

## Form L-35 - Downgrading of Investments

Name of the Insurer: Bharti AXA Life Insurance Company Limited

Registration Number: 130

Statement as on: September 30, 2018

Statement of Down Graded Investments

Periodicity of Submission: Quarterly



Name of Fund \_\_\_\_\_ Life Fund \_\_\_\_\_

Rs 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 <sup>1</sup></u>								
				NIL					
				<u>NIL</u>					
B.	<u>As on Date <sup>2</sup></u>								
	<u>9.55% HINDALCO DB 27-06-2022</u>	ECOS	30	4-Oct-12	CRISIL	AA+	AA	26-Jun-14	
	<u>8.85% RELIANCE CAP DB 02-11-2026</u>	ECOS	1,002	2-Dec-16	CARE	AAA	AA+	24-Mar-17	
	<u>8.85% RELIANCE CAP DB 02-11-2026</u>	ECOS	1,002	6-Dec-16	CARE	AAA	AA+	24-Mar-17	
	<u>9.00% RELIANCE CAP DB 09-09-2026</u>	ECOS	500	9-Sep-16	CARE	AAA	AA+	24-Mar-17	
	<u>8.15% TATA STEEL DB 01-10-2026</u>	ECOS	1,508	21-Nov-16	CARE	AA+	AA	18-Jan-17	
	<u>8.15% TATA STEEL DB 01-10-2026</u>	ECOS	1,013	28-Nov-16	CARE	AA+	AA	18-Jan-17	
	<u>8.15% TATA STEEL DB 01-10-2026</u>	ECOS	507	3-Jan-17	CARE	AA+	AA	18-Jan-17	
	<u>9.50% UNION BK DB 15-09-2116</u>	OAPS	1,053	2-Dec-16	CARE	AA	AA-	9-Oct-17	
	<u>9.36% IDFC BANK LTD PI 21-08-2024</u>	ILBI	500	25-Aug-14	FITCH	AAA	AA+	29-Jun-18	
	<u>9.38% IDFC BANK LTD PI 12-09-2024</u>	ILBI	520	15-Jan-16	FITCH	AAA	AA+	29-Jun-18	

**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.

Signature \_\_\_\_\_

Mr. Nilesh Kothari

Chief of Finance

Date: 30-Sep-18

**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 Investmet (COI) shall be as per INV/GLN/001/2003-04

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Statement of Down Graded Investments

Periodicity of Submission: Quarterly

Name of Fund Pension - General Annuity Fund

Rs 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> <sup>1</sup>								
	<i>NIL</i>								
B.	<u>As on Date</u> <sup>2</sup>								
	9.00% RELIANCE CAP DB 09-09-2026	ECOS	504	12-Jan-17	CARE	AAA	AA+	24-Mar-17	
	9.00% RELIANCE CAP DB 09-09-2026	ECOS	500	16-Sep-16	CARE	AAA	AA+	24-Mar-17	

**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: 30-Sep-18

Signature \_\_\_\_\_  
Mr. Nilesh Kothari  
Chief of Finance

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Registration Number: 130

Statement as on: September 30, 2018

Statement of Down Graded Investments

Periodicity of Submission: Quarterly



Name of Fund \_\_\_\_\_ Linked Fund \_\_\_\_\_

Rs 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> <sup>1</sup>								
				<i>NIL</i>					
B.	<u>As on Date</u> <sup>2</sup>								
	9.55% HINDALCO DB 27-06-2022	ECOS	671	04-Oct-12	CRISIL	AA+	AA	26-Jun-14	

**CERTIFICATION**

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Date: 30-Sep-18

Signature \_\_\_\_\_

Mr. Nilesh Kothari

Chief of Finance

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