

NL 37-Downgrading of Investment

(Read with Regulation 10)

Name of the Insurer: Bharti AXA General Insurance Co. Ltd.

Registration Number: 139

Statement as on: 30th Sep 2019

Statement of Down Graded Investments

Periodicity of Submission: Quarterly

PART - A

Name of Fund PH +SH

Rs Lakhs

No	Name of the Security	COI	Amount	Date of Purchase	Rating Agency	Original Grade	Current Grade	Date of last Downgrade	Remarks
A. During the Quarter ¹									
	8.50% INR RELIANCE CAPITAL LIMITED NCD 02-11-2021	OLDB	1,501.31	05-01-2017	CARE	AAA	D	23-09-2019	
	9.12% INR RELIANCE CAPITAL LIMITED NCD 29-06-2020	OLDB	1,500.00	30-09-2015	CARE	A	D	23-09-2019	
	9.35% INR INDIA BULLS HOUSING FINANCE LTD NCD 18-09-2020	EPBT	500.64	18-09-2015	CARE	AAA	AA+	25-09-2019	
	9.00% INR INDIA BULLS HOUSING FINANCE LTD NCD 19-01-2021	EPBT	999.90	19-01-2016	CARE	AAA	AA+	25-09-2019	
	8.25% INR RELIANCE CAPITAL LIMITED NCD 14-04-2020	OLDB	1,000.00	17-02-2017	CARE	AAA	D	23-09-2019	
	9.4648% INR INDIA BULLS HOUSING FINANCE LTD NCD 04-11-2019	EPBT	3,500.00	04-10-2018	CARE	AAA	AA+	25-09-2019	
	8.90% INR RELIANCE CAPITAL LIMITED NCD 09-09-2021 1	OLDB	4,018.26	08-09-2016	CARE	AAA	D	23-09-2019	
	8.15% INR ENERGY EFFICIENCY SERVICES LIMITED NCD 10-02-2021	OLDB	2,500.00	10-01-2018	CARE	AA	AA-	30-09-2019	
	8.29% INR ENERGY EFFICIENCY SERVICES LIMITED NCD 28-05-2021	OLDB	2,500.00	29-01-2018	CARE	AA	AA-	30-09-2019	
	9.00% INR YES BANK LIMITED NCD 18-10-2050	OAPB	4,499.67	18-10-2017	ICRA	AA	BBB+	25-07-2019	
B. As on Date ²									
	9.35% INR INDIA BULLS HOUSING FINANCE LTD NCD 18-09-2020	EPBT	500.64	18-09-2015	CARE	AAA	AA+	25-09-2019	
	9.00% INR INDIA BULLS HOUSING FINANCE LTD NCD 19-01-2021	EPBT	999.90	19-01-2016	CARE	AAA	AA+	25-09-2019	
	9.4648% INR INDIA BULLS HOUSING FINANCE LTD NCD 04-11-2019	EPBT	3,500.00	04-10-2018	CARE	AAA	AA+	25-09-2019	
	0.00% INR DEWAN HOUSING FINANCE CORPORATION LTD ZCB 30-04-2019 1	OLDB	3,302.65	28-03-2016	CARE	AAA	A	01-04-2019	
	7.53% INR PNB HOUSING FINANCE LTD NCD 31-12-2020	EPBT	2,500.00	02-11-2017	INDIA RATINGS	AAA	AA+	09-01-2019	
	8.15% INR ENERGY EFFICIENCY SERVICES LIMITED NCD 10-02-2021	OLDB	2,500.00	10-01-2018	ICRA	AA	AA-	30-09-2019	
	8.25% INR RELIANCE CAPITAL LIMITED NCD 14-04-2020	OLDB	1,000.00	17-02-2017	CARE	AAA	D	23-09-2019	
	8.29% INR ENERGY EFFICIENCY SERVICES LIMITED NCD 28-05-2021	OLDB	2,500.00	29-01-2018	ICRA	AA	AA-	30-09-2019	
	8.35% INR Bharti Airtel Ltd NCD 20-04-2021	OLDB	2,500.00	14-03-2018	CRISIL	AA+	AA	15-11-2018	
	8.50% INR RELIANCE CAPITAL LIMITED NCD 02-11-2021	OLDB	1,501.31	05-01-2017	CARE	AAA	D	23-09-2019	
	8.54% INR ILFS NCD 08-11-2019	OLDB	999.86	22-02-2017	CARE	AAA	D	17-09-2018	
	8.64% INR IDFC BANK LIMITED NCD 15-04-2020 1	OLDB	1,500.00	30-09-2015	ICRA	AAA	AA	21-05-2019	
	8.78% INR ILFS NCD 28-06-2021	OLDB	1,000.00	28-06-2016	CARE	AAA	D	17-09-2018	
	8.80% INR INFRASTRUCTURE LEASING & FINANCIAL SERVICES LIMITED NCD 21-09-2020	OLDB	1,000.00	21-09-2015	ICRA	AAA	D	17-09-2018	
	8.89% INR IDFC BANK LIMITED NCD 02-12-2020 1	OLDB	497.15	30-09-2015	ICRA	AAA	AA	21-05-2019	
	8.90% INR ILFS NCD 04-02-2019	OLDB	2,000.00	28-03-2016	CARE	AAA	D	17-09-2018	
	8.90% INR RELIANCE CAPITAL LIMITED NCD 09-09-2021 1	OLDB	4,018.26	08-09-2016	CARE	AAA	D	23-09-2019	
	9.00% INR YES BANK LIMITED NCD 18-10-2050	OAPB	4,499.67	18-10-2017	ICRA	AA	BBB+	25-07-2019	
	9.05% INR DEWAN HOUSING FINANCE CORPORATION LTD NCD 09-09-2019	OLDB	1,999.70	23-03-2018	CARE	AAA	D	05-06-2019	
	9.05% INR DEWAN HOUSING FINANCE CORPORATION LTD NCD 09-09-2023	OLDB	2,520.82	13-12-2017	CARE	AAA	D	05-06-2019	
	9.12% INR RELIANCE CAPITAL LIMITED NCD 29-06-2020	OLDB	1,500.00	29-06-2015	CARE	AAA	D	23-09-2019	
	9.45% INR DEWAN HOUSING FINANCE CORPORATION LTD NCD 08-09-2020	OLDB	1,000.00	08-09-2015	CARE	AAA	D	05-06-2019	
	9.50% INR ILFS NCD 03-07-2019	OLDB	500.00	03-07-2014	CARE	AAA	D	17-09-2018	
	9.75% INR DEWAN HOUSING FINANCE CORPORATION LTD NCD 18-11-2019	OLDB	3,496.89	19-11-2014	CARE	AAA	D	05-06-2019	
	9.90% INR ILFS NCD 28-01-2019	OLDB	750.00	28-01-2014	INDIA RATINGS	AAA	D	18-09-2018	
	9.95% INR INFRASTRUCTURE LEASING & FINANCIAL SERVICES LIMITED NCD 04-02-2019	OLDB	501.06	28-03-2016	CARE	AAA	D	17-09-2018	
	8.65% INR IDFC BANK LIMITED NCD 24-05-2020 1	OLDB	499.06	30-09-2015	ICRA	AAA	AA	21-05-2019	

CERTIFICATION

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

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. In case of ULIP FORM 2 shall be prepared at Segregated Fund (SFIN) level and also at consolidated level.
 - 4 Category of Investment (COI) shall be as per Guidelines issued by the Authority
- * Above list includes securities matured but proceeds still not received

Signature

Full Name

Authorised Signatory

Mr. Nilesh Kambli

Chief of Finance