FCIL First Capital Investments Limited

Pledge of Units Form (Individual and Institutions)
(Please see guidelines overleaf before completing this form)

Date (DD-MM-YYYY) | | | - | | | - | | | | |

I/ We apply for Pledge of units of FCIL subject to provision of Trust Deed and Offering Document

INFORMATION ABOUT THE PRINCIPLE ACCOUNT HOLDER (FILL IN BLOCK LETTERS)	
Applicant's Status	☐ Individual ☐ Company ☐ Pension Fund ☐ Provident Fund ☐ Insurance Company ☐ Commercial Bank ☐ Modaraba ☐ Non Profit Organization ☐ NBFC

Account Details Pledger

Name of Applicant: _____
FCIL Account No. _____ **CDC Sub-Account/Investor Account No.** _____
CNIC / Passport No.: _____ **National Tax No.:** _____

To be filled by individuals only
Father's / Husband's Name: _____ ___ **Mother's Name:** _____
Name of Guardian (for minor applicant): _____ **Relationship with Minor:** _____

Account Details Pledgee / Lien Holder

Name of Pledgee / Lien Holder: _____
FCIL Account No. _____ **CDC Participant / Pledge Group ID:** _____
CNIC / Passport No.: _____ **National Tax No.:** _____

To be filled by individuals only
Father's / Husband's Name: _____ ___ **Mother's Name:** _____

Details for Unit(s) Pledged

Fund Name: _____ **Aggregate No. of Unit(s):** _____
No. of Electronic Unit(s) _____ **No. of Physical Certificates Unit(s)** _____
Type of Units:

- ☐ Income Units
- ☐ Growth Units

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Declaration (For All Applicants)

- I/We hereby acknowledge that I/We have fully understood all the reference notes; and the provisions of Trust Deed and Offering Document including the risk disclosures and warnings. Further, I/We hereby ratify that the information provided on this form is correct and that no other person(s) has any financial interest in the mentioned account.
- I/We recognize and understand that the registration of this Pledge/Lien places a responsibility on the Management Company and the Trustee, the Transfer Agent(s)/Registrar(s) and their respective agents to ensure that if for any reason what so ever, the Unit(s) specified on this form (here in after referred to as the Pledged Unit(s)) are redeemed or transferred by the Pledgee(s)/Lien Holder(s), save for any legal bar or court order requiring otherwise, the proceeds there of shall be paid to the Pledgee(s)/Lien Holder(s) or as the case maybe. The Unit(s) shall be transferred to the order of the Pledgee(s)/Lien Holder(s) or first named joint Pledgee(s)/Lien Holder(s) according to the provisions of the Constitutive Documents of the pertinent Fund(s).
- I/We further confirm that being the pledger, I/We have signed the prescribed blank A/C to A/C transfer form or a blank Redemption Form and have delivered the same to the Pledgee(s)/Lien Holder(s) enabling him/her/it/them to redeem or to transfer the Pledged Unit(s) in exercise of their rights as Pledgee(s)/Lien Holder(s).
- I/We recognize and understand that in case the Pledgee(s)/Lien Holder(s) apply(ies) for Redemption of all or any of the Pledged Unit(s), such Redemption will be valid on the submission of properly filled in and signed Redemption Form as referred to in clause 3 above, by the Pledgee(s)/Lien Holder(s).
- I/We recognize and understand that in case the Pledgee(s)/Lien Holder(s) apply(ies) for Transfer of all or any of the Pledged Unit(s), such Transfer will be valid on submission of properly filled Transfer Form referred to in Clause 3 above, duly signed by the Pledger(s) and Pledgee(s)/Lien Holder(s).
- I/We understand that in case the Pledged Unit(s) are book entry securities, the provisions of the Central Depositories Act, 1997 and the Central Depository Company of Pakistan Limited regulation will also become applicable in addition to the terms and conditions contained herein.
- I/We recognize and understand that save any legal bar or court order requiring otherwise, any dividends that are declared on the Pledged Unit(s) shall be made to the order of the Unit Holder. However, any additional bonus units that the Pledged Unit(s) are entitled to automatically be marked under the lien of the Lien Holder and in the event the Pledged Unit(s) are redeemed for any reason what so ever, the proceeds shall be paid to the order of the Lien Holder.
- The declaration of any loan against the constitution of such Pledge/Lien/Charge shall not be at the entire discretion of the lender and the Trustee, nor do the Management Company and/or the Transfer Agent take any responsibility in this matter.
- I/We recognize and understand that neither the Management Company, nor/and the Trustee or the Transfer Agents/Registrar or their respective agents accept any responsibility for the validity of my/our act of placing the Pledge Unit(s) under the Pledge/Lien not for any obligation or commitments undertaken by me/us in respect thereof under any circumstances whatsoever.
- I/We recognize and understand that the Pledge/Lien on the Pledged Unit(s) shall continue till such time-till the same is released by the Pledgee(s)/Lien Holder(s) under his/her/their written instructions under their respective signatures.
- I/We undertake to indemnify **First Capital Investments Limited (FCIL)**, the Trustee and the pertinent Transfer Agent against all losses, cost and expenses that they or any of them may suffer or sustain as a result of the recordal of the Pledged/Lien on the Pledged Unit(s), as specified on this Form.

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Declaration (For All Applicants)

- All of the above declarations are subject to provisions of constitutive documents of the fund.

PLEDGER

_____	_____	_____	_____
Signature	Signature	Signature	Signature

PLEDGEE / LIEN HOLDER

_____	_____	_____	_____
Signature	Signature	Signature	Signature

Proof of Application for Account to Account Transfer (investor copy)

Date: _____

Transferor Account No.:_____ **Transferee Account No.:**_____

Aggregate No. of Unit(s):_____

Agent Name: _____

Receiving Stamp and Signature: _____

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Reference Notes:

- If any field is not applicable kindly write N/A.
- The form must be signed by the persons as per the list of authorized signatories (along with a company stamp in case of institutional customers).
- In case the applicant is Minor; guardian's authenticated CNIC copy by his/her banker shall be provided. His/Her form will also need to be signed by the guardian as an authorized signatory.
- In case of Minor/ Guardian/ Shaky Signatures/ Illiterate Applicant/ Thumb Impression then he/she is required to submit either a clear copy of CNIC / "B Form" (in case of Minor) authenticated by his/her banker. His/Her form would also need to be signed by two witnesses.
- Management Company or Trustee has the right to reject application in accordance with the Trust Deed and/or Offering Document.
- All transaction are subject to levies, duties, charges, taxes etc. (if applicable) as per the relevant statutes enforced for the time in Pakistan.
- All correspondence will be made with First Applicant only.
- It shall be the responsibility of the applicant to pay all stamp and other duties, taxes and processing charges in relation to the units pledged by him/her/it.
- **Documents Required:**

➢ In case the Pledgee/Lien Holder is not an existing client of FCIL, and intends to transfer units in his name, he/she/they shall be required to complete and provide the registration form.
➢ Physical certificate(s) as specified in this form.
➢ In case Pledger is an institution- board resolution authorizing the transaction.
➢ In case of Institutional Pledgee/Lien Holders, Pledge call letter signed by the authorized signatories along with authorization.
➢ Power of attorney on behalf of Pledgee/Lien Holders.

If you need any assistance or require additional information, Please contact our representative:

First Capital Investments Limited
First Capital House
96-B/1, Lower Ground Floor, M.M. Alam Road, Gulberg-III, Lahore
Telephone No.: +92-42-35778217-18
Email: ir@pacepakistan.com Web: www.fcil.com.pk