

SE/2023-24/85 December 31, 2023

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



Sr.	Particulars	Details
No.	1 411 010 11111111111111111111111111111	20000
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	Gaurav Bhasin
	ii. PAN of the DP	AHOPB5005B
	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 DP
	i. Name of the immediate relative of DP	Not applicable
	ii. PAN of the immediate relative of DP	Not applicable
TIL	C. Details of transaction(s)	
	i. Name of the scrip	BSE - 543942
MA		NSE – UTKARSHBNK
1111	ii. No of shares traded and value (Rs.)	The number and value of shares traded are
1/1/1	(Date- wise)	provided below.
1119	D. In case value of trade(s) is more than l	
141	i. Date of intimation of trade(s) by concerned	Not applicable
111	DP/director/promoter/promoter	
1.4	group to Company under regulation	III (SEE III) III III III III III III III III
	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)	
	Regulations, 2015	



	Details of violations observed under	Violation of the Bank's Code on account of trading during window closure and undertaking contra trade.					
	Code of Conduct	window closu	re and underta	aking contr	a trade.		
		Date of	Туре	Quantity	Trade	Traded	
		Transaction		Traded	rate	value	
		21-07-2023	Subscribed	5389	25.00	1,34,725.00	
			in IPO				
		21-07-2023	Sell	1500	47.91	71,865.00	
		15-09-2023	Sell	600	51.2	30,720.00	
	Action taken by Listed	The Bank im	oosed a pena	lty of Rs.	2,000 o	n the DP and	
	company /Intermediary/Fiduciary	directed the	DP to deposit	t a sum of	f INR 50	0,085 towards	
		disgorgement	of the profits	made out	of the co	ontra trades in	
		the SEBI IPEF.					
	Reasons recorded in writing for	Violation of th	e Bank's Code	-			
	taking action stated above Details of the previous instances of	None			_		
violations, if any, since last financial							
18 18 18							
_	year						
			(3)		1 - 11 - 1		
	i. Mode of transfer to SEBI – IPEF	Online					
	(Online/Demand Draft)	No.					
		Market Street					
Ш		The state of					
	ii. Details of transfer/payment						
Щ	In case of Online:						
Ш	Particulars	Details					
Ļ	Name of the transferor	Gaurav Bhasin					
	Bank Name, branch and Account	Kotak Mahindra Bank					
	number	Kanpur- 80 Fe	et Road				
		#####4725	III 15506	(A) (E)			
UTR/Transaction reference 23122517279309			3096				
	Number				im - 100		
Transaction date December 25, 2023				99			
1	Transaction Amount (in Rs.)		125	_ 6			
	Any other relevant information	Nil		ST 69			



Sr.	Particulars	Details		
No.	Name of the Part of	Hilland Coall Pinana Daula Lindia		
1.	Name of the listed	Utkarsh Small Finance Bank Limited		
2.	company /Intermediary/Fiduciary Please tick appropriate checkbox	Listed Company		
۷.	Reporting in capacity of :	Listed Company		
	☐ Listed Company			
	☐ Intermediary			
	☐ Fiduciary			
3.	A. Details of Designated Person (DP)			
	i. Name of the DP	Sujit Chaphekar		
	ii. PAN of the DP	AHKPC0354N		
	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. 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	ARSPK0233C		
100	C. Details of transaction(s)	per velac		
NA A	i. Name of the scrip	BSE - 543942		
11.9		NSE – UTKARSHBNK		
0.00	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		
4	 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 closure.	during window
		Transaction Traded ra	rade Traded ate value .18 235.90
5.	Action taken by Listed company /Intermediary/Fiduciary	The Bank imposed a penalty of Rs. 2,0 which has been deposited by the DP in	000 on the DP
6.		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)	
SHIRITA	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online	63
	ii. Details of transfer/payment In case of Online:		Unit walkis
	Particulars	Details	
r IIIIIII	Name of the transferor	Sujit Chaphekar	Ser Contract
	Bank Name, branch and Account number	Indusind bank ltd Opera House #######2888	
r 11110101	UTR/Transaction reference Number	231228173012463	
1 1 1 1 1	Transaction date	December 28, 2023	
r 1/10/11	Transaction Amount (in Rs.)	2000	
9.	Any other relevant information	Nil	



Sr.	Particulars	Details
No.		
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	Sapna Mehra
	ii. PAN of the DP	AARPM1856B
	iii. Designation of DP	Zonal Sales Head
	iv. Functional Role of DP	Liabilities
	v. Whether DP is Promoter of belongs to Promoter Group	or No
	B. If Reporting is for immediate relative	e of DP
	i. Name of the immediate relative of D	P Not applicable
	ii. PAN of the immediate relative of DF	Not applicable
	C. Details of transaction(s)	TENVISIO
LU.U	i. Name of the scrip	BSE – 543942
11		NSE – UTKARSHBNK
11/ 9	ii. No of shares traded an	
1/1/4	value (Rs.) (Date- wise)	provided below.
11/9	D. In case value of trade(s) is more than	
111	i. Date of intimation of trade(s) b	y Not applicable
11.9	concerned DP/director/promoter/promoter	
14.1	group to Company under regulatio	
	7 of SEBI (PIT) Regulations, 2015	
	ii. Date of intimation of trade(s) b	y Not applicable
	Company to stock exchanges under	
2.0	regulation 7 of SEBI (PIT	
	Regulations, 2015	



4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading durin 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 /Intermediary/Fiduciary The Bank imposed directed the DP to disgorgement of trades in the SEBI			ne DP to deent of the	eposit a su profits ma	m of INI	R 25 towards	
6.	Reasons recorded in writing for taking action stated above	Violation o	f the Bank	's Code.			
7.	Details of the previous instances of violations, if any, since last financial year	Not applica	ible			6	
8.	If any amount collected for Code of Conduc	ct violation(s	5)				
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	F Online					
H	ii. Details of transfer/payment In case of Online:						
101	Particulars	Details					
1111	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	231226172				A COLL	
	Transaction date	December	26, 2023				
	Transaction Amount (in Rs.)	2025					
9.	Any other relevant information	Nil					



	Sr. No.	Particulars	Details
1	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	Anish Saproo
		ii. PAN of the DP	BMBPS6660L
		iii. Designation of DP	Zonal Sales Manager
		iv. Functional Role of DP	MSME
PERSON	1111	v. Whether DP is Promoter or belongs to Promoter Group	No
		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
- mil	0.0	C. Details of transaction(s)	
	Ħ	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
	ii	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.
I LILI		D. In case value of trade(s) is more than R	
= 111		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 window closure		k's Code fo	or tradin	g during
		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 /Intermediary/Fiduciary	The Bank impo which has been	deposi	ted by the DI		
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)				
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online		11111		
	ii. Details of transfer/payment In case of Online:					
	Particulars	Details		Ti ri Lingda		
	Name of the transferor	Anish Saproo				
	Bank Name, branch and Account	HDFC BANK LIMITED			101	
	number	Gurugram Haryana ########5935				
17/1-1	UTR/Transaction reference Number	231222172636318				
	Transaction date	December 22, 2023				
1717	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil				



Sr.	Particulars	Details
No.		
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	110
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	Trilok Nath Shukla
	ii. PAN of the DP	AXCPS1056R
	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. If Reporting is for immediate relative	of DP
	i. Name of the immediate relative of DP	Ashwin Shukla
	ii. PAN of the immediate relative of DP	QFPPS9622E
THE R	C. Details of transaction(s)	
	i. Name of the scrip	BSE - 543942
THE R		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	
100	i. Date of intimation of trade(s) by	Not applicable
104	concerned	
CHES.	DP/director/promoter/promoter	
1411	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	IN RESIDENCE IN THE CASE
	ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	The applicable
9.70	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 Type Quantity Trade Traded Transaction Traded rate value
			24-07-2023 Buy 479 52 24,908
	5.	Action taken by Listed company /Intermediary/Fiduciary	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 Conduc	t violation(s)
		i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online
SHIRE		ii. Details of transfer/payment In case of Online:	
	-	Particulars	Details
		Name of the transferor	Trilok Nath Shukla
		Bank Name, branch and Account	HDFC Bank Ltd
THE	П	number	Varanasi ########8172
		UTR/Transaction reference Number	231228173014988
- 11111	1-1	Transaction date	December 28, 2023
1 (11)		Transaction Amount (in Rs.)	5000
	9.	Any other relevant information	Nil



Sr. No.		Particulars	Details
1.		of the listed	Utkarsh Small Finance Bank Limited
		ny /Intermediary/Fiduciary	
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	Hiranmoy Das
	ii.	PAN of the DP	AQYPD5510C
	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. If	Reporting is for immediate relative of	of DP
	i.	Name of the immediate relative of DP	Not applicable
TO A	ii.	PAN of the immediate relative of DP	Not applicable
	C. D	etails of transaction(s)	
TO A	71 1 1	i. Name of the scrip	BSE – 543942
	1111		NSE – UTKARSHBNK
100	AAA	ii. No of shares traded and	The number and value of shares traded are
	1111	value (Rs.) (Date- wise)	provided below.
THE R	D. In	case value of trade(s) is more than F	
	i.	Date of intimation of trade(s) by	Not applicable
13.8	AAA	concerned	
14.1		DP/director/promoter/promoter	THE RESIDENCE OF THE PARTY OF T
		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	
		regulation 7 of SEBI (PIT)	
N	100	Regulations, 2015	



4.	Details of violations observed under	Violation of the Bank's Code for trading du	ıring
	Code of Conduct	window closure.	
		Date of Type Quantity Trade Trace	ded
		Transaction Traded rate valu	.e
		25-07-2023 Buy 200 50 10,0	00
5.	Action taken by Listed	The Bank imposed a penalty of Rs. 2,000 on the	
	company /Intermediary/Fiduciary	which has been deposited by the DP in the SEBI II	PEF.
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 Condu	act violation(s)	
	i. Mode of transfer to SEBI – IPEF	Online	
	(Online/Demand Draft)		
12222	ii. Details of transfer/payment		
	In case of Online:		
	Particulars	Details	
	Name of the transferor	Hiranmoy Das	
	Bank Name, branch and Account	HDFC Bank	
10.0	number	HDFC0000022	140
		#########3409	
11/1/1	UTR/Transaction reference Number	T2312220720435100968961	
	Transaction date	December 22, 2023	
1/1/8	Transaction Amount (in Rs.)	2000	
9.	Any other relevant information	Nil	



	Sr. Jo.	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	Rahul Pratap Singh
		ii. PAN of the DP	DRPPS5049G
		iii. Designation of DP	Project Manager
		iv. Functional Role of DP	Projects
SHREEK		v. Whether DP is Promoter or belongs to Promoter Group	No
		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
- TITL	10	C. Details of transaction(s)	Trafficial
	Ħ	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
	i	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.
	1 0	D. In case value of trade(s) is more than R	
- 1724 (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 Violation of the Bank's Code for trading during window							
	Details of violations observed under Code of Conduct				aing aur	ing window		
	Code of Conduct	closure and un	idertaking coi	itra traue.				
		Date of	Туре	Quantity	Trade	Traded		
		Transaction	Туре	Traded	rate	value		
		21-07-2023	Subscribed	2,902	25.00	72,550		
		21-07-2023	in IPO	2,902	23.00	72,330		
		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	The Bank imp		l .		,		
	company /Intermediary/Fiduciary	directed the I						
	,							
		the SEBI IPEF	disgorgement of the profits made out of the contra trades in the SEBI IPEF					
Reasons recorded in writing for Violation of the Bank's Code.								
	taking action stated above				1100			
	Details of the previous instances of	Not applicable			78)			
e de	violations, if any, since last financial							
	year							
	If any amount collected for Code of Cor	nduct violation(s	s)					
	i. Mode of transfer to SEBI –	Online						
	IPEF (Online/Demand Draft)							
717	ii. Details of transfer/payment							
	In case of Online:							
167	Particulars	Details						
Ш	Name of the transferor	Rahul Pratap S						
11	Bank Name, branch and Account	Utkarsh Small Finance Bank						
Ш	number	Varanasi			100			
111		###########0271						
	UTR/Transaction reference	231225172793	231225172793096					
	Number	D 1 06						
	Transaction date	December 26, 2023 89405						
	Transaction Amount (in Rs.)							
	Any other relevant information Nil							



Sr.	Particulars	Details
No.	- W. V. V. W. W. S	2000
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	AQPPP9610C
	iii. Designation of DP	Zonal Manager
	iv. Functional Role of DP	HR & training
12.11	v. Whether DP is Promoter or belongs to Promoter Group	No
	B. If Reporting is for immediate relative of	of DP
1111	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)	
Ť	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
11 8	ii. No of shares traded and	The number and value of shares traded are
	value (Rs.) (Date- wise)	provided below.
i	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 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 t	he Ban	ık's Code f	or tradi	ng during
	••	Code of Conduct	window closur		in douc i	or traur	ng daring
			Date of	Туре	Quantity	Trade	Traded
			Transaction		Traded	rate	value
			05-08-2023	Buy	40	50.3	2,012
	5.	Action taken by Listed	The Bank impo	osed a p	penalty of R	s. 2,000	on the DP
		company /Intermediary/Fiduciary	which has been			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				
		(Online/Demand Draft)					
THEFT	222	ii. Details of transfer/payment					
		In case of Online:					
		Particulars	Details				
		Name of the transferor	Rajeev Pandey				a Contact of
	_	Bank Name, branch and Account	HDFC Bank			1 00	
- 7771	111	number	Hyderabad				TO COPIE
	U.S		###########	1990			
- 1111	11-1	UTR/Transaction reference Number	231226172878				
1 (87)	11.3	Transaction date	December 26, 2	2023			
7 1111	0.0	Transaction Amount (in Rs.)	2000				
1 1111	9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed	Utkarsh Small Finance Bank Limited
1.	company /Intermediary/Fiduciary	othar sir siriari i marice barik birintea
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	Susmit Akhaury
	ii. PAN of the DP	AGQPA8761J
	iii. Designation of DP	Branch Head
	iv. Functional Role of DP	Liabilities
1111	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)	
Ť	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
11 8	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 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 company /Intermediary/Fiduciary	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	yiolation of the Bank's Code.						
THE RE	7.	Details of the previous instances of violations, if any, since last financial year	Not applicable		23				
r	8.	If any amount collected for Code of Cond	luct violation(s)						
		i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online			W	M.R.E.		
rm	I	ii. Details of transfer/payment In case of Online:	N TOTAL			12	e Vector		
173757	111	Particulars	Details						
FILE		Name of the transferor	Susmit Akhaury						
		Bank Name, branch and Account number	HDFC Bank LTD Boring Road #########0704						
r 40		UTR/Transaction reference Number	231228173012538						
1,515.0	5 15	Transaction date	December 28, 2023						
In The		Transaction Amount (in Rs.)	9988		15 In	-68	bis		
	9.	Any other relevant information	Nil						



	Sr. No.	Particulars	Details					
	1.	Name of the listed	Utkarsh Small Finance Bank Limited					
		company /Intermediary/Fiduciary						
	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	EWWPS0111N					
		iii. Designation of DP	Deputy Manager					
7 M M M M		iv. Functional Role of DP	Operations Risk Support					
		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	Madhu Singh					
	TITLE	ii. PAN of the immediate relative of DP	CQLPS6718N					
		C. Details of transaction(s)						
		i. Name of the scrip	BSE - 543942					
min.	1111		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						
	4	i. Date of intimation of trade(s) by concerned	Not applicable					
		DP/director/promoter/promoter group to Company under regulation						
	2,7	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 Code of Conduct		Violation o	of the l	Bank's (Code for tra	ding duri	ng window
		Code of Conduct		ciosure.					
				Date	of	Type	Quantity	Trade	Traded
				Transact			Traded	rate	value
				21-07-20		Buy	18	38.25	688.50
				24-07-20		Buy	2	52.25	104.50
	5.	Action taken by Listed							on the DP
		company /Intermediary/Fiduciary					ed by the D	OP 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 violations, if any, since last financial year	Not applicable						
	8.	If any amount collected for Code of Conduct violation(s)							
THERE		i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	•	Online					4
		ii. Details of transfer/payment In case of Online:				-			6
		Particulars]	Details					
		Name of the transferor	7	Vikash Sin	ıgh				
V3/17		Bank Name, branch and Account	(Central Ba	nk of	India			
	number			Lalpur, Ra ######7		[harkha	nd, 834001		
FILE		UTR/Transaction reference Number	1	23122817	3012	300			
	171.78	Transaction date		December	28, 2	023			
T I II		Transaction Amount (in Rs.)	-	2000					
11.21.7	9.	Any other relevant information		Nil			-		



	Sr. No.	Particulars	Details
1	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	Rakesh Kumar
		ii. PAN of the DP	AJXPR1014R
		iii. Designation of DP	Chief Manager
		iv. Functional Role of DP	Projects
THREE	1111	v. Whether DP is Promoter or belongs to Promoter Group	No
		B. If Reporting is for immediate relative o	
		i. Name of the immediate relative of DP	Not applicable
		ii. PAN of the immediate relative of DP	Not applicable
- mil	0.0	C. Details of transaction(s)	THE VICIEN
	Ħ	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
	ii	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	
- 11		 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
478		ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	Not applicable



1	5 1 6 1 1 1	771 1		1 0				
	Details of violations observed				ading di	uring window		
	under Code of Conduct	closure and un	idertaking cor	itra trade.				
		D	m	0	m 1	m 1 1		
		Date of	Type	Quantity	Trade	Traded		
		Transaction		Traded	rate	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	The Bank im	oosed a pena	lty of Rs.	2,000 o	n the DP and		
	company /Intermediary/Fiduciary	directed the l	OP to deposi	t a sum of	INR 66	5,254 towards		
		disgorgement	of the profits	made out	of the co	ontra trades in		
		the SEBI IPEF.						
	Reasons recorded in writing for	Violation of th	e Bank's Code					
	taking action stated above							
	Details of the previous instances of	Not applicable						
	violations, if any, since last financial							
100	year	A				-		
	If any amount collected for Code of Co	onduct violation	ı(s)					
	i. Mode of transfer to SEBI –	Online						
	IPEF (Online/Demand							
	Draft)							
71/1	ii. Details of transfer/payment	N 100				THEVELOR		
	In case of Online:							
10	Particulars	Details						
111	Name of the transferor	Rakesh Kuma	r					
76	Bank Name, branch and Account	AXIS Bank		11111				
1111	number	Uttar Pradesh						
	CALL A Lake A Lad	#########	##8733					
	UTR/Transaction reference	23122717298	31867					
	Number							
	Transaction date	December 27, 2023						
	Transaction Amount (in Rs.)	68254						
	Any other relevant information	Nil	THE S		100 0200			



Sr.	Particulars	Details
No.	N. Col. It is 1	W. 1.0. 11.0. D. 1.1 1
1.	Name of the listed	Utkarsh Small Finance Bank Limited
2.	company /Intermediary/Fiduciary	Listed Commence
۷.	Please tick appropriate checkbox Reporting in capacity of:	Listed Company
	☐ Listed Company	
	☐ Intermediary	
2	☐ Fiduciary	
3.	A. Details of Designated Person (DP)	
	i. Name of the DP	Praveen Baranwal
	ii. PAN of the DP	ASFPB7192K
	iii. Designation of DP	Zonal Manager
	iv. Functional Role of DP	Internal Audit
1111	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)	nevela.
ĬĬ	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
11 8	ii. No of shares traded and	The number and value of shares traded are
111	value (Rs.) (Date- wise)	provided below.
äi	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 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	2,487	25.00	62,175
		01-09-2023	Sell	2,486	48.05	1,19,452
5.	Action taken by Listed company /Intermediary/Fiduciary	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.				02 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 Con	duct violation(s	5)			1
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				9
	ii. Details of transfer/payment In case of Online:	5				
ш	Particulars	Details				
M	Name of the transferor	Praveen Barar	ıwal			
	Bank Name, branch and Account number	ICICI Bank Limited Ranchi Ratu Road #######3235				
	UTR/Transaction reference Number					
	Transaction date	December 22, 2023				
	Transaction Amount (in Rs.)	59302	1.005.1			
9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details				
1.	Name of the listed	Utkarsh Small Finance Bank Limited				
	company /Intermediary/Fiduciary					
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	FZUPS1650A				
	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. 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)	pelotae				
i i i	i. Name of the scrip	BSE - 543942				
	N. C. 1	NSE – UTKARSHBNK				
10.0	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.				
1111						
	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	Not applicable				
	DP/director/promoter/promoter					
	group to Company under regulation 7 of SEBI (PIT) Regulations, 2015					
2.7	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 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 26-07-2023	Sell Buy	310 10	55.00 50.95	17,050 509.50
5.	Action taken by Listed company /Intermediary/Fiduciary	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 Conc	luct violation(s)				
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online			w	LEADER.
	ii. Details of transfer/payment In case of Online:	4 1111			1	ELUIA
	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		P P	(48	MA.
9.	Any other relevant information	Nil				

	Sr. No.	Particulars	Details
I	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	Listed Company
_	3.	☐ Fiduciary A. Details of Designated Person (DP)	
		i. Name of the DP	Sukhanpal Singh
		ii. PAN of the DP	BBGPS2993Q
		iii. Designation of DP	Zonal Sales Manager
		iv. Functional Role of DP	Housing Loan
SHREEK	11 11 11	v. Whether DP is Promoter or belongs to Promoter Group	No
r		B. If Reporting is for immediate relative o	f DP
		i. Name of the immediate relative of DP	Not applicable
		ii. PAN of the immediate relative of DP	Not applicable
- MIII	П	C. Details of transaction(s)	pe/cddc
- 11111	Ħ	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
	ii	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.
130011		D. In case value of trade(s) is more than R	
= 17 F		 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 preclearance 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	Violation of the Bank's Code for trading during window				
	Code of Conduct	closure.			Ö	0
			ı		1	,
		Date of	Type	Quantity	Trade	Traded
		Transaction		Traded	rate	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	The Bank imp				
	company /Intermediary/Fiduciary	which has bee			DP in the	e SEBI IPEF.
6.	Reasons recorded in writing for taking	Violation of the	e 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 Condu	ct violation(s)				
	i. Mode of transfer to SEBI – IPEF	Online				
BEER	(Online/Demand Draft)					
	ii. Details of transfer/payment					
	In case of Online:					
	Particulars	Details				
	Name of the transferor	Sukhanpal Sin	gh			
	Bank Name, branch and Account	HDFC BANK				
	number	Udyog Vihar, Gurugram				
TITA		#########0903				
	UTR/Transaction reference Number	231222172653128				
1717	Transaction date	December 22, 2023				
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil				



	Sr. Jo.	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	Saptadeep Guha
		ii. PAN of the DP	AYYPG3136F
		iii. Designation of DP	Branch Head
		iv. Functional Role of DP	Liabilities
SHREEK		v. Whether DP is Promoter or belongs to Promoter Group	No
		B. If Reporting is for immediate relative o	
		i. Name of the immediate relative of DP	Not applicable
		ii. PAN of the immediate relative of DP	Not applicable
- mil	10	C. Details of transaction(s)	The Victoria
	Ħ	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
	i	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.
1 11111		D. In case value of trade(s) is more than R	
= 111 M		 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
478		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 Type Quantity Trade Traded Transaction Traded rate 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 /Intermediary/Fiduciary	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 Conduc	ct 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	ICICI Bank				
	number	Bangalore ######7116				
11/1	UTR/Transaction reference Number	231225172795736				
	Transaction date	December 25, 2023				
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil				



Sr.	Particulars	Details
No.	r ai ucuidi S	Details
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	o that on omain i mance bank Emilieu
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	BFPPS6397F
	iii. Designation of DP	Branch Head
	iv. Functional Role of DP	Liabilities
	v. Whether DP is Promoter or belongs to Promoter Group	No
	B. If Reporting is for immediate relative of	of DP
	iii. Name of the immediate relative of DP	Not applicable
	iv. PAN of the immediate relative of DP	Not applicable
	C. Details of transaction(s)	
iii	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
11.5	ii. No of shares traded and value (Rs.)	The number and value of shares traded are
	(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 concerned	Not applicable
	DP/director/promoter/promoter	
	group to Company under regulation	THE EXPERIENCE OF THE PARTY NAMED IN
	7 of SEBI (PIT) Regulations, 2015	
3.0	ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	
	regulation 7 of SEBI (PIT) Regulations, 2015	
	Negulations, 2015	



4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading during window closure.				
		Date o Transaction	f Typ	Quantit y Traded	Trade rate	Traded value
		25-07-2023	Buv	55	54.25	2,983.75
5.	Action taken by Listed company /Intermediary/Fiduciary	The Bank im		• •	Rs. 2,000	on the DP
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)				
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online		11111	53()	
10.00	ii. Details of transfer/payment In case of Online:					4
	Particulars	Details				
	Name of the transferor	Alok Singh				
	Bank Name, branch and Account	23122817300	9916			
100	number	Sion (E) Mumbai #######5683				
FIFE	UTR/Transaction reference Number	231228173009916				
	Transaction date	December 28, 2023				
171.7	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil				



Sr.	Particulars	Details			
No. 1.	Name of the listed	Utkarsh Small Finance Bank Limited			
1.	company /Intermediary/Fiduciary	Otkai Sii Siiiaii Filialice Dalik Lillilteu			
2.	Please tick appropriate checkbox	Listed Company			
۷.	Reporting in capacity of :	Listed Company			
	☐ Listed Company				
	☐ Intermediary				
	☐ Fiduciary				
3.	A. Details of Designated Person (DP)				
	i. Name of the DP	Anil Kumar Bind			
	ii. PAN of the DP	BGMPB1773L			
	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. 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)	pre/clac			
H	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK			
i	ii. No of shares traded and value (Rs.) (Date- wise)	The number and value of shares traded are provided below.			
100	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 ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015 	Not applicable 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.				
5.	Action taken by Listed company /Intermediary/Fiduciary	Date of Transaction 04-09-2023 04-09-2023 20-10-2023 The Bank impowhich has been No profit was a trades.	depos	ited by the	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 violations, if any, since last financial year	Not applicable				
8.	If any amount collected for Code of Conduc	ct violation(s)				
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				9
TO I	ii. Details of transfer/payment In case of Online:					
	Particulars	Details				
111	Name of the transferor	Anil Kumar Bin	ıd			
	Bank Name, branch and Account	Union Bank of I	India			
	number	Gopiganj #########6016				
1/1/1	UTR/Transaction reference Number	231226172841391				
	Transaction date	December 26, 2023				
	Transaction Amount (in Rs.)	2000				
9.	Any other relevant information	Nil				/ COL



	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	Pradeep Kumar
		ii. PAN of the DP	CJCPK5244D
		iii. Designation of DP	Regional Manager
		iv. Functional Role of DP	Credit
SHIRE	1111	v. Whether DP is Promoter or belongs to Promoter Group	No
		B. If Reporting is for immediate relative of	
		i. Name of the immediate relative of DP	Not applicable
T I		ii. PAN of the immediate relative of DP	Not applicable
- mil	0.0	C. Details of transaction(s)	
	ń	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
	ii	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	
= 111		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
478		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 t	he Bar	nk's Code	for trac	ling during
		Code of Conduct	window closur	e.			
			Date of	Туре	Quantity	Trade	Traded
			Transaction	Турс	Traded	rate	value
			21-07-2023	Buy	138	39.00	5,382.00
	5.	Action taken by Listed	The Bank imp				
		company /Intermediary/Fiduciary	which has beer	ı deposi	ited 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	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/Demand Draft)	Online				
SHREEK		ii. Details of transfer/payment In case of Online:					
		Particulars	Details				
		Name of the transferor	Pradeep Kuma	r			
		Bank Name, branch and Account	HDFC BANK				CE VALET OF
THE REAL PROPERTY.		number	BOKARO, JHAR #########)		
FILL		UTR/Transaction reference Number	231227172967	7989			
THIS	1	Transaction date	December 27, 2	2023			
EIIIL		Transaction Amount (in Rs.)	2000				
10000	9.	Any other relevant information	Nil				



Sr. No.	Particulars	Details
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	Rajib Paul
	ii. PAN of the DP	APFPP8138J
	iii. Designation of DP	Assistant Vice President With effect from October 16, 2023 Mr. Paul has left the organisation.
HHH	iv. Functional Role of DP	Operations
	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
H	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.
	D. In case value of trade(s) is more than F	Rs.10 lacs in a calendar quarter
	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



-	D. C. L. L. L. L. L.	17: 1 .: C.1	D 1/ C	1 C . 1	. 1 .	. 1
4.	Details of violations observed under	Violation of the			_	ng window
	Code of Conduct	closure and un	idertaking cor	itra trades.		
		D			m 1	m 1 1
		Date of	Туре	Quantity	Trade	Traded
		Transaction		Traded	rate	value
		21-07-2023	Subscribed	3,316	25.00	82,900
		04.07.000	in IPO	0.046	20.00	1 22 22 1
		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 imp				e DP which
	company /Intermediary/Fiduciary	has been deposited by the DP in the 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				
	violations, if any, since last financial					
	year					
8.	If any amount collected for Code of Co	onduct violation(s)				
	i. Mode of transfer to SEBI –	Online				
	IPEF (Online/Demand Draft)					
	ii. Details of transfer/payment					
TIT	In case of Online:					DOM: NO
	Particulars	Details				
175	Name of the transferor	Rajib Paul				
	Bank Name, branch and Account	Indusind Bank	Limited			
	number	#######65	41			
	UTR/Transaction reference	23122217263	4128		1	
100	Number	AL PLET			- 1	
	Transaction date	December 22,	2023			
	Transaction Amount (in Rs.)	2000	7 500			
9.	Any other relevant information	The Employee has left the organization.				
	,	1 3,500		0		



	Sr. No.	Particulars	Details					
	1.	Name of the listed	Utkarsh Small Finance Bank Limited					
		company /Intermediary/Fiduciary	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	Parimal Mondal					
		ii. PAN of the DP	BFZPM0403G					
		iii. Designation of DP	Assistant Manager -II					
SHREE		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 DP						
		i. Name of the immediate relative of DP	Not applicable					
	TO THE	ii. PAN of the immediate relative of DP	Not applicable					
		C. Details of transaction(s)						
		i. Name of the scrip	BSE – 543942					
10,31	1111		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	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	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
	1.	Code of Conduct	window closure.
		doub of domaide	Window closures
			Date of Type 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 imposed a penalty of Rs. 2,000 on the DP
		company /Intermediary/Fiduciary	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	
	7.	Details of the previous instances of	Not applicable
		violations, if any, since last financial year	1.77
	8.	If any amount collected for Code of Conduc	et violation(s)
		i. Mode of transfer to SEBI – IPEF	Online
		(Online/Demand Draft)	
		ii. Details of transfer/payment	
THE RESERVE	131	In case of Online:	
		Particulars	Details
		Name of the transferor	Parimal Mondal
		Bank Name, branch and Account	Axis Bank
		number	Bidhannagar, Durgapur
1761	11	The second secon	##########7841
EART		UTR/Transaction reference Number	231227172910298
THIE		Transaction date	December 27, 2023
EUUL		Transaction Amount (in Rs.)	2000
1000	9.	Any other relevant information	Nil



Sr.	Particulars	Details
No.		
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	BAQPK9650P
	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	
	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
	C. Details of transaction(s)	
HAA	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.
iiii	D. In case value of trade(s) is more than R	Rs.10 lacs in a calendar quarter
ш	i. Date of intimation of trade(s) by	Not applicable
14:1	concerned	THE RESIDENCE OF THE PARTY OF T
	DP/director/promoter/promoter	
	group to Company under regulation	
	7 of SEBI (PIT) Regulations, 2015	
1	ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	
	regulation 7 of SEBI (PIT)	
	Regulations, 2015	

SHREE



4.	Details of violations observed under	s observed under Violation of the Bank's Code for trading during				
	Code of Conduct	window closur	e.			
		Date of	Туре	Quantity	Trade	Traded
		Transaction		Traded	rate	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	The Bank impo	osed a p	enalty of I	Rs. 2,000	on the DP
	company /Intermediary/Fiduciary	which has been	deposi	ted by the I	P in the	SEBI IPEF.
6.	Reasons recorded in writing for taking	Violation of the	Bank's	Code.		
	action stated above					
7.	7. Details of the previous instances of Not applicable					
	violations, if any, since last financial year					
8.	3. 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	State Bank of In	ndia			
	number	Hyderabad Upp	oal			
FIFT		#######0494				
	UTR/Transaction reference Number	231227172964	641			
1/1/1	Transaction date	December 27, 2	2023			
	Transaction Amount (in Rs.)	2000			100	
9	Any other relevant information	Nil				

SHREE



Sr.	Particulars	Details
No.		
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	AHEPB0511C
	iii. Designation of DP	Chief Manager
	iv. Functional Role of DP	HR & Training
1111	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 DF	
	ii. PAN of the immediate relative of DP	Not applicable
11	C. Details of transaction(s)	ne vole
ïi	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
11.5	ii. No of shares traded and value (Rs.)	The number and value of shares traded are
	(Date- wise)	provided below.
Ää	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	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	Not applicable
	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	Violation of the Bank's Code for trading during window				
	Code of Conduct	closure and un	dertaking co	ntra trade.		
		Date of	Туре	Quantity	Trade	Traded
		Transaction		Traded	rate	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 /Intermediary/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 Co	nduct violation(s)			101
	 i. Mode of transfer to SEBI – IPEF (Online/Demand Draft) 	Online				h des
	ii. Details of transfer/payment In case of Online:					Trafficial
FIF	Particulars	Details				
W	Name of the transferor	Pinaki Bhattac	harya			
171	Bank Name, branch and Account	Utkarsh Small	Finance Bank	Ltd		
ΙV	number	Orderly Bazar,	Varanasi		116	
M		##########5484				
	UTR/Transaction reference Number	336218763965				
	Transaction date	December 28, 2	2023			
	Transaction Amount (in Rs.)	17,534.00	- CA . TH			STALL SE
9.	Any other relevant information	Nil				



Sr.	Particulars	Details
No.		
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	Jyoti Singh
	ii. PAN of the DP	EFXPS1917G
	iii. Designation of DP	Senior Executive
	iv. Functional Role of DP	Accounts
1111	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
11	C. Details of transaction(s)	THE VOLET
ïi	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
11-5	ii. No of shares traded and	The number and value of shares traded are
11 C.	value (Rs.) (Date- wise)	provided below.
4 6	D. In case value of trade(s) is more than R	s.10 lacs in a calendar quarter
44	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.	4. Details of violations observed under Code of Conduct Violation of the Bank's Code for trading during closure and undertaking contra trade.					
		Code of Conduct	closure and un	<u>-</u>	iti a ti auc.	T	
			Date of	Type	Quantity	Trade	Traded
			Transaction		Traded	rate	value
			21-07-2023	Subscribed	600	25.00	15,000
				in IPO			
			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 /Intermediary/Fiduciary	directed the D				
			disgorgement		made out o	f the con	tra trades
			towards SEBI				
	6.	Reasons recorded in writing for taking action stated above	Violation of th	e Bank's Code			-
- Millian	7.	Details of the previous instances of	Not applicable				
		violations, if any, since last financial					
		year					
	8.	If any amount collected for Code of Cond	nduct violation(s)				
	m	i. Mode of transfer to SEBI – IPEF	Online	:==:.UI		10.	AVOIG
	U.	(Online/Demand Draft)					
	1/1	ii. Details of transfer/payment					
	10	In case of Online:					
THE REAL PROPERTY.	171	Particulars	Details				
	J U	Name of the transferor	Jyoti Singh			The same	
	171	Bank Name, branch and Account	State Bank of I	ndia			
	U.	number	Uttar Pradesh				
	11.	AAAAA SSEASSA	#######278	3			
		UTR/Transaction reference Number	306737		PA PA	(23	
		Transaction date	December 28,	2023			
		Transaction Amount (in Rs.)	15800				
	9.	Any other relevant information	Nil				



Sr.	Particulars	Details
No.	NT Col 10 o 1	
1.	Name of the listed	Utkarsh Small Finance Bank Limited
2.	company /Intermediary/Fiduciary Please tick appropriate checkbox	Listed Company
۷.	Reporting in capacity of :	Listed Company
	☐ Listed Company	
	☐ Intermediary	
2	☐ Fiduciary	
3.	A. Details of Designated Person (DP)	
	i. Name of the DP	Anchal Jaiswal
	ii. PAN of the DP	CCXPJ7884A
	iii. Designation of DP	Executive
	iv. Functional Role of DP	Accounts
1111	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)	
ïi	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
11 6	ii. No of shares traded and	The number and value of shares traded are
	value (Rs.) (Date- wise)	provided below.
ïi	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 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	600	25.00	15,000			
			21-07-2023	Sell	350	43.04	15,064			
	5.	Action taken by Listed company /Intermediary/Fiduciary	The Bank imp directed the I disgorgement towards SEBI	P to deposit of the profits	a sum of I	NR 6,314	4 towards			
	6.	Reasons recorded in writing for taking action stated above	Violation of th	e Bank's Code						
	7.	Details of the previous instances of violations, if any, since last financial year	Not applicable		1111	T				
- Minne	8.	If any amount collected for Code of Cond	uct violation(s)			100				
Г		i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online							
L AND		ii. Details of transfer/payment In case of Online:				V.				
FILI	H.	Particulars	Details							
(11)	1/1	Name of the transferor	Anchal Jaiswal							
	ř	Bank Name, branch and Account number	Union Bank of Varanasi ##########			Ų.				
12,217.7		UTR/Transaction reference Number	23122717297	8144						
T HILL		Transaction date	December 27,	2023						
100.00		Transaction Amount (in Rs.)	8314							
Ja Jan	9.	Any other relevant information	Nil				Dist.			



Sr.	Particulars	Details
No.		
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	BXXPS4705D
	iii. Designation of DP	Channel credit Manager
	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	
	i. Name of the immediate relative of DP	Not applicable
7111 8	ii. PAN of the immediate relative of DP	Not applicable
	C. Details of transaction(s)	
41110	i. Name of the scrip	BSE - 543942
111 11 11		NSE – UTKARSHBNK
400	ii. No of shares traded and	The number and value of shares traded are
11111	value (Rs.) (Date- wise)	provided below.
101	D. In case value of trade(s) is more than R	Rs.10 lacs in a calendar quarter
144	i. Date of intimation of trade(s) by	Not applicable
	concerned	
	DP/director/promoter/promoter	
	group to Company under regulation	
18.0	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)	
	Regulations, 2015	

SHREE



	4.	Details of violations observed under Code of Conduct	Violation of the Bank's Code for trading duri window closure and undertaking contra trade.					
		dode of donauer		- und un				
			Date of	Type	Quantity	Trade	Traded	
			Transaction		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					
		company /Intermediary/Fiduciary	directed the DF	to dep	osit a sum	of INR 28	30 towards	
			disgorgement of trades towards			e out of	the contra	
	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			nie-		
		violations, if any, since last financial year						
NAMES	8.	. If any amount collected for Code of Conduct violation(s)						
		i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online	-			(1)	
		ii. Details of transfer/payment						
T I		In case of Online:						
THE		Particulars	Details					
FARE		Name of the transferor	Amaresh Chanc					
1111	11-1	Bank Name, branch and Account	Suryoday Small					
EUR		number	Lewis Road, Bh		war			
- mm	10.0		#######446					
	J U Y	UTR/Transaction reference Number	231227172965					
1304	1/1	Transaction date	December 27, 2	023				
T HU		Transaction Amount (in Rs.)	2280					
100	9.	Any other relevant information	Nil					



Sr.	Particulars	Details
No.		
1.	Name of the listed	Utkarsh Small Finance Bank Limited
_	company /Intermediary/Fiduciary	
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	ABIPR5216Q
	iii. Designation of DP	National Audit Manager
	iv. Functional Role of DP	Information Security Audit
1111	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)	
ïi	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
11 8	ii. No of shares traded and	The number and value of shares traded are
	value (Rs.) (Date- wise)	provided below.
ïi	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 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	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 un			ing duri	ng window
		Date of	Туре	Quantity	Trade	Traded
		Transaction	J 1	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				
	company /Intermediary/Fiduciary	directed the D				
		disgorgement of the profits made out of the contra trades towards SEBI IPEF.				ntra 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 Con	duct violation(s)			
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				
	ii. Details of transfer/payment					
10	In case of Online:					TE CORE
17	Particulars	Details				
10	Name of the transferor	Umesh Arun R	anade			
10	Bank Name, branch and Account	Saraswat Bank				
1111	number	Vashi			1	
	TARABANA MALA	##########	#0297			
	UTR/Transaction reference Number	23122617287	0155			
	Transaction date	December 26,	2023			
	Transaction Amount (in Rs.)	52619	harrie by		1 100	Cold.
9.	Any other relevant information	Nil			100	A RE



Sr. No.	Particulars	Details
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	Nikhil Singh Yadav
	ii. PAN of the DP	AJZPY6990R
	iii. Designation of DP	Assistant Manager
	iv. Functional Role of DP	Compliance
	v. Whether DP is Promoter o belongs to Promoter Group	r No
	B. If Reporting is for immediate relative	e of DP
	i. Name of the immediate relative of DI	Not applicable
-	ii. PAN of the immediate relative of DP	Not applicable
100	C. Details of transaction(s)	DECORE.
HA	i. Name of the scrip	BSE - 543942
		NSE – UTKARSHBNK
111	ii. No of shares traded and	
	value (Rs.) (Date- wise)	provided below.
i ii ii	D. In case value of trade(s) is more than	
	i. Date of intimation of trade(s) by concerned	Not applicable
10.8	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 unde	
	regulation 7 of SEBI (PIT	
-	Regulations, 2015	



4	. Details of violations observed under	Violation of the Bank's Code for trading during			ng during	
	Code of Conduct	window closur	e.			
		Date of	Type	Quantity	Trade	Traded
		Transaction		Traded	rate	value
		24-07-2023	Buy	8	55.35	442.80
5	. Action taken by Listed	The Bank imp	osed a p	enalty of R	s. 2,000	on the DP
	company /Intermediary/Fiduciary	which has been	ı deposit	ted by the D	P in the S	EBI 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	uct violation(s)				
	i. Mode of transfer to SEBI – IPEF	Online				
	(Online/Demand Draft)					
	ii. Details of transfer/payment		1 1 1 1			
SHREETER						
	In case of Online:					
	Particulars	Details				
	Name of the transferor	Nikhil Singh Ya	dav			
	Bank Name, branch and Account	HDFC Bank Ltd				Leading.
W34141	number	Lalpur - Uttar I	Pradesh		1 7	
FAMILIA		#########	1576			
10 10 10 10 10	UTR/Transaction reference Number	336181284922	2			
FILINI	Transaction date	December 27, 2	2023			
W M A / A	Transaction Amount (in Rs.)	2000				
9	. Any other relevant information	Nil			100	



Sr.	Particulars	Details
No.	N C.I. It . I	The Locality Date in L
1.	Name of the listed	Utkarsh Small Finance Bank Limited
2	company/Intermediary/Fiduciary	Listed Company
2.	Please tick appropriate checkbox Reporting in capacity of :	Listed Company
	Listed Company	
	<u> </u>	
	□ Intermediary	
	☐ Fiduciary	
3.	A. Details of Designated Person (DP)	Harris and Warris on Dath als
	i. Name of the DP	Hemant Kumar Pathak
	ii. PAN of the DP	AMTPP4156B
	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. 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
THE R	C. Details of transaction(s)	
	i. Name of the scrip	BSE – 543942
77		NSE – UTKARSHBNK
	ii. No of shares traded and	
	value (Rs.) (Date- wise)	provided below.
100	D. In case value of trade(s) is more than	-
1 1 1	i. Date of intimation of trade(s) by	Not applicable
	concerned	
E 11 . N	DP/director/promoter/promoter	
141	group to Company under regulation	E COMPANY DE LA LABORATION DE LA COMPANY DE
	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)	
	Regulations, 2015	



•	4. Details of violations observed under	Violation of the Bank's Code for trading during
	Code of Conduct	window closure.
		Date of Type Quantity Trade Traded
		Transaction Traded rate value
		08-10-2023 Buy 200 50.40 10,080
	5. Action taken by Listed	The Bank imposed a penalty of Rs. 5,000 on the DP
	company /Intermediary/Fiduciary	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 7. Details of the previous instances of	Not applicable
	7. Details of the previous instances of violations, if any, since last financial year	Not applicable
	8. If any amount collected for Code of Condu	ct violation(s)
	i. Mode of transfer to SEBI – IPEF	Online
	(Online/Demand Draft)	
	ii. Details of transfer/payment	
SHREEKS		
	In case of Online:	D. J.
	Particulars	Details
	Name of the transferor	Hemant Kumar Pathak
	Bank Name, branch and Account	HDFC Bank Limited
171111111	number	Nerul
F ALLEY		#########1700
CHILA	UTR/Transaction reference Number	231228173070567
EARIN	Transaction date	December 28, 2023
1000	Transaction Amount (in Rs.)	5000
	9. Any other relevant information	Nil



Sr.	Particulars	Details
No.	2 44 42 44 44 5	2000
1.	Name of the listed	Utkarsh Small Finance Bank Limited
	company /Intermediary/Fiduciary	
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	AMSPS9778F
	iii. Designation of DP	Vice President
	iv. Functional Role of DP	Retail Assets
1111	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)	
Ti	i. Name of the scrip	BSE – 543942 NSE – UTKARSHBNK
11.5	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 concerned	Not applicable
	DP/director/promoter/promoter	
	group to Company under regulation	- Challes - 120 day
	7 of SEBI (PIT) Regulations, 2015	
	ii. Date of intimation of trade(s) by	Not applicable
	Company to stock exchanges under	
تت	regulation 7 of SEBI (PIT)	
	Regulations, 2015	



Details of violations observed under Code of Conduct	Violation of t			ading d	uring windo
code of Colladet	ciosure and ur	ider taking cor	ili a li auc.		
	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 ar
company /Intermediary/Fiduciary	directed the I	OP to deposit	a sum of	INR 1,2	1,598 toward
	disgorgement towards SEBI		s made ou	t of the	contra trad
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	111111			03
If any amount collected for Code of Co	onduct violation	(s)			
i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	Online				Uhlazia mekoda
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			
number	Thakur Village			F	
UTR/Transaction reference Number	23122817307	7252	6 E		
Transaction date	December 29,	2023			
Transaction Amount (in Rs.)	121598				
Any other relevant information	Nil	7 - 7 8 7 8			



No. 1. Name of the listed company/Intermediary/Fiduciary	Utkarsh Small Finance Bank Limited Listed Company
company /Intermediary/Fiduciary	Listed Company
	Listed Company
2. Please tick appropriate checkbox	
Reporting in capacity of:	
☐ Listed Company	
□ Intermediary	
☐ Fiduciary	
3. A. Details of Designated Pers	
i. Name of the DP	Adapala Karthik
ii. PAN of the DP	APKPA4962L
iii. Designation of DP	Branch Head
iv. Functional Role of DP	Liabilities
v. Whether DP is Prom belongs to Promoter Grou	
B. If Reporting is for immediate	relative of DP
i. Name of the immediate relat	ive of DP Not applicable
ii. PAN of the immediate relati	ve of DP Not applicable
C. Details of transaction(s)	To the second
i. Name of the scrip	BSE – 543942
THE REAL PROPERTY OF THE PERSON NAMED IN COLUMN TWO IS NOT THE PERSON NAMED IN COLUMN TWO IS NAMED	NSE – UTKARSHBNK
ii. No of shares trac	
value (Rs.) (Date- w	
	ore than Rs.10 lacs in a calendar quarter
i. Date of intimation of trac	de(s) by Not applicable
concerned	
DP/director/promoter/prom	
group to Company under re	
7 of SEBI (PIT) Regulations,	
ii. Date of intimation of trac Company to stock exchange	
regulation 7 of SEBI	
Regulations, 2015	(111)



						_		
	4.	Details of violations observed under	Violation of the Bank's Code for trading during					
		Code of Conduct	window closure.					
			Date o	f Type	Quantity	Trade	Traded	
			Transaction		Traded	rate	value	
			26-10-2023	Buy	770	51.25	39,462.50	
	5.	Action taken by Listed	The Bank imposed a penalty of Rs. 2,000 on the D				0 on the DP	
		company /Intermediary/Fiduciary	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						
	7.	Details of the previous instances of	Not applicable					
		violations, if any, since last financial year						
	8.							
		i. Mode of transfer to SEBI – IPEF	Online					
		(Online/Demand Draft)	1000000					
TABLE B	1111		Details of transfer/payment					
		In case of Online:						
		Particulars	Details					
		Name of the transferor	Adapala Karthik					
r l		Bank Name, branch and Account ICICI Bank Ltd						
2200	TITLE	number	Gachibowli					
TILL			#######	529				
17 33 5 3	111	UTR/Transaction reference Number	231227172964205					
FILE		Transaction date	December 27, 2023					
1000	111	Transaction Amount (in Rs.) 2000						
r 1111	9.	Any other relevant information	Nil	-44-44-4				