

Annex I: Half Yearly Review

(Refer Paragraph 110)

Return name: Half - Yearly Review of Investments Portfolio for the Half- year ended

Due Date: 15 May /15 November

Name of the StCB/ DCCB:

State:

Sr. No.	Particulars	Status
1.1	Has the Bank framed Investment Policy?	
1.2	If Yes, indicate the Board Meeting No. which approved the Policy	
1.3	If Yes, date of the said Board meeting	
2.1	Was the Policy revised during the half-year under consideration?	
2.2	If Yes, indicate the Board Meeting No.	
2.3	If Yes, date of the said Board meeting	
2.4	If Yes, brief description of the revisions made (mention RBI/ NABARD circular and date, if any, and also the brief description of area/ subject revised)	
3.1	Has the Board of Directors approved a panel of brokers for investment transactions?	
3.2	Has the bank conducted any investment transactions with the help of brokers?	
3.3	If Yes, has the bank adhered to the broker-wise limit of 5 per cent of the transactions?	
4	Has the bank made any investments in State Co-operative banks, Primary (Urban) Co-operative Banks, Leasing Finance Companies, Housing Companies, or NBFCs?	
5	Has the bank sold any securities during the period under consideration?	
6	Has the Bank undertaken transactions in securities on behalf of:	
6.1	Portfolio Management Scheme (PMS) clients in its fiduciary capacity	
6.2	Other clients either as custodians of their investments or purely as their Agents	
7	Has the bank subjected its investment transactions to Concurrent Audit?	
8	Has the bank placed the report of the Concurrent Auditor on investment transactions before the Chairman/ CEO every month?	
9.1	Has the bank placed review of its investments before the Board of Directors for this period?	
9.2	If Yes, indicate the Board Meeting No.	
9.3	If Yes, date of the said Board meeting	
10	Whether 100 per cent SLR investments in Govt. Securities?	
11	Whether total non-SLR investments exceeded 10 per cent of the total deposits of a bank as on 31 March of the preceding financial year?	
12	Whether invested in perpetual debt instruments?	
13	Whether invested in PSU Bonds without obtaining permission of RBI?	
14	Whether bank had kept its surplus funds in deposits with PSUs/ Companies/ Corporations/ Coop. Institutions/ UCBs?	
15	Whether the bank had submitted the Quarterly Certificate on Investment to NABARD/ RBI?	