ESAF
ESAF SMALL FINANCE BANK
Joy of Banking

Ref No: 05/SE/CS/JAN/2023-24

Date: January 12, 2024

To,

Listing Department **BSE Limited** **Phiroze Jeejeebhoy Towers,** **Dalal Street, Mumbai – 400001**	**Listing & Compliance Department** **National Stock Exchange of India Limited** **Exchange Plaza, 5th Floor** **Plot No.C/1, “G” Block** **Bandra- Kurla Complex** **Bandra(E), Mumbai- 400051**
BSE Scrip Code: 544020	**NSE Symbol: ESAFSFB**

Dear Sir / Madam,

Sub: Submission of Structured Digital Database Compliance Certificate

In compliance with Regulation 3(5) of SEBI (Prohibition of Insider Trading) Regulations, 2015, we hereby enclose the Structured Digital Database Compliance Certificate for the quarter ended December 31, 2023.

The intimation of submission of structured Digital Database Compliance Certificate is also made available on the website of the bank at www.esafbank.com.

Requesting you to take the same into your records.

Thank you

Yours faithfully

For ESAF Small Finance Bank Limited

RANJITH RAJ PARAMESWARAN
Digitally signed by RANJITH RAJ PARAMESWARAN
Date: 2024.01.12 16:49:55 +05'30'

Ranjith Raj. P
Company Secretary and Compliance Officer

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED DECEMBER 31, 2023

(Pursuant to Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015)

I, Ranjith Raj P, Compliance Officer of the company, have examined the following compliance requirement of ESAF Small Finance Bank Limited (the Bank) and certify that the Bank has maintained a Structured Digital Database (SDD) pursuant to provisions of Regulation 3(5) and 3(6) of **Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015** (PIT Regulations):

Sr. No	Compliance Requirement	Yes/No	Observation/ Remark
1.	Whether the Company has a Structured Digital Database in place?	Yes	
2.	Whether control exists as to who can access the SDD for read/ write along with the names and PAN of such person?	Yes	
3.	Whether all the UPSI have been captured in the Database. If not details of events that have not been captured and the reason for the same?	Yes	
4.	Whether the recipient were upfront informed that the information which they will be receiving shortly is UPSI and the entry has been captured in the Database prior to forwarding the UPSI data. If not details of events that have not been captured and the reason for the same?	Yes	
5.	Whether nature of UPSI have been captured along with date and time?	Yes	
6.	Whether name of persons who have shared the information has been captured along with PAN or any other identifier?	Yes	
7.	Whether name of persons with whom information is shared has been captured along with PAN or any other identifier?	Yes	
8.	Whether the database has been maintained internally?	Yes	
9.	Whether audit trail is maintained?	Yes	
10.	Whether time stamping is maintained?	Yes	
11.	Whether the database is non-tamperable?	Yes	
12.	Any other measures to ensure non-tamperability of the Database?	No	The SDD maintained by the Bank is non tamperable as per the requirement of SEBI (PIT) Regulations, 2015

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The number of days for which non-compliance was observed: Nil

Further I also confirm that the Company was required to capture 5 number of events during the quarter/half year ended and has captured 5 number of the said required events.

For ESAF Small Finance Bank Limited

RANJITH RAJ PARAMESWARAN

Digitally signed by RANJITH RAJ PARAMESWARAN
Date: 2024.01.12 16:50:17 +05'30'

Ranjith Raj P

Company Secretary and Compliance Officer

Date : January 12, 2023

Place : Thrissur