

## Form L-35 - Downgrading of Investments

Name of the Insurer: Bharti AXA Life Insurance Company Limited

Registration Number: 130

Statement as on: June 30, 2019

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
<b>A. During the Quarter<sup>1</sup></b>									
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	2-Dec-16	CARE	CARE A+	CARE A	18-Apr-19	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	2-Dec-16	CARE	CARE A	CARE BBB	18-May-19	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	6-Dec-16	CARE	CARE A+	CARE A	18-Apr-19	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	6-Dec-16	CARE	CARE A	CARE BBB	18-May-19	
	<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	OLDB	500	9-Sep-16	CARE	CARE A+	CARE A	18-Apr-19	
	<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	OLDB	500	9-Sep-16	CARE	CARE A	CARE BBB	18-May-19	
	<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	OLDB	1,004	9-Sep-16	CARE	CARE A+	CARE A	18-Apr-19	
	<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	OLDB	1,004	9-Sep-16	CARE	CARE A	CARE BBB	18-May-19	
	<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	100	30-Oct-15	CARE	CARE A	CARE BBB-	15-May-19	
	<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	100	30-Oct-15	CARE	CARE BBB-	CARE D	5-Jun-19	
	<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	400	30-Oct-15	CARE	CARE A	CARE BBB-	15-May-19	
	<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	400	30-Oct-15	CARE	CARE BBB-	CARE D	5-Jun-19	
	<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,005	23-Aug-16	CARE	CARE A	CARE BBB-	15-May-19	
	<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,005	23-Aug-16	CARE	CARE BBB-	CARE D	5-Jun-19	
	<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,000	29-Aug-16	CARE	CARE A	CARE BBB-	15-May-19	
	<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	999.74	29-Aug-16	CARE	CARE BBB-	CARE D	5-Jun-19	
	<b><u>9.50% YES BK DB 23-12-2116</u></b>	OAPS	7,519.05	3-Jan-17	ICRA	ICRA AA-	ICRA A	3-May-19	
	<b><u>9.36% IDFC BANK LTD PI 21-08-2024</u></b>	ILBI	500.00	25-Aug-14	ICRA	ICRA AA+	ICRA AA	21-May-19	
	<b><u>9.38% IDFC BANK LTD PI 12-09-2024</u></b>	ILBI	517.50	15-Jan-16	ICRA	ICRA AA+	ICRA AA	21-May-19	
	<b><u>10.00% EDELWEISS HOUSING FINANCE LTD</u></b>	OLDB	1,008.20	17-Oct-16	ICRA	ICRA AA	ICRA AA-	25-Jun-19	
	<b><u>10.00% EDELWEISS HOUSING FINANCE LTD</u></b>	OLDB	1,000.00	20-Jul-16	ICRA	ICRA AA	ICRA AA-	25-Jun-19	
<b>B. As on Date<sup>2</sup></b>									
	<b><u>9.55% HINDALCO DB 27-06-2022</u></b>	ECOS	30	4-Oct-12	CRISIL	AA+	AA	26-Jun-14	
	<b><u>9.02% TATA MOTORS DB 10-12-2021</u></b>	ECOS	500	15-Dec-14	CARE	CARE AA+	CARE AA	18-Feb-19	
	<b><u>9.02% TATA MOTORS DB 10-12-2021</u></b>	ECOS	500	12-Feb-15	CARE	CARE AA+	CARE AA	18-Feb-19	
	<b><u>8.15% TATA STEEL DB 01-10-2026</u></b>	ECOS	1,507	21-Nov-16	CARE	CARE AA+	CARE AA	18-Jan-17	
	<b><u>8.15% TATA STEEL DB 01-10-2026</u></b>	ECOS	1,012	28-Nov-16	CARE	CARE AA+	CARE AA	18-Jan-17	
	<b><u>8.15% TATA STEEL DB 01-10-2026</u></b>	ECOS	506	3-Jan-17	CARE	CARE AA+	CARE AA	18-Jan-17	
	<b><u>9.50% UNION BK DB 15-09-2116</u></b>	OAPS	1,049	2-Dec-16	CARE	CARE AA	CARE AA-	9-Oct-17	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	ECOS	1,001	2-Dec-16	CARE	CARE AAA	CARE AA+	24-Mar-17	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	ECOS	1,001	2-Dec-16	CARE	CARE AA+	CARE AA	8-Oct-18	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	2-Dec-16	CARE	CARE AA	CARE A+	6-Mar-19	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	2-Dec-16	CARE	CARE A+	CARE A	18-Apr-19	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	2-Dec-16	CARE	CARE A	CARE BBB	18-May-19	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	ECOS	1,001	6-Dec-16	CARE	CARE AAA	CARE AA+	24-Mar-17	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	6-Dec-16	CARE	CARE AA	CARE A+	6-Mar-19	
	<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	6-Dec-16	CARE	CARE A+	CARE A	18-Apr-19	

<b><u>8.85% RELIANCE CAP DB 02-11-2026</u></b>	OLDB	1,001	6-Dec-16	CARE	CARE A	CARE BBB	18-May-19	
<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	ECOS	500	9-Sep-16	CARE	CARE AAA	CARE AA+	24-Mar-17	
<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	ECOS	500	9-Sep-16	CARE	CARE AA+	CARE AA	8-Oct-18	
<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	OLDB	500	9-Sep-16	CARE	CARE AA	CARE A+	6-Mar-19	
<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	OLDB	500	9-Sep-16	CARE	CARE A+	CARE A	18-Apr-19	
<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	OLDB	500	9-Sep-16	CARE	CARE A	CARE BBB	18-May-19	
<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	OLDB	1,004	9-Sep-16	CARE	CARE A+	CARE A	18-Apr-19	
<b><u>9.00% RELIANCE CAP DB 09-09-2026</u></b>	OLDB	1,004	9-Sep-16	CARE	CARE A	CARE BBB	18-May-19	
<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	HTDN	100	30-Oct-15	CARE	CARE AAA	CARE AA+	3-Feb-19	
<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	100	30-Oct-15	CARE	CARE AA+	CARE AA-	6-Mar-19	
<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	100	30-Oct-15	CARE	CARE AA-	CARE A	31-Mar-19	
<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	100	30-Oct-15	CARE	CARE A	CARE BBB-	15-May-19	
<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	100	30-Oct-15	CARE	CARE BBB-	CARE D	5-Jun-19	
<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	400	30-Oct-15	CARE	CARE AA-	CARE A	31-Mar-19	
<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	400	30-Oct-15	CARE	CARE A	CARE BBB-	15-May-19	
<b><u>9.30% DEWANHOUS PI 30-10-2025</u></b>	OLDB	400	30-Oct-15	CARE	CARE BBB-	CARE D	5-Jun-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,005	23-Aug-16	CARE	CARE AAA	CARE AA+	3-Feb-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,005	23-Aug-16	CARE	CARE AA+	CARE AA-	6-Mar-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,005	23-Aug-16	CARE	CARE AA-	CARE A	31-Mar-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,005	23-Aug-16	CARE	CARE A	CARE BBB-	15-May-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,005	23-Aug-16	CARE	CARE BBB-	CARE D	5-Jun-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,000	29-Aug-16	CARE	CARE AAA	CARE AA+	3-Feb-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,000	29-Aug-16	CARE	CARE AA+	CARE AA-	6-Mar-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,000	29-Aug-16	CARE	CARE AA-	CARE A	31-Mar-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,000	29-Aug-16	CARE	CARE A	CARE BBB-	15-May-19	
<b><u>9.30% DEWANHOUS PI 16-08-2026</u></b>	OLDB	1,000	29-Aug-16	CARE	CARE BBB-	CARE D	5-Jun-19	
<b><u>9.50% YES BK DB 23-12-2116</u></b>	OAPS	7,519	3-Jan-17	ICRA	CARE AA	ICRA AA-	30-Nov-18	
<b><u>9.50% YES BK DB 23-12-2116</u></b>	OAPS	7,519	3-Jan-17	ICRA	ICRA AA-	ICRA A	3-May-19	
<b><u>9.36% IDFC BANK LTD PI 21-08-2024</u></b>	ILBI	500	25-Aug-14	FITCH	AAA	AA+	29-Jun-18	
<b><u>9.36% IDFC BANK LTD PI 21-08-2024</u></b>	ILBI	500	25-Aug-14	ICRA	ICRA AA+	ICRA AA	21-May-19	
<b><u>9.38% IDFC BANK LTD PI 12-09-2024</u></b>	ILBI	517	15-Jan-16	FITCH	AAA	AA+	29-Jun-18	
<b><u>9.38% IDFC BANK LTD PI 12-09-2024</u></b>	ILBI	517	15-Jan-16	ICRA	ICRA AA+	ICRA AA	21-May-19	
<b><u>10.00% EDELWEISS HOUSING FINANCE LTD</u></b>	OLDB	1,008	17-Oct-16	ICRA	ICRA AA	ICRA AA-	25-Jun-19	
<b><u>10.00% EDELWEISS HOUSING FINANCE LTD</u></b>	OLDB	1,000	20-Jul-16	ICRA	ICRA AA	ICRA AA-	25-Jun-19	

**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-Jun-19

**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 INV/GLN/001/2003-04

Form L-35 - Downgrading of Investments

Name of the Insurer: Bharti AXA Life Insurance Company Limited

Registration Number: 130

Statement as on: June 30, 2019

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>								
<b>NIL</b>									
B.	<u>As on Date</u> <sup>2</sup>								
<b>NIL</b>									

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-Jun-19

**Note:**

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Name of the Insurer: Bharti AXA Life Insurance Company Limited

Registration Number: 130

Statement as on: June 30, 2019

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>								
<b>NIL</b>									
B.	<u>As on Date</u> <sup>2</sup>								
	<u>9.55% HINDALCO DB 27-06-2022</u>	ECOS	598.52	04-Oct-12	CRISIL	AA+	AA	26-Jun-14	
	<u>7.59% PNB HOUSING DB 27-07-2022</u>	HTDN	307.08	27-Jul-17	FITCH	AAA	AA+	10-Jan-19	

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 \_\_\_\_\_

Date: 30-Jun-19

Mr. Nilesh Kothari

Chief of Finance

**Note:**

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