

Integrated Governance

UTKARSH SMALL FINANCE BANK LIMITED

General information about company

Scrip code	543942	
NSE Symbol	UTKARSHBNK	
MSEI Symbol	NA	
ISIN	INE735W01017	
Date of start of financial year	01-04-2024	
Date of end of financial year	31-03-2025	
Reporting Quarter Type	Quarterly	
Date of Quarter Ending	31-12-2024	
Type of company	Equity	
Whether Annexure I (Part A) of the SEBI Circular dated December 31, 2024 related to Compliance Report on Corporate Governance is applicable to the entity?	true	
Whether Annexure I (Part B) of the SEBI Circular dated December 31, 2024 related to Investor Grievance Redressal Report is Applicable to the entity?	true	
Whether Annexure I (Part C) of the SEBI Circular dated December 31, 2024 related to Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies is Applicable to the entity?	true	
Whether Annexure I (Part D) of the SEBI Circular dated December 31, 2024 related to Disclosure of Imposition of Fine or Penalty is Applicable to the entity?	true	
Whether Annexure I (Part E) of the SEBI Circular dated December 31, 2024 related to Disclosure of Updates to Ongoing Tax Litigations or Disputes is Applicable to the entity?	true	
Whether Annexure I (Part F) of the SEBI Circular dated December 31, 2024 related to Disclosure Of Loans / Guarantees / Comfort Letters / Securities Etc. is Applicable to the entity?		
Risk management committee	true	
Market Capitalisation as per immediate previous Financial Year	Top 1000 listed entities	
SCORE Registration ID	COMZ00200	
Reason For No SCORE ID		
Type of Submission	Original	
Remarks (website dissemination)		
Remarks for Exchange (not for Website Dissemination)		

Annexure I

Annexure I to be submitted by listed entity on quarterly basis																							
I. Composition of Board of Directors																							
Disclosure of notes on composition of board of directors explanatory																							
Whether the listed entity has a Regular Chairperson						true																	
Whether Chairperson is related to MD or CEO						false	Disqualification of Directors under section 164 of the Companies Act, 2013																
Sr no.	Title(Mr/Ms)	Name of the Director	Category 1 of directors	Category 2 of directors	Category 3 of directors	Whether the director is disqualified?	Start Date of disqualification	End Date of disqualification	Details of disqualification	Current status	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	Date of passing special resolution	Initial Date of appointment	Date of Re-appointment	Date of cessation	Tenure of director(in months)	No of Directorship in listed entities including this listed entity(Refer Regulation 17A of Listing Regulations)	No of Independent Directorship in listed entities including this listed entity(Refer Regulation 17A(1) of Listing Regulations)	Number of memberships in Audit/ Stakeholder Committee(s) including this listed entity (Refer Regulation 26(1) of Listing Regulations)	No of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this listed entity (Refer Regulation 26(1) of Listing Regulations)	Reason for Cessation	Notes for not providing PAN	Notes for not providing DIN
1	Mr	Parveen Kumar Gupta	Non-Executive - Independent Director	Chairperson		false				Active	No		01-09-2021	12-10-2024		40	2	2	3	1			
2	Mr	Ajay Kumar Kapur	Non-Executive - Independent Director	Not Applicable		false				Active	No		02-03-2021	02-03-2021		46	1	1	3	0			
3	Mr	Kajal Ghose	Non-Executive - Independent Director	Not Applicable		false				Active	No		16-01-2017	16-01-2022		95.16	1	1	1	0			
4	Mrs	Kalpana Prakash Pandey	Non-Executive - Independent Director	Not Applicable		false				Active	No		29-04-2020	29-04-2020		56.02	1	1	2	0			
5	Mr	Muralidharan Rajamani	Non-Executive - Non Independent Director	Not Applicable		false				Active	No		02-03-2021	02-03-2021		46	1	0	1	1			
6	Mr	Nagesh Dinkar Pinge	Non-Executive - Independent Director	Not Applicable		false				Active	No		20-07-2020	20-07-2020		53.12	5	5	0	8			
7	Mr	Govind Singh	Executive Director	Not Applicable	CEO-MD	false				Active	NA		30-04-2016	21-09-2024		104.1	1	0	1	0			
8	Mr	Pramod Kumar Dubey	Executive Director	Not Applicable		false				Active	NA		20-09-2024	20-09-2024		3.11	1	0	0	0			

Annexure I

II. Composition of Committees	
Disclosure of notes on composition of committees explanatory	

Audit Committee Details

Whether the Audit Committee has a Regular Chairperson						true
Sr	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	Nagesh Dinkar Pinge	Non-Executive - Independent Director	Chairperson	20-07-2020		Textual Information(1)
2	Ajay Kumar Kapur	Non-Executive - Independent Director	Member	31-05-2021		
3	Kajal Ghose	Non-Executive - Independent Director	Member	25-05-2019		
4	Kalpana Prakash Pandey	Non-Executive - Independent Director	Member	23-10-2020		

Text Block

Textual Information(1)	Mr. Nagesh Dinkar Pinge was appointed as a Chairperson of the Audit Committee effective from 23-10-2020
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Nomination and remuneration committee

Whether the Nomination and remuneration committee has a Regular Chairperson						true
Sr	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	Kajal Ghose	Non-Executive - Independent Director	Chairperson	24-09-2018		
2	Muralidharan Rajamani	Non-Executive - Non Independent Director	Member	23-03-2022		
3	Parveen Kumar Gupta	Non-Executive - Independent Director	Member	04-11-2021		

Stakeholders Relationship Committee

Whether the Stakeholders Relationship Committee has a Regular Chairperson						true
Sr	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	Muralidharan Rajamani	Non-Executive - Non Independent Director	Chairperson	31-05-2021		
2	Ajay Kumar Kapur	Non-Executive - Independent Director	Member	04-11-2021		
3	Kalpana Prakash Pandey	Non-Executive - Independent Director	Member	31-05-2021		
4	Govind Singh	Executive Director	Member	04-11-2021		

Risk Management Committee

Whether the Risk Management Committee has a Regular Chairperson						true
Sr	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	Ajay Kumar Kapur	Non-Executive - Independent Director	Chairperson	31-05-2021		Textual Information(1)
2	Kalpana Prakash Pandey	Non-Executive - Independent Director	Member	07-05-2020		
3	Muralidharan Rajamani	Non-Executive - Non Independent Director	Member	31-05-2021		
4	Parveen Kumar Gupta	Non-Executive - Independent Director	Member	04-11-2021		
5	Govind Singh	Executive Director	Member	04-11-2021		

Text Block

Textual Information(1)	Ms. Kalpana Prakash Pandey was initially appointed as a Chairperson of the Risk Management Commiittee effective from 23-10-2020
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Corporate Social Responsibility Committee

Whether the Corporate Social Responsibility Committee has a Regular Chairperson						true
Sr	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	Muralidharan Rajamani	Non-Executive - Non Independent Director	Chairperson	31-05-2021		Textual Information(1)
2	Ajay Kumar Kapur	Non-Executive - Independent Director	Member	04-11-2021		
3	Kalpana Prakash Pandey	Non-Executive - Independent Director	Member	07-05-2020		Textual Information(2)

Text Block

Textual Information(1)	Mr. Muralidharan Rajamani was appointed as a Chairperson of the Corporate Social Responsibility Committee effective from 23-07-2021
Textual Information(2)	Mrs. Kalpana Prakash Pandey was appointed as a Chairperson of the Committee effective from 20-07-2021.

Annexure I

III. Meeting of Board of Directors							
Disclosure of notes on meeting of board of directors explanatory							
Sr	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Notes for not providing Date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors as on date of the meeting	Number of Directors present*(All directors including Independent Director)	No. of Independent Directors attending the meeting*
1	03-08-2024			true	8	7	5
2	14-08-2024	10		true	8	8	5
3	20-09-2024	36		true	9	8	5
4		49		true	8	8	5
5		36		true	8	8	5

Annexure I

IV. Meeting of Committees										
Disclosure of notes on meeting of committees explanatory										
Sr	Name of Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Name of other committee	Reason for not providing date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors in the Committee as on date of the meeting	Number of Directors Present (All Directors including Independent Director)	No. of Independent Directors attending the meeting*	No. of members attending the meeting (other than Board of Directors)
1	Audit Committee	03-08-2024				true	4	4	4	0
2	Audit Committee	14-08-2024	10			true	4	4	4	0
3	Audit Committee	19-09-2024	35			true	4	4	4	0
4	Stakeholders Relationship Committee	13-09-2024				true	4	4	2	0
5	Nomination and remuneration committee	14-08-2024				true	3	3	2	0
6	Nomination and remuneration committee	31-08-2024	16			true	3	3	2	0
7	Nomination and remuneration committee	13-09-2024	12			true	3	3	2	0
8	Risk Management Committee	14-08-2024				true	5	5	3	0
9	Risk Management Committee	19-09-2024	35			true	5	5	3	0

Annexure I

VI. Affirmations		
Sr	Subject	Compliance status (Yes/No)
1	The composition of Board of Directors is in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015	true
2	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015 a. Audit Committee	true
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. b. Nomination & remuneration committee	true
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. c.Stakeholders relationship committee	true
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. d. Risk management committee (applicable the top 1000 listed entities)	Yes
6	The committee members have been made aware of their powers, role and responsibilities as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	true
7	The meetings of the board of directors and the above committees have been conducted in the manner as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	true
8	This report and/or the report submitted in the previous quarter has been placed before Board of Directors.	true
9	Any comments/observations/advice of Board of Directors may be mentioned here:	

Annexure I

Sr	Subject	Compliance status
1	Name of signatory	Muthiah Ganapathy
2	Designation	Company Secretary and Compliance Officer

Details of Cyber security incidence

Whether as per Regulation 27(2)(ba) of SEBI (LODR) Regulations, 2015 there has been cyber security incidents or breaches or loss of data or documents during the quarter	false
Other details of cyber security incidence or breaches or loss of data event	
Number of cyber security incidence or breaches or loss of data event occurred during the quarter	

Additional Half yearly Disclosure

Signatory Details

Name of signatory	Muthiah Ganapathy
Designation of person	Company Secretary and Compliance Officer
Place	Mumbai
Date	31-01-2025

Investor Grievance Details

No. of investor complaints pending at the beginning of Quarter	0
No. of investor complaints received during the Quarter	0
No. of investor complaints disposed off during the Quarter	0
No. of investor complaints those remaining unresolved at the end of the Quarter	0

Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies- The details of acquisition of shares or voting rights in unlisted companies during the quarter in terms of sub-para 1 of para A of Part A of Schedule III are given below:

Any Other Information for Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies					
Sr.No.	Name of the unlisted company in which shares or voting rights have been acquired	Date of acquisition	Aggregate holding (% shares or voting rights) as at the end of the previous quarter	% shares or voting rights acquired during the quarter	Aggregate holding (% shares or voting rights) as at the end of the quarter
1	Saksham Gram Credit Private Limited	10-10-2024	0.00	6.90	6.90

Disclosure of Imposition of Fine or Penalty The details of imposition of fine or penalty during the quarter in terms of sub-para 20 of para A of Part A of Schedule III are given below:

Any Other Information for Disclosure of Imposition of Fine or Penalty					
Sr.No.	Name of the authority	Nature and details of the action(s) taken or order(s) passed	Date of receipt of direction or order, including any ad interim or interim orders, or any other communication from the authority	Details of the violation(s)/ contravention(s) committed or alleged to be committed	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible
1	NA	NA	31-12-2024	NA	NA

Disclosure of Updates to Ongoing Tax Litigations or Disputes The updates on tax litigations or disputes in terms of sub-para 8 of para B of Part A of Schedule III read with corresponding provisions of Annexure 18 of the Master Circular are given below:

Any Other Information for Disclosure of Updates to Ongoing Tax Litigations or Disputes				
Sr.No.	Name of the opposing party	Date of initiation of the litigation / dispute	Status of the litigation / dispute as per last disclosure	Current status of the litigation / dispute
1	NA	31-12-2024	NA	NA