



Ref. - SSFB/CS/24/2021-2022

Date: July 23, 2021

To,
Listing Department
National Stock Exchange of India Limited
Exchange Plaza, C-1, Block G, Bandra Kurla
Complex,
Bandra (East)
Mumbai – 400051

Listing Department
BSE Limited
Phiroze Jeejeebhoy Towers
Dalal Street, Fort,
Mumbai – 400 001

Symbol: **SURYODAY**

Scrip Code: **543279**

Dear Sir/Madam,

Sub: Reporting of violation related to Code of Conduct under Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 read with SEBI circular dated July 23, 2020.

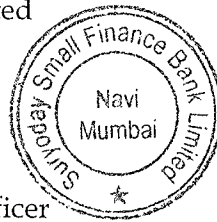
With respect to the above subject, please find attached herewith the report of Violation of Code of Conduct under Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 read with SEBI circular No. SEBI/HO/ISD/ISD/CIR/P/2020/135 dated July 23, 2020, in prescribed form as **Annexure A**.

The Compliance Officer of the Bank brought the violation to the notice of the Audit Committee at its meeting held on July 22, 2021. The Committee considered the submissions of the Designated Person and requested him to exercise due diligence in future.

We request you to take note of the above.

Thanking You,
For Suryoday Small Finance Bank Limited

Geeta Krishnan
Company Secretary and Compliance Officer
A6011



SURYODAY SMALL FINANCE BANK LIMITED

**Report by Suryoday 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

SEBI (Prohibition of Insider Trading) Regulations, 2015 read with SEBI Circular dated 23rd July, 2020

Sr. No.	Particulars	Details
1	Name of the listed company/ Intermediary Fiduciary	Suryoday Small Finance Bank Limited
2	Please tick appropriate checkbox Reporting in capacity of : <input checked="" type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3	A. Details of Designated Person (DP)	
	i. Name of the DP	Mr. John Arunkumar Diaz
	ii. PAN of the DP	AECPD6518C
	iii. Designation of DP	Independent Director
	iv. Functional Role of DP	Non-Executive Director
	v. Whether DP is Promoter or belongs to Promoter Group	No
	B. If Reporting is for immediate relative of DP	
	i. Name of the immediate relative of DP	N.A.
	ii. PAN of the immediate relative of DP	N.A.
	C. Details of transaction(s)	
	i. Name of the scrip	NSE-SURYODAY/ BSE-543279
	ii. No. of shares traded and value (Rs.) (Date- wise)	(a) Purchased 450 Shares on July 6,2021 for Rs. 99935.34/-. (b) Reversed the transaction by selling the said 450 shares on July 7,2021 for Rs. 98313.57/-resulting in a loss of Rs. 1622/-.
	D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter	
	i. Date of intimation of trade(s) by concerned DP/director /promoter / promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015	NA
	ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	NA
4	Details of violations observed under Code of Conduct	Trade done on July 6 to July 7 during Trading window closure period, Trading window closed from July 1, 2021 to mid-august 2021.
5	Action taken by Listed company/ Intermediary Fiduciary	As per the clause 13.2 of the Bank's Code of Conduct for Prevention of Insider Trading, the matter was placed before the Audit Committee of the Board at its meeting held on July 22 2021. The matter was discussed by the

**SURYODAY SMALL FINANCE BANK LIMITED**Regd & Corp Office : 1101, Sharda Terraces, Plot 65, Sector 11, CBD Belapur, Navi Mumbai - 400614 Tel: 022-40435800
Email: info@suryodaybank.com | Web: www.suryodaybank.com | CIN: U65923MH2008PLC261472 | GSTIN : 27AAMCS5499J1ZG



		Committee and in view of the volume of trade and the Designated Person's clarifications regarding the trading being inadvertent, the Committee advised him to exercise due diligence in compliance with all regulatory matters.												
6	Reasons recorded in writing for taking action stated above	Designated person clarified that the transaction was carried out of inadvertence and provided assurance that he will be careful.												
7	Details of the previous instances of violations, if any, since last financial year	Nil												
8	If any amount collected for Code of Conduct violation(s)													
	i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)	No												
	ii. Details of transfer/payment In case of Online:	Not Applicable												
	<table border="1"> <thead> <tr> <th>Particulars</th> <th>Details</th> </tr> </thead> <tbody> <tr> <td>Name of the transferor</td> <td></td> </tr> <tr> <td>Bank Name, branch and Account number</td> <td></td> </tr> <tr> <td>UTR/Transaction reference Number</td> <td></td> </tr> <tr> <td>Transaction date</td> <td></td> </tr> <tr> <td>Transaction Amount (in Rs.)</td> <td></td> </tr> </tbody> </table>		Particulars	Details	Name of the transferor		Bank Name, branch and Account number		UTR/Transaction reference Number		Transaction date		Transaction Amount (in Rs.)	
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9	Any other relevant information	Nil												

Date: 23/07/2024

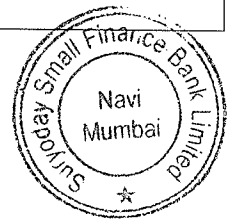
Place: Navi Mumbai

Yours faithfully,

Signature: _____

Name: Geeta Krishnan, Company Secretary & Compliance Officer

Email ID: geeta.krishnan@suryodaybank.com

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