

Lien Request Letter from Investor

To

Sundaram Mutual Fund,  
c/o Sundaram BNP Paribas Fund Services  
R R Towers, Third Floor,  
Thiru Vi Ka Industrial Estate,  
Guindy, Chennai 600 032

Dear Sir(s),  
Re: Pledge/Lien of Units in scheme and folio as mentioned below.

Folio No: \_\_\_\_\_ Scheme Name: \_\_\_\_\_

Units to be pledged/Lien marked: \_\_\_\_\_ units only, no amount

Lien in Favour of: \_\_\_\_\_ name of the bank / financial institution

Address of Institution: \_\_\_\_\_ address of bank / financial institution

\_\_\_\_\_ address of bank / financial institution

1. I / We are holding units in the scheme in the folio number as per details mentioned above, in Sundaram Mutual Fund.
2. I / We now wish to create a pledge ("Pledge")/lien on the said units held by me / us in favour of a bank / a financial institution ("Pawnee"), as mentioned above in consideration for a loan of:  
  
Rs.....
3. I / We hereby request you to recognize the said Pledge on the Units mentioned above and to place the same on your records. Payments sent to the Pawnee of units mentioned above will be treated in the same manner as if they were validly made to me/us.
- \*4. a. Benefits accruing on the said units in the form of dividend pay-out, dividend reinvestments, bonus units or in what so ever manner shall not be subject to lien.  
  
(or)  
b. Benefits accruing on the said units in the form of dividend pay-out, dividend reinvestments, bonus units or in what so ever manner shall be subject to lien.
5. During the period of the Pledge, the Pawnee shall have the right to transfer the units mentioned above to itself or sell or redeem the units mentioned above by written notice to the Fund irrespective of any contrary instructions given by me/us and any such transfer, sale or redemption of the Units by the Pawnee shall be valid in the same manner as if such units were transferred or sold or redeemed by me/us and I/we hereby authorise the same. Such payment to the Pawnee by the Mutual Fund will constitute a valid and effectual discharge against any demand made upon the Mutual Fund.
6. I / We confirm that there is no prior pledge/charge/lien upon the Units, which has not been registered with the Fund. I / We also confirm that the lien is on the number of units held and not for any particular amount as the value of units is subject to change depending upon the market conditions.
7. I / We hereby undertake to indemnify at all times, the Fund, asset management company, its Registrars & Share Transfer Agents, successors and assigns, from and against all actions, causes of action, suits, proceedings, accounts, claims and demands whatsoever arising out of or on account of or in connection with the said Pledge of the Units and fraudulent redemption of units under pledge whether intentional or accidental.

Thanking you,  
Yours sincerely,

Signature/s and Name/s of Unit Holder/Holders (Pawnors)

Full address of Unit Holders (Pawnors)

Place:

Date:

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*\*Please tick (✓) whichever option is applicable. Option (a) shall be the default if either of them is not chosen.*

Covering Letter from Bank / Financial Institution, along with the Lien Request Letter from Investor  
On Bank's Letter Head or with Seal

Date

To,  
Sundaram Mutual Fund,  
c/o Sundaram BNP Paribas Fund Services  
R R Towers, Third Floor,  
Thiru Vi Ka Industrial Estate,  
Guindy, Chennai 600 032

Dear Sir,

Subject: Lien on the units in scheme as per details mentioned below.

We have received an application from our customer/investor for granting Loan against the pledge of units of Sundaram Mutual Fund held in Folio No as per details mentioned below.

Investor Name: \_\_\_\_\_

Folio No: \_\_\_\_\_ Scheme Name: \_\_\_\_\_

Units to be pledged/Lien marked: \_\_\_\_\_ units only, no amount

The authority letter issued to you by the customer for marking the lien in our favour is enclosed.

Line to be marked in favour of:

Name of the Institution: .....  
Address: .....  
.....  
Contact Person: .....  
Email id: .....  
Telephone number: .....

\*a. All benefits accruing on the units in the form of dividend pay-out, dividend reinvestments, bonus units or in what so ever manner shall not be subject to lien.

(or)

\*b. All benefits accruing on the units in the form of dividend pay-out, dividend reinvestments, bonus units or in what so ever manner shall be subject to lien.

The units mentioned by the investor with / without the benefits as stated above will continue to be pledged in our favour till further instructions in writing.

Please mark the lien in our favour and send the confirmation (in the prescribed format) at the earliest. Please note that lien is to be vacated only at our request and not otherwise.

Thanking you,  
Yours faithfully,

Authorised Signatory/ies.

- Enclosed:
1. Investor Letter
  2. Authorised Signatory List