

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

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

Statement as on: December 31, 2019

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	7.77% CanFin Homes Ltd - 15-Nov-2021 SRNCD 2016 - SERIES 3	HTDN	500.00	21-Nov-16	FITCH	AAA	AA	43,817.00	No change in category
<b>B. <u>As on Date</u><sup>2</sup></b>									
1	7.77% CanFin Homes Ltd - 15-Nov-2021 SRNCD 2016 - SERIES 3	HTDN	500.00	21-Nov-16	FITCH	AAA	AA	18-Dec-19	No change in category
2	10.70% Sintex Industries Ltd. - 30-Sep-2021	OLDB	101.00	25-Oct-16	CARE	BBB	D	12-Jun-19	No change in category
3	7.77% CanFin Homes Ltd - 15-Nov-2021 SRNCD 2016 - SERIES 3	HTDN	500.00	21-Nov-16	ICRA	AAA	AA+	06-May-19	No change in category
4	7.60% IL&FS - 07-Sep-2020 Option I	OLDB	1,000.00	07-Sep-17	CARE	BB	D	17-Sep-18	Change in category
5	7.65% IL&FS - 26-Jul-2022	OLDB	1,000.00	26-Jul-17	ICRA	BB	D	17-Sep-18	Change in category
6	8.00% IL&FS - 06-Jun-2020	OLDB	1,000.00	06-Jun-17	ICRA	BB	D	17-Sep-18	Change in category
7	7.60% IL&FS - 07-Sep-2020 Option I	OLDB	1,000.00	07-Sep-17	CARE	AAA	BB	09-Sep-18	Change in category
8	7.65% IL&FS - 26-Jul-2022	OLDB	1,000.00	26-Jul-17	ICRA	AAA	BB	09-Sep-18	Change in category
9	8.00% IL&FS - 06-Jun-2020	OLDB	1,000.00	06-Jun-17	ICRA	AAA	BB	09-Sep-18	Change in category
10	10.70% Sintex Industries Ltd. - 30-Sep-2021	OLDB	101.00	25-Oct-16	CARE	A-	BBB	17-May-18	Change in category
11	10.70% Sintex Industries Ltd. - 30-Sep-2021	OLDB	101.00	25-Oct-16	CARE	AA+	A-	04-Jan-18	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 Investment (COI) shall be as per INV/GLN/001/2003-04