

## FORM L-35-DOWNGRADING OF INVESTMENTS - 2

Company Name &amp; Code:

Statement as on :30 Sep 2019

Name of Fund Life Fund

Statement of Down Graded Investments

Periodicity of Submission: Quarterly

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>								
1	9.00% PNB Housing Finance LTD 2021 SER XLVIII-B (MD: 30.08.2022)	HTDN	1,000.00	31/08/2018	CARE	AAA	AA+	08/07/2019	NA
B.	<u>As on Date</u> <sup>2</sup>								
1	10.30% IL&FS FINANCIAL SERVICES LTD(MD:28-12-2021)	ORAD	300.00	28/12/2011	FITCH	AAA	D	19/09/2018	NA
2	7.65% IL&FS (Opt I)(MD:02-08-2022)	IORD	1,994.53	02/08/2017	FITCH	AAA	D	19/09/2018	NA
3	7.65% IL&FS (Opt I)(MD:26-07-2022)	IORD	1,500.00	31/07/2017	CARE	AAA	D	18/09/2018	NA
4	7.65% IL&FS (Opt I)(MD:26-07-2022)	IORD	1,500.00	31/07/2017	ICRA	AAA	D	18/09/2018	NA
5	8.00% IL&FS (Sr I-P Opt I)(MD:06-06-2020)	IORD	2,500.00	27/12/2018	CARE	AAA	D	18/09/2018	NA
6	8.00% IL&FS (Sr I-P Opt I)(MD:06-06-2020)	IORD	2,500.00	27/12/2018	ICRA	AAA	D	18/09/2018	NA
7	8.80 JK LAKSHMI CEMENT LTD (Serie B)MD: 06.01.2021	ORAD	2,476.91	06/11/2018	CARE	AA	AA-	09/10/2018	NA
8	9.00% PNB Housing Finance LTD 2021 SER XLVIII-B (MD: 30.08.2022)	HTDN	1,000.00	31/08/2018	CARE	AAA	AA+	08/07/2019	NA
9	9.50% IL&FS (MD:28-07-2024)	IORD	1,213.38	28/07/2014	CARE	AAA	D	18/09/2018	NA
10	9.50% IL&FS (MD:28-07-2024)	IORD	1,213.38	28/07/2014	ICRA	AAA	D	18/09/2018	NA
11	9.98% IL&FS LTD (MD:05-12-2021)	IORD	540.42	05/12/2011	ICRA	AAA	D	18/09/2018	NA

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 : Oct 21, 2019

Signature \_\_\_\_\_

Full Name and Designation Kedar Patki

Chief Financial Officer

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 1 shall be prepared at Segregated Fund (SFIN) level and also at consolidated level.
- 4 Category of Investmet (COI) shall be as per Guidelines issued by the Authority

## FORM L-35-DOWNGRADING OF INVESTMENTS - 2

Company Name &amp; Code:

Statement as on :30 Sep 2019

Name of Fund Unit Linked Fund

Statement of Down Graded Investments

Periodicity of Submission: Quarterly

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.	<u>As on Date</u> <sup>2</sup>								
1	10.30% IL&FS FINANCIAL SERVICES LTD(MD:28-12-2021)	ORAD	525.00	28-Dec-11	FITCH	AAA	D	19-Sep-18	NA
2	7.65% IL&FS (Opt I)(MD:02-08-2022)	IORD	1,125.00	27-Oct-17	FITCH	AAA	D	19-Sep-18	NA
3	8.07 Energy Efficiency Services Ltd.(Sr 1 St A)( MD :20.03.2020)	ORAD	2,697.80	29-Jun-17	CARE	AA	AA-	30-Sep-19	NA
4	8.07 Energy Efficiency Services Ltd.(Sr 1 St B)( MD :20.09.2021)	ORAD	502.88	18-Jul-17	CARE	AA	AA-	30-Sep-19	NA
5	8.07 Energy Efficiency Services Ltd.(Sr 1 St C)( MD :20.09.2023)	ORAD	995.00	18-Jul-17	CARE	AA	AA-	30-Sep-19	NA
6	8.80 JK LAKSHMI CEMENT LTD (Serie B)MD: 06.01.2021	ORAD	4,046.96	25-Sep-17	CARE	AA	AA-	09-Oct-18	NA
7	8.90% IL&FS(Opt III) (MD:15-03-2021)	IORD	750.00	15-Mar-16	FITCH	AAA	D	19-Sep-18	NA
8	9.50% IL&FS (MD:28-07-2024)	IORD	975.00	28-Jul-14	CARE	AAA	D	18-Sep-18	NA
9	9.50% IL&FS (MD:28-07-2024)	IORD	975.00	28-Jul-14	ICRA	AAA	D	18-Sep-18	NA
10	9.98% IL&FS LTD (MD:05-12-2021)	IORD	195.00	05-Dec-11	ICRA	AAA	D	18-Sep-18	NA

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Signature \_\_\_\_\_

Date : Oct 21, 2019

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Chief Financial Officer

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## FORM L-35-DOWNGRADING OF INVESTMENTS - 2

Company Name &amp; Code:

Statement as on :30 Sep 2019

Name of Fund Pension and General Annuity Fund

Statement of Down Graded Investments

Periodicity of Submission: Quarterly

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>								
1	7.44% PNB Housing Finance LTD 2019 (MD: 31.10.2019)	HTDN	2,500.00	31-Oct-17	CARE	AAA	AA+	08-Jul-19	NA
2	7.58% PNB Housing Finance LTD 2021 (MD: 15.03.2021)	HTDN	3,000.00	15-Nov-17	CARE	AAA	AA+	08-Jul-19	NA
3	7.59% PNB HOUSING FINANCE LTD (MD: 27.07.2022)	HTDN	3,000.00	27-Jul-17	CARE	AAA	AA+	08-Jul-19	NA
4	7.63% PNB HOUSING FINANCE LTD (OPT B) (MD: 15.12.2020)	HTDN	1,000.00	15-Jun-17	CARE	AAA	AA+	08-Jul-19	NA
5	9.00% PNB Housing Finance LTD 2021 SER XLVIII-B (MD: 30.08.2022)	HTDN	500.00	31-Aug-18	CARE	AAA	AA+	08-Jul-19	NA
B.	<u>As on Date</u> <sup>2</sup>								
1	7.44% PNB Housing Finance LTD 2019 (MD: 31.10.2019)	HTDN	2,500.00	31-Oct-17	CARE	AAA	AA+	08-Jul-19	NA
2	7.58% PNB Housing Finance LTD 2021 (MD: 15.03.2021)	HTDN	3,000.00	15-Nov-17	CARE	AAA	AA+	08-Jul-19	NA
3	7.59% PNB HOUSING FINANCE LTD (MD: 27.07.2022)	HTDN	3,000.00	27-Jul-17	CARE	AAA	AA+	08-Jul-19	NA
4	7.63% PNB HOUSING FINANCE LTD (OPT B) (MD: 15.12.2020)	HTDN	1,000.00	15-Jun-17	CARE	AAA	AA+	08-Jul-19	NA
5	7.89% CAN FIN HOMES LTD (Series 6) (MD : 18/05/2022)	HTDN	6,020.64	30-May-17	ICRA	AAA	AA+	07-May-19	NA
6	9.00% PNB Housing Finance LTD 2021 SER XLVIII-B (MD: 30.08.2022)	HTDN	500.00	31-Aug-18	CARE	AAA	AA+	08-Jul-19	NA

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Date : Oct 21, 2019

Signature

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Chief Financial Officer

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