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General information about company

Scrip code	542904
NSE Symbol	UJJIVANSFB
MSEI Symbol	NA
ISIN	INE551W01018
Name of the entity	Ujjivan Small Finance Bank Limited
Date of start of financial year	01-04-2023
Date of end of financial year	31-03-2024
Reporting Quarter	Half Yearly
Date of Report	30-09-2023
Risk management committee	Applicable
Market Capitalisation as per immediate previous Financial Year	Top 1000 listed entities

Enter the quarter ended date only

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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 explanation		Add Notes																							
Whether the listed entity has a Regular Chairperson				Yes																					
Whether Chairperson is related to CEO or CFO				No																					
Disqualification of Directors under section 161 of the Companies Act, 2013																									
Sr	Title (Mr / Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of Birth	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(1)(c) of Listing Regulations)	Date of passing special resolution	Initial Date of appointment	Date of Re-appointment	Date of cessation	Term of director (in months)	No of Directorship held entities including this listed entity (Refer Regulation 17K of Listing Regulations)	No of Independent Directorship held entities including this listed entity (Refer Regulation 17K(a) & 17K(b))	Number of memberships in Audit/ Shareholder Committee/ including the listed entity (Refer Regulation 20(2) of Listing Regulations)	No of post of Chairperson in Audit/ Shareholder Committee held in listed entity including the listed entity (Refer Regulation 20(2) of Listing Regulations)	Notes for non-prevailing case	Notes for non-prevailing case
1	Mr	Balraj Arathanamash Prabhakar		02101809	Non-Executive - Independent Director	Chairman		04-08-1953	Yes				Active	NA		26-08-2021	26-08-2021		24	1	1	2	1		
2	Mr	Hitesh Ghosh	06442816		Executive Director	Not Applicable	CEO MD	04-03-1955	Yes				Active	NA		14-01-2022	14-01-2022		24	1	0	1	0		
3	Mr	Rajiv Mishra	08380001		Non-Executive - Independent Director	Not Applicable		23-01-1957	Yes				Active	NA		16-12-2020	16-12-2020		24	1	1	1	0		
4	Mr	Rajesh Kumar Singh	03341036		Director	Not Applicable		04-03-1968	Yes				Active	NA		25-08-2021	25-08-2021		24	1	1	1	0		
5	Mr	Ravichandran Venkateswaran	02064547		Non-Executive - Independent Director	Not Applicable		22-03-1962	Yes				Active	NA		26-08-2021	26-08-2021		24	1	1	2	0		
6	Mr	Sudha Suresh	04805647		Director	Not Applicable		21-12-1963	Yes				Active	NA		01-09-2022	01-09-2022		18	1	1	2	1		
7	Mr	Suresh Kumar Ghosh	00893060		Non-Executive - Non-Independent Director	Not Applicable		01-12-1969	Yes				Active	NA		26-08-2021	26-08-2021		24	2	0	2	0		
8	Mr	Satyajit Beraag	02189491		Director	Not Applicable		06-09-1968	Yes				Inactive	NA		22-12-2021	22-12-2021		17-07-2022	18	1	0	0		
9	Mr	Aditya Rameshchandra	00118181		Non-Executive - Independent Director	Not Applicable		28-08-1955	Yes				Active	NA		09-07-2022	01-07-2022		18	0	6	1	0		

Annexure 1

II. Composition of Committees

Disclosure of notes on composition of committees explanatory

Add Notes

For this quarter kindly note the following points:

1. Date of Appointment and Date of Cessation (if applicable) must be mandatorily filled for every Committee.
2. Date of Appointment can be any day upto September 30, 2022.
3. Date of Cessation must be for the current quarter only, i.e. July 1,2022 to September 30,2022

Note: Please enter DIN. After entering DIN, Name of Committee members and Category 1 of Directors shall be prefilled automatically

Audit Committee Details							
Whether the Audit Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	06480567	Sudha Suresh	Non-Executive - Independent Director	Chairperson	01-04-2022		1
2	03341036	Rajesh Kumar Jogi	Non-Executive - Independent Director	Member	27-03-2021		2
3	08386001	Rajni Mishra	Non-Executive - Independent Director	Member	19-05-2021		
4	02064557	Ravichandran Venkataraman	Non-Executive - Independent Director	Member	26-08-2021		
5							
6							
7							
8							
9							
10							

Note: Please enter DIN. After entering DIN, Name of Committee members and Category 1 of Directors shall be prefilled automatically

Nomination and remuneration committee							
Whether the Nomination and remuneration committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	00118188	Anita Ramachandran	Non-Executive - Independent Director	Chairperson	01-07-2022		
2	02064557	Ravichandran Venkataraman	Non-Executive - Independent Director	Member	26-08-2021		
3	02101808	Banavar Anatharamaiah Prabhakar	Non-Executive - Independent Director	Member	26-08-2021		
4	03341036	Rajesh Kumar Jogi	Non-Executive - Independent Director	Member	13-08-2021		3
5	00185369	Samit Kumar Ghosh	Non-Executive - Non Independent Director	Member	26-08-2021		
6							
7							
8							
9							
10							

Note: Please enter DIN. After entering DIN, Name of Committee members and Category 1 of Directors shall be prefilled automatically

Stakeholders Relationship Committee							
Whether the Stakeholders Relationship Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	02101808	Banavar Anatharamaiah Prabhakar	Non-Executive - Independent Director	Chairperson	01-07-2022		4

2	06480567	Sudha Suresh	Non-Executive - Independent Director	Member	26-08-2021		5
3	00185369	Samit Kumar Ghosh	Non-Executive - Non Independent Director	Member	26-08-2021		
4	06442816	Ittira Davis	Executive Director	Member	28-01-2022		
5	02064557	Ravichandran Venkataraman	Non-Executive - Independent Director	Member	26-08-2021		
6							
7							
8							
9							
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Risk Management Committee							
Whether the Risk Management Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	08386001	Rajni Mishra	Non-Executive - Independent Director	Chairperson	25-02-2021		
2	02101808	Banavar Anatharamaiah Prabhakar	Non-Executive - Independent Director	Member	26-08-2021		
3	03341036	Rajesh Kumar Jogi	Non-Executive - Independent Director	Member	27-03-2021		6
4	06480567	Sudha Suresh	Non-Executive - Independent Director	Member	26-08-2021		7
5	06442816	Ittira Davis	Executive Director	Member	28-01-2022		
6	00185369	Samit Kumar Ghosh	Non-Executive - Non Independent Director	Member	12-05-2022		
7							
8							
9							
10							

Note: Please enter DIN. After entering DIN, Name of Committee members and Category 1 of Directors shall be pre-filled automatically

Corporate Social Responsibility Committee							
Whether the Corporate Social Responsibility Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	03341036	Rajesh Kumar Jogi	Non-Executive - Independent Director	Chairperson	26-08-2021		11
2	06480567	Sudha Suresh	Non-Executive - Independent Director	Member	26-08-2021		12
3	06442816	Ittira Davis	Executive Director	Member	28-01-2022		
4	08386001	Rajni Mishra	Non-Executive - Independent Director	Member	01-07-2022		
5	00118188	Anita Ramachandran	Non-Executive - Independent Director	Member	01-07-2022		
6							
7							
8							
9							
10							

Other Committee						
Sr	DIN Number	Name of Committee members	Name of other committee	Category 1 of directors	Category 2 of directors	Remarks
1						
2						
3						
4						
5						
6						
7						
8						
9						
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Disclosure of notes on meeting of board of directors explanatory

[Add Notes](#)

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*
	Add Delete						
1	11-05-2023			Yes	10	10	6
2	14-06-2023	33		Yes	9	8	6
3	27-07-2023	42		Yes	8	7	5

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* to be filled in only for the current quarter meetings

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IV. Meeting of Committees

Disclosure of notes on meeting of committees explanatory							Add Notes			
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)
Add Delete										
1	Audit Committee	11-04-2023				Yes	5	5	4	0
2	Audit Committee	09-05-2023	27			Yes	5	5	4	0
3	Audit Committee	26-07-2023	77			Yes	4	4	4	0
4	Nomination and Remuneration committee	05-05-2023				Yes	5	5	4	0
5	Nomination and remuneration committee	11-05-2023	5			Yes	5	5	4	0
6	Nomination and remuneration committee	14-06-2023	33			Yes	5	5	4	0
7	Risk Management Committee	08-05-2023				Yes	6	6	4	0
8	Risk Management Committee	20-06-2023	42			Yes	6	5	4	0
9	Risk Management Committee	25-07-2023	34			Yes	6	6	4	0
10	Corporate Social Responsibility Committee	25-08-2023	30			Yes	5	5	4	0

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* to be filled in only for the current quarter meetings

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V. Related Party Transactions			
Sr	Subject	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.
1	Whether prior approval of audit committee obtained	Yes	
2	Whether shareholder approval obtained for material RPT	NA	
3	Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	Yes	
Disclosure of notes on related party transactions			Add Notes
Disclosure of notes of material transaction with related party			Add Notes

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WI Details of non compliance of prior approval of audit committee obtained
 WI Details of non compliance of shareholder approval obtained for material RPT
 WI Details of non compliance of RPT entered into pursuant to omnibus approval have been reviewed by audit committee
 Dis Disclosure notes on quarterly formats for compliance report on corporate governance
 Disclosure of notes of material transaction with related party

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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			No
Date of the event		Brief details of the event	

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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	Yes
2	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015 a. Audit Committee	Yes
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. b. Nomination & remuneration committee	Yes
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. c. Stakeholders relationship committee	Yes
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. d. Risk management committee (applicable to 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.	Yes
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.	Yes
8	This report and/or the report submitted in the previous quarter has been placed before Board of Directors.	Yes
9	Any comments/observations/advice of Board of Directors may be mentioned here:	Add Notes

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Sr	Subject	Compliance status
1	Name of signatory	Sanjeev Barnwal
2	Designation	Company Secretary and Compliance Officer

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Sr	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.
1	Copy of the annual report including balance sheet, profit and loss account, directors report, corporate governance report, business responsibility report displayed on website	46(2)	Yes	
2	Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes	
3	Presence of Chairperson of the nomination and remuneration committee at the annual general meeting	19(3)	Yes	
4	Presence of Chairperson of the Stakeholder Relationship committee at the annual general meeting	20(3)	Yes	
5	Disclosure of the Secretarial Audit Report of the listed entity and the material subsidiaries in the Annual Report	24A(1)	Yes	
6	Submission of Annual Secretarial Compliance Report	24A(2)	Yes	
7	Whether "Corporate Governance Report" disclosed in Annual Report	34(3) read with para C of Schedule V	Yes	
Any other information to be provided				Add Notes

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1	Name of signatory	Sanjeev Barnwal
2	Designation	Company Secretary and Compliance Officer

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Additional Half yearly Disclosure			
Applicability of disclosure	Not Applicable		
Reason for Non Applicability	Add Notes		
I. Disclosure of Loans/ guarantees/comfort letters /securities etc.refer note below		The Figure should be mentioned in Actual INR only	
(A)Any loan or any other form of debt advanced by the listed entity directly or indirectly to			
Entity	Aggregate amount advanced during six months	Balance outstanding at the end of six months	
Promoter or any other entity controlled by them			
Promoter Group or any other entity controlled by them			
Directors (including relatives) or any other entity controlled by them			
KMPs or any other entity controlled by them			
(B) Any guarantee / comfort letter (by whatever name called) provided by the listed entity directly or indirectly, in connection with any loan(s) or any other form of debt availed By			
Entity	Type (guarantee, comfort letter etc.)	Aggregate amount of issuance during six months	Balance outstanding at the end of six months(taking into account any invocation)
Promoter or any other entity controlled by them			
Promoter Group or any other entity controlled by them			
Directors (including relatives) or any other entity controlled by them			
KMPs or any other entity controlled by them			
(C) Any security provided by the listed entity directly or indirectly, in connection with any loan(s) or any other form of debt availed by			
Entity	Type of security (cash, shares etc.)	Aggregate value of security provided during six months	Balance outstanding at the end of six months
Promoter or any other entity controlled by them			
Promoter Group or any other entity controlled by them			
Directors (including relatives) or any other entity controlled by them			
KMPs or any other entity controlled by them			
(D) Additional Information			Add Notes
II. Affirmations			
Affirmations		Compliance Status	Company Remarks
All loans (or other form of debt), guarantees, comfort letters (by whatever name called) or securities in connection with any loan(s) (or other form of debt) given directly or indirectly by the listed entity to			Add Notes
Name			
Designation			
Place			
Date			

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Signatory Details

Name of signatory	Sanjeev Barnwal
Designation of person	Company Secretary and Compliance Officer
Place	Bengaluru
Date	11-10-2023

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