

## FORM NL-37-DOWN GRADING OF INVESTMENT-2

Company Name &amp; Code: Universal Sompo General Insurance Company Limited ; 134

Statement as on: September 30, 2016

Name of the Fund :

UNIVERSAL SOMPO

Statement of Down Graded Investments

Periodicity of Submission: Quarterly

(₹ in Lakhs)

No	Name of the Security	COI	Amount	Date of Purchase	Rating Agency	Original Grade	Current Grade	Date of Downgrade	Remarks
<b>A. <u>During the Quarter</u><sup>1</sup></b>									
1	NIL	0	-	0	0	0	0	0	0
2	NIL	0	-	0	0	0	0	0	0
3	NIL	0	-	0	0	0	0	0	0
<b>B. <u>As on Date</u><sup>2</sup></b>									
1	8.23% PNB HFL - 09-Apr-2019	HTDN	1,000.00	09-Oct-2015	CARE,ICRA	AAA	AA+	01-Mar-2016	No change in category
2	8.6000% Steel Authority of I - 19-Nov-2019	EPBT	1,001.90	27-Nov-2009	CARE	AAA	AA+	16-Mar-2016	No change in category
3	8.8000% SAIL 2019 - Series-XX-20[I Series(AG)]	EPBT	502.24	13-Jul-2009	CRISIL,CARE	AAA	AA+	16-Mar-2016	No change in category

**CERTIFICATION**

Certified that the information given herein are correct and complete to the best of my knowledge and belief and nothing has been concealed or suppressed.

Signature \_\_\_\_\_

Full Name and Designation

Date:

Note:

- 1 Provide details of Down Graded Investments during the Quarter.
- 2 Investments currently upgraded, listed as Down Graded during earlier Quarter shall be deleted from the Cumulative listing.
- 3 FORM-2 shall be prepared in respect of each fund.
- 4 Category of Investmet (COI) shall be as per INV/GLN/001/2003-04