



Utkarsh Small Finance Bank

Date: October 22, 2020

TO,  
BSE LIMITED,  
PHIROZE JEEJEEBHOY TOWERS,  
DALAL STREET,  
MUMBAI – 400001 (MH)

Scrip Code: 949694  
ISIN: INE396P07035  
Unlisted Equity ISIN: INE735W01017

Dear Sir/ Madam,

**Subject: Compliance Certificate pursuant to Regulation 7 (3) of SEBI (Listing  
Obligation and Disclosure Requirements) Regulation 2015**

We are enclosing herewith the compliance certificate under Regulation 7(3) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

We request you to kindly take the above submissions on your records please.

**For Utkarsh Small Finance Bank Limited**

**Nutan Anand Rane  
(Company Secretary)**



**Registered & Corporate Office:**

Utkarsh Small Finance Bank Ltd. S-24/1-2, First Floor, Mahavir Nagar, Orderly Bazar, Varanasi-221002, Uttar Pradesh  
CIN: U65992UP2016PLC082804 | Tel.: +91-542-2500596 | Website: www.utkarsh.bank

## NSDL Database Management Limited



October 19, 2020

The Secretary  
BSE Limited  
P J Towers  
Dalal Street  
Mumbai - 400 001

Subject: Compliance Certificate pursuant to regulation 7(3) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, for the Half year ended September 30, 2020.

Dear Sir(s),

Utkarsh Small Finance Bank Limited has appointed NSDL Database Management Limited, having Registration No. IN200963 as Registrar & Share Transfer Agents for handling electronic connectivity of Debentures

Pursuant to regulation 7(3) SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, all the activities in relation to the electronic facilities of NCDs for Utkarsh Small Finance Bank Limited are maintained by NSDL Database Management Limited.

There are no Physical NCDs issued and outstanding for Utkarsh Small Finance Bank Limited.

Request you to kindly take the same on your record.

Yours faithfully,

**For NSDL Database Management Limited**

**Vijay Gupta**  
**Sr. Vice President**

Signature valid  
Digitally signed  
by Vijay Gupta  
Date: 2020.10.19  
14:10:07 +05:30

4<sup>th</sup> Floor, 'A' Wing, Trade World, Kamala Mills Compound, Senapati Bapat Marg, Lower Panel, Mumbai - 400 013, India  
Tel.: 91-22-4914 2700 | Fax: 91-22-4914 2503 | Email: info\_ndmi@nsdl.co.in | Web: www.nsdl.co.in | www.ndmi-nsdl.co.in  
CIN: U72400MH2004PLC147D94

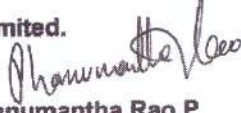



**Compliance Certificate**  
**[Pursuant to Regulation 7 of SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015]**

We, the undersigned, hereby certify that all activities in relation to both physical and electronic share transfer facilities are maintained by Registrar and Share Transfer Agent i.e. KFIN Technologies Private Limited having their office at Karvy House, 46, Avenue – 4, Street No.1, Banjara Hills, Hyderabad – 500034. We confirm that KFIN Technologies Private Limited is registered with Securities and Exchange Board of India vide Registration No. INR000000221 to act as Registrar and Share Transfer Agent.

Further, we wish to state that the Company i.e., Utkarsh Small Finance Bank Limited is adopting "April to March" as its Financial Year and accordingly we are submitting the compliance certificate for half of the financial year ended on September 30, 2020, i.e. for the period from April 01, 2020 to September 30, 2020, 2020 pursuant to Regulation 7(3) of the SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015.

**For KFIN Technologies Private Limited.** **For Utkarsh Small Finance Bank Limited**

  
**Hanumantha Rao P**  
**Senior Manager**

  
**(Nutan Anand Rane)**  
**Company Secretary**



**Date: 03.10.2020**

**Place: Hyderabad**

**KFin Technologies Private Limited**  
(Formerly known as "Karvy Fintech Private Limited")

**Registered & Corporate Office**

Selenium Building, Tower-8, Plot No- 31 & 32, Financial District, Nanakram-guda, Serilingampally, Hyderabad, Rangareddy, Telangana, India, 500032.  
Ph : +91 40 6715 2222, 7961 1900 | <https://www.kfintech.com> | CIN : U72400TG2017PTC117649