

October 04, 2023

To,

The Department of Corporate Services  
BSE Limited  
Phiroze Jeejeebhoy Towers,  
Dalal Street, Mumbai — 400001

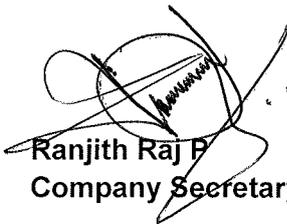
**Sub: Submission of Structured Digital Database Compliance Certificate**

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 September 30, 2023.

Requesting you to take the same on your records.

Thanking You,

For ESAF Small Finance Bank Limited

  
Ranjith Raj P  
Company Secretary and Compliance Officer



**COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED SEPTEMBER 30, 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

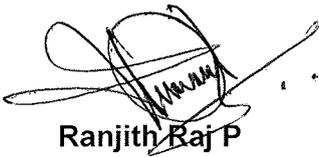


			SEBI (PIT) Regulations, 2015
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The number of days for which non-compliance was observed: Nil

Further I also confirm that the Company was required to capture 4 number of events during the quarter/half year ended and has captured 4 number of the said required events.

**For ESAF Small Finance Bank Limited**



**Ranjith Raj P**  
**Company Secretary and Compliance Officer**

**Date : October 04, 2023**

**Place : Thrissur**