

Date: 5<sup>th</sup> October 2018

We, Link Intime India Pvt. Ltd. having registered office at C-101, 1<sup>st</sup> Floor, 247 Park, LBS Marg, Vikhroli (West) Mumbai – 400 083 are acting as Registrar and Share Transfer Agents for and on behalf of AU Small Finance Bank Limited, do hereby certify the correctness of the following details.

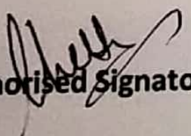
### Summary of Investor Grievance Redressal

From Date: 01-07-2018 to 30-09-2018

Sr .No	Nature of Complaint	Number of Complaints pending as on June 30, 2018.	Number of Complaints received during the period July 1, 2018 to September 30, 2018.	Number of Complaints disposed of during the period July 1, 2018 to September 30, 2018.	Number of Complaints remained unresolved as on September 30, 2018.
1	Non-Receipt of Dividend/ Interest/ Redemption Warrant	0	0	0	0
2	Non-Receipt of Annual Report-BSE	0	1	1	0
3	Non-receipt of Refund/Credit of Shares – IPO	0	2	2	0
4	SEBI- Scores	0	0	0	0
	<b>Total</b>	<b>0</b>	<b>3</b>	<b>3</b>	<b>0</b>

Yours faithfully

For Link Intime India Pvt. Ltd.

  
Authorised Signatory

Ref: AUSFB/SEC/2018-19/421

Date: 9<sup>th</sup> October 2018

To,

Listing Department National Stock Exchange of India Limited, Exchange Plaza, Bandra Kurla Complex, Bandra (East), Mumbai 400051, Maharashtra.  <b>NSE Symbol: AUBANK</b>	Department of Corporate Services, The BSE Ltd., Phiroz Jee jee bhoy Towers, Dalal Street, Mumbai 400001, Maharashtra.  <b>Scrip Code: 540611</b>
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Dear Sir/Madam,

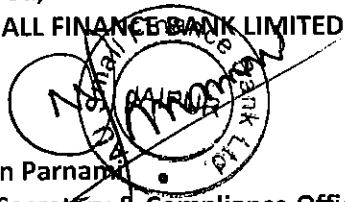
**Sub: Statement under Regulation 13(3) of the SEBI (Listing Obligation and disclosure requirements) Regulations, 2015 for the quarter ended on 30<sup>th</sup> September 2018.**

We hereby enclose the Investor Grievance Redressal Certificate for Debt Securities of AU Small Finance Bank Limited received from our Registrar and Share Transfer Agents Link Intime India Private Limited for the quarter ended on 30<sup>th</sup> September 2018, in pursuance with the aforementioned regulation.

You are requested to take the above on records.

Thanking You,

For AU SMALL FINANCE BANK LIMITED



Manmohan Parnami  
Company Secretary & Compliance Officer

Encl: as above

Registered Office  
AU SMALL FINANCE BANK LIMITED  
19-A Dhuleshwar Garden, Ajmer Road,  
Jaipur - 302001, Rajasthan, India  
Phone: +91 141 4110060/61, Fax: +91 141 4110090  
CIN: L36911RJ1996PLC011381  
Formerly known as Au Financiers (India) Limited



Link Intime India Pvt. Ltd.  
CIN : U67190MH1999PTC118368  
C- 101, 247 Park, L.B.S. Marg,  
Vikhroli (West), Mumbai - 400 083.  
Tel. : +91 22 4918 6000  
Fax : +91 22 4918 6060  
E-mail : mumbai@linkintime.co.in  
Website : www.linkintime.co.in

October 1, 2018

TO,

**UNIT: AU SMALL FINANCE BANK LIMITED**

Sub.:	Statement of Investor Complaints for the quarter ended on September 30,2018 w.r.t. Non-Convertible Debentures ("NCDs")
Ref.:	Regulation 13(3) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("SEBI Listing Regulations")

We, Link Intime India Private Limited, are the Registrar and Transfer Agents of the Company w.r.t. said NCDs, only for providing electronic connectivity to the Company.

We further confirm that during the quarter ended on 01<sup>st</sup> July 2018 to 30<sup>th</sup> September 2018, we have not received any complaints/ grievances from holders of the NCDs issued by the Company and a summary of the same, as required in terms of the SEBI Listing Regulations is as follows:

Particulars	No. of Complaints
Pending at the beginning of the quarter	0
Received during the quarter	0
Disposed off during the quarter	0
Remaining unresolved at the end of the quarter	0

This is for your information.

Thanking You.

Yours faithfully,

For Link Intime India Pvt Ltd.

  
Ganesh Jadhav  
Asst. Vice President - Depository Operations

**Ref: AUSFB/SEC/2018-19/421**

**Date: 9<sup>th</sup> October 2018**

To,

Listing Department National Stock Exchange of India Limited, Exchange Plaza, Bandra Kurla Complex, Bandra (East), Mumbai 400051, Maharashtra.  <b>NSE Symbol: AUBANK</b>	Department of Corporate Services, The BSE Ltd., Phiroz Jee jee bhoy Towers, Dalal Street, Mumbai 400001, Maharashtra.  <b>Scrip Code: 540611</b>
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You are requested to take the above on records.

**Thanking You,  
For AU SMALL FINANCE BANK LIMITED**

**Manmohan Parnami  
Company Secretary & Compliance Officer**

**Encl: as above**

**Registered Office**  
**AU SMALL FINANCE BANK LIMITED**  
19-A Dhuleshwar Garden, Ajmer Road,  
Jaipur - 302001, Rajasthan, India  
**Phone:** +91 141 4110060/61, **Fax:** +91 141 4110090  
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