

FORM NL-37-DOWN GRADING OF INVESTMENT-2

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

Statement as on: June 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 |
|--|--|------|----------|------------------|---------------|----------------|---------------|-------------------|-----------------------|
| A. <u>During the Quarter</u> ¹ | | | | | | | | | |
| 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. <u>As on Date</u> ² | | | | | | | | | |
| 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