

December 28, 2020

The Secretary National Stock Exchange of India Limited Exchange Plaza, Bandra Kurla Complex Mumbai - 400051 Symbol : EQUITASBNK	The Secretary BSE Limited Phiroze Jeejeebhoy Towers Dalal Street Mumbai - 400 001 Scrip Code : 543243
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Dear Sirs,

**Sub: Inadvertent violation of Code of Conduct for Prevention of Insider Trading of  
Equitas Small Finance Bank Limited by Designated Person**

Pursuant to Clause 13 of Schedule B read with Regulation 9 of SEBI (Prohibition of Insider Trading) Regulations, 2015, we hereby enclose the Report in Annexure A as prescribed under SEBI circular SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020.


The violation was brought to the notice of the Disciplinary Action Committee (DAC) of the Bank, which levied on the violating Designated Persons, a penalty of an amount equivalent to 10% of the value of shares traded in violation of the SEBI Regulations and Internal Code of Conduct.

We request you kindly to take the above on record.

Thanking you,

Yours faithfully,

**For Equitas Small Finance Bank Limited**



**Sampathkumar K R**  
Company Secretary



**Report by Equitas Small Finance Bank Limited for violations related to code of conduct under SEBI (Prohibition of Insider Trading Regulations), 2015**

Schedule B read with Regulation 9(1) of SEBI (Prohibition of Insider Trading Regulations), 2015

Sl. No	Particulars	Details
1.	Name of the listed company	Equitas Small Finance Bank Limited
2.	Reporting in capacity of a) Listed Company b) Intermediary c) Fiduciary	Listed Company
3.	Name of the Designated Person	N Ganesan
	PAN of the DP	AAAPG6288N
	Designation of DP	Vice President
	Functional Role	Vice President - Internal Audit
	Whether DP is promoter/ Promoter group/ holding CXO level Position (e. g CEO, CFO, CTO etc)	No
	Transaction Details	
	a) Name of the Scrip	EQUITASBNK
	b) No. of Shares traded	One Thousand (1000)
	In case of value of trade(s) is more than Rs. 10 lacs in a calendar quarter	
	a) Date of intimation of trade by concerned DP	NA
	b) Date of intimation of trade(s) by company to stock exchanges under Regulation 7 of SEBI (Prohibition of Insider Regulations), 2015	NA
4	Details of violations observed under SEBI (Prohibition of Insider Trading) Regulations, 2015	Sale of One Thousand (1000) shares by DP during trading window closure period as well as entering into contra trade on 10 <sup>th</sup> November 2020.
5	Actions taken by listed company	Disciplinary Acton Committee of the Bank levied a penalty of 10% of traded value for the aforementioned violation by DP.
6	Reasons recorded in writing for taking action stated above	Contravention of SEBI (Prohibition of Insider Trading) Regulations, 2015 and Internal Code of Conduct for Prevention of Insider Trading by Designated Person.
7	Details of previous instances of violations, since last financial year	No such instance of violation by this DP in the past, in respect of the shares of the Company.
8	If any amount collected for Code of Conduct Violation	Nil
	i. Mode of transfer to SEBI –IEPF (Online /DD)	Online
	ii. Details of transfer of payment Online Name of Transferor Bank Name ,Branch Account Number UTR /Transaction Reference Transaction Date Transaction Amount	N Ganesan Equitas Small Finance Bank, T.Nagar N351200007625916 16 December 2020 INR 3345.00
9	Any other relevant Information	Nil

Yours Faithfully,  
**For Equitas Small Finance Bank Limited**



Sampathkumar K R  
Company Secretary & Compliance Officer  
PAN: AHMPR0088C  
Email: [sampathkumarkr@equitasbank.com](mailto:sampathkumarkr@equitasbank.com)



Place: Chennai  
Date: December 28, 2020



**Report by Equitas Small Finance Bank Limited for violations related to code of conduct under SEBI (Prohibition of Insider Trading Regulations), 2015**

Schedule B read with Regulation 9(1) of SEBI (Prohibition of Insider Trading Regulations), 2015

Sl. No	Particulars	Details
1.	Name of the listed company	Equitas Small Finance Bank Limited
2.	Reporting in capacity of d) Listed Company e) Intermediary f) Fiduciary	Listed Company
3.	Name of the Designated Person	G Thanikachalam
	PAN of the DP	AELPT2606L
	Designation of DP	Deputy Vice President
	Functional Role	Deputy Vice President - Information Security
	Whether DP is promoter/ Promoter group/ holding CXO level Position (e. g CEO, CFO, CTO etc)	No
	Transaction Details	
	c) Name of the Scrip	EQUITASBNK
	d) No. of Shares traded	One Thousand One Hundred and Eighty One ( 1181)
	In case of value of trade(s) is more than Rs. 10 lacs in a calendar quarter	
	c) Date of intimation of trade by concerned DP	NA
	d) Date of intimation of trade(s) by company to stock exchanges under Regulation 7 of SEBI (Prohibition of Insider Regulations), 2015	NA
4	Details of violations observed under SEBI (Prohibition of Insider Trading) Regulations, 2015	Sale of One Thousand One Hundred and Eighty One ( 1181) shares by DP during trading window closure period as well as entering into contra trade on 10 <sup>th</sup> November 2020.
5	Actions taken by listed company	Disciplinary Acton Committee of the Bank levied a penalty of 10% of traded value for the aforementioned violation by DP.
6	Reasons recorded in writing for taking action stated above	Contravention of SEBI (Prohibition of Insider Trading) Regulations, 2015 and Internal Code of Conduct for Prevention of Insider Trading by Designated Person.
7	Details of previous instances of violations, since last financial year	No such instance of violation by this DP in the past, in respect of the shares of the Company.
8	If any amount collected for Code of Conduct Violation  i. Mode of transfer to SEBI –IEPF (Online /DD) ii. Details of transfer of payment	Online  G. Thanikachalam Standard chartered bank, A/C No: 42111667999 LB36702012236530 23 December 2020 INR 3947.00
9	Any other relevant Information	Nil

Yours Faithfully,  
**For Equitas Small Finance Bank Limited**



Sampathkumar K R  
Company Secretary & Compliance Officer  
PAN: AHMPR0088C  
Email: [sampathkumarkr@equitasbank.com](mailto:sampathkumarkr@equitasbank.com)



Place: Chennai  
Date: December 28, 2020