

FORM NL-37-DOWN GRADING OF INVESTMENT-2

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

Statement as on: December 31, 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	8.6000% Steel Authority of I - 19-Nov-2019	EPBT	500.75	27-Nov-2009	CARE	AA+	AA	31-Dec-2016	No change in category
2	8.8000% SAIL 2019 - Series-XX-20[I Series(AG)]	EPBT	501.71	13-Jul-2009	CRISIL,CARE	AA+	AA	31-Dec-2016	No change in category
B.	<u>As on Date</u>²								
1	8.23% PNB HFL - 09-Apr-2019	HTDN	1000.00	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	500.75	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	501.71	13-Jul-2009	CRISIL,CARE	AAA	AA+	16-Mar-2016	No change in category
4	8.6000% Steel Authority of I - 19-Nov-2019	EPBT	500.75	27-Nov-2009	CARE	AA+	AA	31-Dec-2016	No change in category
5	8.8000% SAIL 2019 - Series-XX-20[I Series(AG)]	EPBT	501.71	13-Jul-2009	CRISIL,CARE	AA+	AA	31-Dec-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