

**LIEN REQUEST LETTER FROM THE INVESTOR**  
 (THIS SHOULD COME ALONG WITH BANK LETTER)

Date:

(Name & Address of the Registrar /  
 AMC of the Mutual Fund Scheme)

**Subject : Lien Against Units of \_\_\_\_\_ (Name of the Mutual Fund Scheme)**

**Reference: Folio No.**

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In consideration of \_\_\_\_\_ (lender Name) (hereinafter called “the \_\_\_\_\_”) having granted / agreeing to grant me / us a Loan Against the Security of \_\_\_\_ (number of units) units of \_\_\_\_\_ (name of the mutual fund scheme) bearing Folio No. \_\_\_\_ Of which I/We can/are the holder/s and on the understanding that the \_\_\_\_\_ (lender name) is being given necessary authority to ask \_\_\_\_\_ (name of the Mutual Fund) (referred to as the said Mutual Fund), to note a lien in favor of the \_\_\_\_\_ (lender name) against these units in the books of the said Mutual Fund, I/we hereby authorize the said Mutual Fund to note a lien against the units mentioned herein, in favor of \_\_\_\_\_ (lender name) till the same is vacated by the \_\_\_\_\_ (lender name) as expressed in a letter. We confirm that these units are not brought/held under Sec.54 EA/EB and that no lock-in period is applicable on these units. We further confirm that these units are presently available as free balance and that no lien has already been marked on these units.

Further this letter also authorize the said Mutual Fund to pay the value (Redemption Price of the said number of units on the final redemption / maturity date or the date of the \_\_\_\_\_’s (lender name) request) of the said units including any accretions / accruals thereon to the said \_\_\_\_\_ (lender name) in case of my/our default in repayment of the loan/advances availed by me/us on such communication/demand by the \_\_\_\_\_ (lender name) to that effect. Such communication / demand by the \_\_\_\_\_ (lender name) will be final and no further communication or information will be required to be given to me/us. This authority in your shall not be revoked by me/us except with the prior approval of the \_\_\_\_\_ (lender name) in writing and the \_\_\_\_\_’s (lender name) consent / agreement to this effect shall be furnished by me/us to the fund. I/We further undertake that I/we shall not transfer / assign / redeem / repurchase / switch / nominate/ gift etc., these units during the period that the units are pledged with the \_\_\_\_\_ (lender name). I/We further undertake to indemnify the said Mutual Fund against any losses, financial or otherwise, which may arise out of fraud, mistake, etc. I/We hereby authorize the said Mutual Fund to redeem the units in favor of the \_\_\_\_\_ (lender name) in case of maturity of the scheme or termination of the scheme for any reason whatsoever.

Yours Faithfully,

	Name	Signature
First Holder		
Second Holder		
Third Holder		

This letter - signed by all the holders of the Mutual Fund Scheme has to be submitted by the Customer to \_\_\_\_\_ (lender name) in Duplicate.

**Baroda Asset Management India Limited**  
CIN : U65991MH1992PLC069414  
501, Titanium, 5th Floor, Western Express Highway,  
Goregaon (E), Mumbai - 400063. Phone: +91 22 3074 1000 / 4219 7999.  
Fax: + 91 22 3071 1001. Toll Free No.: 1800 2670 189  
Website : www.barodamf.com Email:info@barodamf.com



Ref No. To be filled by the bank

Date : To be filled by the bank

**BANK NAME**  
Bank Address

To,

**BARODA MUTUAL FUND**  
501, Titanium, 5th Floor,  
Western Express Highway,  
Goregaon (E), Mumbai - 400 063.

Dear Sir/Madam,

**Sub: Lien on the Units Baroda Mutual Fund**

We have received an application from our customer for granting Loan Against the Lien of Following units.

Sr. No.	Mutual Fund Scheme	Holder Name	Folio No.	Units

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

Please mark the lien in our favour and send the lien confirmation (in the prescribed format) at the earliest. Please note that lien is to be vacated only at our request and not otherwise. The dividend that may accrue towards the units in the event of dividend payout, are to be remitted to the investor while the units continue to be pledged in favour of the bank. In case of dividend re-investment, the dividend units re-invested are not subject to lien and as such are free from encumbrances and can be redeemed by the investor. Please find attached our Bank account details as Annexure to this request.

Please send all your correspondence to the attention of Mr./Ms.Concerned person name in Loan Against Shares Department, BANK ADDRESS to be filled by Bank.

Thanking You,

Yours Sincerely,

For **BANK NAME**

(Authorized Signatories)

**Baroda Asset Management India Limited**  
CIN : U65991MH1992PLC069414  
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Ref No. To be filled by the bank

Date : To be filled by the bank

<b>BANK NAME</b> Bank Address
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To,

**BARODA MUTUAL FUND**

501, Titanium, 5th Floor,  
Western Express Highway,  
Goregaon (E), Mumbai - 400 063.

Dear Sir/Madam,

**Sub: Unpledge of units held under Baroda Mutual Fund**

Our bank had sanctioned a loan/overdraft facility against the pledge of the Mutual Fund units mentioned below. The customer would like to unpledge this as per the request.

We here by authorize you to lift the lien marked on the said units only to the extent mentioned below.

Sr. No.	Mutual Fund Scheme	Holder Name	Folio No.	Units

Please send all your correspondence to the attention of Mr./Ms.Concerned person name in Loan Against Shares Department, BANK ADDRESS to be filled by Bank

Thanking You,

Yours Sincerely,

For **BANK NAME**

(Authorized Signatories)