number		HDFC BANK Udyog Vihar, Gurugram #####0903			
	UTR/Transaction reference Number		231222172653128			
	Transaction date		December 22, 2023			
	Transaction Amount (in Rs.)		2000			
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Saptadeep Guha
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Branch Head
iv.	Functional Role of DP	Liabilities
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	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 company/ <del>Intermediary</del> / <del>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	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 Conduct 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		Saptadeep Guha			
	Bank Name, branch and Account number		ICICI Bank Bangalore #####7116			
	UTR/Transaction reference Number		231225172795736			
	Transaction date		December 25, 2023			
	Transaction Amount (in Rs.)		2000			
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Alok Singh
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Branch Head
iv.	Functional Role of DP	Liabilities
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
iii.	Name of the immediate relative of DP	Not applicable
iv.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		25-07-2023	Buy	55	54.25	2,983.75
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct 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		Alok Singh			
	Bank Name, branch and Account number		231228173009916 Sion (E) Mumbai #####5683			
	UTR/Transaction reference Number		231228173009916			
	Transaction date		December 28, 2023			
	Transaction Amount (in Rs.)		2000			
9.	Any other relevant information					Nil

**Registered & Corporate Office:**



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Anil Kumar Bind
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Assistant Manager – 1
	iv. Functional Role of DP	Accounts
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	<p>Violation of the Bank's Code for trading during window closure and undertaking contra trades.</p> <table border="1" data-bbox="794 324 1444 528"> <thead> <tr> <th>Date of Transaction</th> <th>Type</th> <th>Quantity Traded</th> <th>Trade rate</th> <th>Traded value</th> </tr> </thead> <tbody> <tr> <td>04-09-2023</td> <td>Buy</td> <td>10</td> <td>47.95</td> <td>479.50</td> </tr> <tr> <td>04-09-2023</td> <td>Sell</td> <td>10</td> <td>47.85</td> <td>478.50</td> </tr> <tr> <td>20-10-2023</td> <td>Buy</td> <td>90</td> <td>53.25</td> <td>4,792.50</td> </tr> <tr> <td>31-10-2023</td> <td>Buy</td> <td>40</td> <td>49.85</td> <td>1,994.00</td> </tr> </tbody> </table>	Date of Transaction	Type	Quantity Traded	Trade rate	Traded 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
Date of Transaction	Type	Quantity Traded	Trade rate	Traded 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 company/ <del>Intermediary</del> / <del>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. No profit was made by the DP on execution of contra 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 Conduct 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	Anil Kumar Bind																									
	Bank Name, branch and Account number	Union Bank of India Gopiganj #####6016																									
UTR/Transaction reference Number	231226172841391																										
Transaction date	December 26, 2023																										
Transaction Amount (in Rs.)	2000																										
9.	Any other relevant information	Nil																									



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Pradeep Kumar
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Regional Manager
	iv. Functional Role of DP	Credit
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		21-07-2023	Buy	138	39.00	5,382.00
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct 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		Pradeep Kumar			
	Bank Name, branch and Account number		HDFC BANK BOKARO, JHARKHAND #####7748			
	UTR/Transaction reference Number		231227172967989			
Transaction date		December 27, 2023				
Transaction Amount (in Rs.)		2000				
9.	Any other relevant information					
		Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	Please tick appropriate checkbox Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Rajib Paul
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Assistant Vice President. - With effect from October 16, 2023 Mr. Paul has left the organisation.
iv.	Functional Role of DP	Operations
v.	Whether DP is Promoter or belongs to Promoter Group	No
<b>B. If Reporting is for immediate relative of DP</b>		
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
<b>C. Details of transaction(s)</b>		
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.
<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>		
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 Bank's Code for trading during window closure and undertaking contra trades.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded 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 company/ <del>Intermediary</del> / <del>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	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 Conduct 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		Rajib Paul			
	Bank Name, branch and Account number		Indusind Bank Limited #####6541			
	UTR/Transaction reference Number		231222172634128			
Transaction date		December 22, 2023				
Transaction Amount (in Rs.)		2000				
9.	Any other relevant information	The Employee has left the organization.				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary/Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Parimal Mondal
	ii. PAN of the DP	XXXX
	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>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		16-10-2023	Buy	1,377	57.90	79,728.30
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct 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	Parimal Mondal				
	Bank Name, branch and Account number	Axis Bank Bidhannagar, Durgapur #####7841				
	UTR/Transaction reference Number	231227172910298				
	Transaction date	December 27, 2023				
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information					
	Nil					



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Kantala Prassanna Rao
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Assistant Vice President
	iv. Functional Role of DP	Operations
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		17-10-2023	Buy	200	54.47	10,894
		20-10-2023	Buy	100	53.06	5,306
		25-10-2023	Buy	100	48.76	4,876
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct 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	Kantala Prassanna Rao				
	Bank Name, branch and Account number	State Bank of India Hyderabad Uppal #####0494				
	UTR/Transaction reference Number	231227172964641				
	Transaction date	December 27, 2023				
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	Please tick appropriate checkbox Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Pinaki Bhattacharya
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Chief Manager
	iv. Functional Role of DP	HR & Training
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	Type	Quantity Traded	Trade rate	Traded value
		21-07-2023	Subscribed in IPO	829	25.00	20,725
		24-07-2023	Sell	100	54.95	5,495
		04-09-2023	Sell	416	47.93	19,938.88
5.	Action taken by Listed company/ <del>Intermediary</del> /Fiduciary	The Bank imposed a penalty of Rs. 5,000 on the DP and directed the DP to deposit a sum of INR 12,534 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 Conduct 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	Pinaki Bhattacharya				
	Bank Name, branch and Account number	Utkarsh Small Finance Bank Ltd Orderly Bazar, Varanasi #####5484				
	UTR/Transaction reference Number	336218763965				
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/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Jyoti Singh
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Senior Executive
	iv. Functional Role of DP	Accounts
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	<p>Violation of the Bank's Code for trading during window closure and undertaking contra trade.</p> <table border="1" data-bbox="759 322 1445 595"> <thead> <tr> <th>Date of Transaction</th> <th>Type</th> <th>Quantity Traded</th> <th>Trade rate</th> <th>Traded value</th> </tr> </thead> <tbody> <tr> <td>21-07-2023</td> <td>Subscribed in IPO</td> <td>600</td> <td>25.00</td> <td>15,000</td> </tr> <tr> <td>21-07-2023</td> <td>Sell</td> <td>600</td> <td>48.00</td> <td>28,800</td> </tr> <tr> <td>27-07-2023</td> <td>Buy</td> <td>100</td> <td>48.6</td> <td>4,860</td> </tr> <tr> <td>27-07-2023</td> <td>Buy</td> <td>100</td> <td>48.6</td> <td>4,860</td> </tr> <tr> <td>28-07-2023</td> <td>Buy</td> <td>20</td> <td>48.25</td> <td>965</td> </tr> </tbody> </table>	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
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 company/ <del>Intermediary</del> / <del>Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP and directed the DP to deposit a sum of INR 13,800 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 Conduct 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	Jyoti Singh																														
	Bank Name, branch and Account number	State Bank of India Uttar Pradesh #####2783																														
	UTR/Transaction reference Number	306737																														
	Transaction date	December 28, 2023																														
	Transaction Amount (in Rs.)	15800																														
9.	Any other relevant information																															
	Nil																															



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Anchal Jaiswal
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Executive
	iv. Functional Role of DP	Accounts
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	<p>Violation of the Bank's Code for trading during window closure and undertaking contra trade.</p> <table border="1" data-bbox="756 322 1442 488"> <thead> <tr> <th>Date of Transaction</th> <th>Type</th> <th>Quantity Traded</th> <th>Trade rate</th> <th>Traded value</th> </tr> </thead> <tbody> <tr> <td>21-07-2023</td> <td>Subscribed in IPO</td> <td>600</td> <td>25.00</td> <td>15,000</td> </tr> <tr> <td>21-07-2023</td> <td>Sell</td> <td>350</td> <td>43.04</td> <td>15,064</td> </tr> </tbody> </table>	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	350	43.04	15,064
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	350	43.04	15,064													
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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.															
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 Conduct 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	Anchal Jaiswal															
	Bank Name, branch and Account number	Union Bank of India Varanasi #####4223															
	UTR/Transaction reference Number	231227172978144															
	Transaction date	December 27, 2023															
	Transaction Amount (in Rs.)	8314															
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 : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Amaresh Chandra Sahoo
	ii. PAN of the DP	XXXX
	iii. Designation of DP	Channel credit Manager
	iv. Functional Role of DP	Credit
	v. Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	Type	Quantity Traded	Trade rate	Traded 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 company/ <del>Intermediary</del> / <del>Fiduciary</del>	The Bank imposed a penalty of Rs. 2,000 on the DP and directed the DP to deposit a sum of INR 280 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 Conduct 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		Amaresh Chandra Sahoo			
	Bank Name, branch and Account number		Suryoday Small Finance Bank Ltd Lewis Road, Bhubaneswar #####4460			
	UTR/Transaction reference Number		231227172965960			
	Transaction date		December 27, 2023			
	Transaction Amount (in Rs.)		2280			
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Umesh Arun Ranade
	ii. PAN of the DP	XXXX
	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>B. If Reporting is for immediate relative of DP</b>	
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
	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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
	i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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	<p>Violation of the Bank's Code for trading during window closure and undertaking contra trade.</p> <table border="1" data-bbox="743 322 1450 488"> <thead> <tr> <th>Date of Transaction</th> <th>Type</th> <th>Quantity Traded</th> <th>Trade rate</th> <th>Traded value</th> </tr> </thead> <tbody> <tr> <td>21-07-2023</td> <td>Subscribed in IPO</td> <td>5,390</td> <td>25.00</td> <td>1,34,750</td> </tr> <tr> <td>21-07-2023</td> <td>Sell</td> <td>3,590</td> <td>39.1</td> <td>1,40,369</td> </tr> </tbody> </table>	Date of Transaction	Type	Quantity Traded	Trade rate	Traded 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
Date of Transaction	Type	Quantity Traded	Trade rate	Traded 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 company/ <del>Intermediary</del> /Fiduciary	The Bank imposed a penalty of Rs. 2,000 on the DP and 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 Conduct 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	Umesh Arun Ranade															
	Bank Name, branch and Account number	Saraswat Bank Vashi #####0297															
	UTR/Transaction reference Number	231226172870155															
	Transaction date	December 26, 2023															
	Transaction Amount (in Rs.)	52619															
9.	Any other relevant information	Nil															



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Nikhil Singh Yadav
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Assistant Manager
iv.	Functional Role of DP	Compliance
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable
ii.	Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable

**Registered & Corporate Office:**

Utkarsh Tower, NH - 31 (Airport Road) Sehmalpur, Kazi Sarai, Harhua Varanasi - Uttar Pradesh 221105

CIN: U65992UP2016PLC082804 | Tel.: 0542-6605555 | Website: www.utkarsh.bank



4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		24-07-2023	Buy	8	55.35	442.80
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct 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	Nikhil Singh Yadav				
	Bank Name, branch and Account number	HDFC Bank Ltd Lalpur - Uttar Pradesh #####1576				
	UTR/Transaction reference Number	336181284922				
	Transaction date	December 27, 2023				
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Hemant Kumar Pathak
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Deputy Vice President
iv.	Functional Role of DP	Micro – Loan against property
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	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.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		08-10-2023	Buy	200	50.40	10,080
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	The Bank imposed a penalty of Rs. 5,000 on the DP which has been deposited by the DP in the SEBI IPEF.				
6.	Reasons recorded in writing for taking action stated above	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 Conduct 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	Hemant Kumar Pathak				
	Bank Name, branch and Account number	HDFC Bank Limited Nerul #####1700				
	UTR/Transaction reference Number	231228173070567				
	Transaction date	December 28, 2023				
	Transaction Amount (in Rs.)	5000				
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Brijbhuvan Singh
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Vice President
iv.	Functional Role of DP	Retail Assets
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable
ii.	Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable



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	Type	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 company/ <del>Intermediary</del> / <del>Fiduciary</del>	The Bank imposed a penalty of Rs. 5,000 on the DP and 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 IPEF.				
Reasons recorded in writing for taking action stated above	Violation of the 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 Conduct 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		Brijbhuvan Singh			
Bank Name, branch and Account number		ICICI Bank Limited Thakur Village, Mumbai #####3135			
UTR/Transaction reference Number		231228173077252			
Transaction date		December 29, 2023			
Transaction Amount (in Rs.)		121598			
Any other relevant information		Nil			

**Registered & Corporate Office:**



Sr. No.	Particulars	Details
1.	Name of the listed company/ <del>Intermediary</del> / <del>Fiduciary</del>	Utkarsh Small Finance Bank Limited
2.	<i>Please tick appropriate checkbox</i> Reporting in capacity of : <input type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
i.	Name of the DP	Adapala Karthik
ii.	PAN of the DP	XXXX
iii.	Designation of DP	Branch Head
iv.	Functional Role of DP	Liabilities
v.	Whether DP is Promoter or belongs to Promoter Group	No
	<b>B. If Reporting is for immediate relative of DP</b>	
i.	Name of the immediate relative of DP	Not applicable
ii.	PAN of the immediate relative of DP	Not applicable
	<b>C. Details of transaction(s)</b>	
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.
	<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>	
i.	Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable
ii.	Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable

**Registered & Corporate Office:**

Utkarsh Tower, NH - 31 (Airport Road) Sehmalpur, Kazi Sarai, Harhua Varanasi - Uttar Pradesh 221105

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4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.				
		Date of Transaction	Type	Quantity Traded	Trade rate	Traded value
		26-10-2023	Buy	770	51.25	39,462.50
5.	Action taken by Listed company/ <del>Intermediary</del> / <del>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	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 Conduct violation(s)					
	i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)	Online				
ii. Details of transfer/payment In case of Online:	Particulars					
	Name of the transferor					
	Bank Name, branch and Account number					
	UTR/Transaction reference Number					
	Transaction date					
	Transaction Amount (in Rs.)					
	2000					
9.	Any other relevant information	Nil				