

SECTION - IV - COMPLIANCE

Indian Bank

COMPLIANCE CERTIFICATE FOR THE HALF YEAR ENDED September 2021**A No conflict of interests with other activities**

The activities other than debenture trusteeship performed by DT are not in conflict with DT activities and appropriate systems and policies have been put in place to protect the interests of debenture holders.

Yes

B Change in status or constitution

Reporting of 'changes in status or constitution' of DT (In terms of SEBI Circular No. CIR/MIRSD/10/2011 dated June 20, 2011)

Nil

C Other Information

(i) Details of arrest / conviction of key officials of DT

Nil

(ii) Details of prosecution cases or criminal complaints filed by investors against the DT

Nil

(iii) Details of any fraudulent activity by the employees associated with DT activities and action taken by the DT

Nil

(iv) Details of conviction of any offence involving moral turpitude or any economic offence by employees of DT

Nil

(v) Action taken by the DT on the above issues

Nil

D Compliance with registration requirements

Certified that the requirements specified for SEBI registration as DT are fulfilled, the details are as under;

(i) Net worth (audited) as defined in the Regulations as on FY ended 31.03.2021

Rs.29812.49 crores

(ii) Any change in infrastructure since the last report / registration/ renewal

No Changes

(iii) Changes in Key personnel during the half year ended September 2021

Name(s) of the key personnel	Appointment	Date of Appointment	Qualification	Experience	Functional areas of work
Mr. Shanti Lal Jain	Appointed as Managing Director & Chief Executive Officer	01.09.2021	Post Graduate in Commerce, Chartered Accountant and Company Secretary	Mr. Shanti Lal Jain joined Allahabad Bank in the year 1993 in Middle Management cadre rose up to the level of General Manager of the Bank. As a General Manager, he has served as Chief Financial Officer, Chief Risk Officer and headed IT department of the Bank. He has also headed Agra Zone as Zonal Manager and as Field General Manager (West) Mumbai. He served as Executive Director of Bank of Baroda since September 2018. He played a pivotal role in the amalgamation process of Vijaya Bank and Dena Bank with Bank of Baroda. He was overseeing Large Corporate Credit, Stressed Assets and International Banking in BoB. He was also serving as Nominee Director /Chairman in the subsidiaries of BoB in Uganda, Tanzania, Baroda Global Shared Services (BGSS) etc.	

Cessation

Mr. K Ramachandran	Mr. K Ramachandran , Executive Director of the bank has demitted office on 30.06.2021 upon super annuation. Accordingly, Mr. K Ramachandran has ceased to be Executive director of the bank with effect from 01.07.2021
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E Details of deficiencies and non compliances

Nil

F Details of the review of the report by the Board of Directors

Date of Board Review (dd/mm/yyyy)

28.10.2021

Observation of the BoD on

i) the deficiencies and non compliances

NIL

ii) corrective measures initiated

NIL

Certified that we have complied with SEBI (Debenture Trustee) Regulations, 1993, applicable provisions of SEBI (Issue and Listing of Debt Securities) Regulations, 2008, Circulars issued by SEBI and any other laws applicable from time to time except the deficiencies and non compliances those specifically reported at Section IV (E) above:

Name of Compliance Officer

C S Shridevi

Email ID

debenturetrustee@indianbank.co.in