

NBP FULLERTON ASSET MANAGEMENT LIMITED

PLEDGE FORM (INDIVIDUALS AND INSTITUTIONS)

(FORM: NAFA - 05) (Please see guidelines overleaf before completing this form)



NBP Fullerton
Asset Management Ltd.
A Subsidiary of
National Bank of Pakistan

NAFA Account Number																			
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Date: _____

I / We undersigned being the registered holder(s) / pledger of undermentioned Units of NAFA Funds, request you to record pledge / lien over the following Unit(s) in favor of pledge / lien holder(s) according to the provisions of the Trust Deed & Offering Documents of the respective Funds.

Name of Fund: _____ Fund Code: _____ Fund # _____
(Please see fund names, codes and fund # mentioned on the back side of the form)

1. PLEDGER

Number of Unit(s): _____ Units in words: _____

Certificates Issued: No Yes, (Please attach the certificates)

if Yes: Certificate(s) # : _____ No. of Units: _____

2. DECLARATION

1. In making this request I / We, recognize and understand that:

- The registration of this Pledge / Lien places a responsibility on me / us to ensure that for any reason whatsoever if Units are redeemed save any legal bar or Court requiring otherwise, the proceeds shall be paid to the order of the Lien-Holder(s) or first named Joint Lien- Holder(s) according to the provisions of the Trust Deed and Offering Document of the relevant NAFA Fund(s) accruing on such Units (hereinafter referred to as the Pledged Unit(s)).
- The lien once registered shall be removed by the written authority of the party in whose favor the lien has been registered or through an order of the competent court.
- Save any legal bar or Court order requiring otherwise, any dividends that are declared on the Pledged Unit(s) shall be paid to the order of the Unit Holder(s) / Pledger(s) any Bonus Units that the Pledged Unit(s) are entitled to shall automatically be marked under the Lien of the Lien Holder(s).
- NAFA or The Trustee or The Transfer Agent do not accept any responsibility for the validity of my / our placing of the Pledge Unit(s) under Pledge / Lien nor for any obligation or commitments undertaken by me / us in respect thereof.
- The Pledge / Lien on the Pledge Units shall continue till such time it is released by the Pledge / Lien Holder(s) in writing or unless ordered by the competent authority.
- Any charges, duties, levies, etc. applicable on such Pledge will be borne by the Pledgor, and
- I / We are authorized to request for the pledge of units which are in my / our / institution's name.

2. I / We understand that if Pledge Form is received by NAFA and or Distributor / Facilitator after the cut off time, that transaction will be processed on next working day.

Name(s) and Signature(s) of Unit Holder(s) / Pledger(s)
(All Joint Holders shall sign unless the first named is authorized to sign singly)

Name(s)	Signature (stamp in case of institution)	Verification (For Official Use Only)

(For mandatory documents please see instructions overleaf)

3. DETAILS OF PLEDGE / LIEN HOLDERS

Name of Pledge / Lien Holder _____

Address _____

City _____ Country _____ Tel _____

Fax _____ E-Mail _____

Name(s)	CNIC / NTN No.	Signature (in case of institution, please also affix stamp)

4. DISTRIBUTOR / FACILITATOR INFORMATION

Distributor / Facilitator Name / Code	Signature of Distributor / Facilitator	Form No.	Date and Time

5. FOR REGISTRAR USE ONLY

Form Received on (Date & Time)	Signatures Verified by (Name & Signatures)	Pledge marked by/on	Pledge No.	Data Input By



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Guidelines for Completing Pledge Form (NAFA 05)

FUND NAMES & CODES

Fund Name	Fund Code	Fund Name	Fund Code
NAFA Government Securities Liquid Fund	NGSLF	NAFA Riba Free Savings Fund	NRFSF
NAFA Savings Plus Fund	NSPF	NAFA Asset Allocation Fund	NAAF
NAFA Income Opportunity Fund	NIOF	NAFA Financial Sector Income Fund	NFSIF
NAFA Income Fund	NIF	NAFA Money Market Fund	NMMF
NAFA Islamic Aggressive Income Fund	NIAIF	NAFA Government Securities Savings Fund	NGSSF
NAFA Multi Asset Fund	NMF	NAFA Islamic Stock Fund	NISF
NAFA Islamic Asset Allocation Fund	NIAAF	NAFA Islamic Energy Fund	NIEF
NAFA Stock Fund	NSF		

This form is required from both Individual and Institutional Investors when they enter into any borrowing arrangement(s) with lending Institution thereby pledging his/her/its Units.

Please complete the Pledge of Units Form (for Individuals and Institutions) in Block Letters.

INFORMATION ABOUT THE PLEDGER

The Account Holder / Pledger would need to state his/her/Institution's Title of A/c and NAFA A/c No.

DOCUMENTS REQUIRED FOR PLEDGE

Pledger / Unit Holder(s) is/are required to attach the following documents.

1. Unit Certificates, if issued.
2. Certified True Copy of Board Resolution authorizing Pledge (in case of other than individual).
3. Power of attorney (If applicable).

OTHER INSTRUCTIONS

As per instructions given in respect of operation of accounts all the required Authorization Signatories (including Joint Holder(s) in case of Individual Investors) will have to sign this Form before submitting at any selected branch of NAFA / Distributor Company(ies).

1. In case the investor can not sign the form, then he / she will be required to submit a clear copy of CNIC with one recent passport size photograph duly authenticated by his / her banker.
2. It shall be the responsibility of the applicant to pay all stamp fees and other duties, taxes and processing charges in relation to the units pledged by him/her/it.