

## Swastika Investmart Limited

Admin office: 48, Jaora Compound, MYH Road, Indore – 452001  
Tel. No.: 0731-6644223/224, E-mail: dp@swastika.co.in



NSDL DP ID: IN303833

### PLEDGE/HYPOTHECATION FORM

Serial No:

Date:

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| Please tick in any one of the boxes as may be applicable                                                                                                                        |      |               |                                                          |                                                                                                                                                                                                                     |                                               |                                            |                                                                               |                                                                     |  |  |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|---------------|----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|--------------------------------------------|-------------------------------------------------------------------------------|---------------------------------------------------------------------|--|--|--|
| <input type="checkbox"/> Create the pledge/hypothecation<br><input type="checkbox"/> Close the pledge/hypothecation<br><input type="checkbox"/> Invoke the pledge/hypothecation |      |               |                                                          | <input type="checkbox"/> Confirm the creation of pledge /hypothecation<br><input type="checkbox"/> Confirm the closure of pledge /hypothecation<br><input type="checkbox"/> Confirm the invocation of hypothecation |                                               |                                            |                                                                               | <input type="checkbox"/> Unilateral closure of pledge/hypothecation |  |  |  |
|                                                                                                                                                                                 |      |               |                                                          |                                                                                                                                                                                                                     |                                               |                                            |                                                                               | Instruction Type Pledge Hypotecation                                |  |  |  |
| Client ID                                                                                                                                                                       |      |               |                                                          | Counterparty Pledgor/ Pledgee Client Id                                                                                                                                                                             |                                               |                                            |                                                                               |                                                                     |  |  |  |
| Client Name                                                                                                                                                                     |      |               |                                                          | Counterparty Pledgor/ Pledgee Name                                                                                                                                                                                  |                                               |                                            |                                                                               |                                                                     |  |  |  |
| Closure date                                                                                                                                                                    |      |               |                                                          | Counterparty Pledgor/ Pledgee DP Id                                                                                                                                                                                 |                                               |                                            |                                                                               |                                                                     |  |  |  |
| Agreement No.                                                                                                                                                                   |      |               |                                                          | Counterparty Pledgor/ Pledgee DP Name :                                                                                                                                                                             |                                               |                                            |                                                                               |                                                                     |  |  |  |
| Sr. No.                                                                                                                                                                         | ISIN | Security Name | Reasons & release date for locked-in securities (if any) | Quantity (in figures) (Refer Instruction No. 2)                                                                                                                                                                     | Quantity (in words) (Refer Instruction No. 2) | Pledge Order No. (Refer Instruction No. 3) | Reasons for rejections (if any) (To be filled in at the time of confirmation) |                                                                     |  |  |  |
|                                                                                                                                                                                 |      |               |                                                          |                                                                                                                                                                                                                     |                                               |                                            |                                                                               |                                                                     |  |  |  |
|                                                                                                                                                                                 |      |               |                                                          |                                                                                                                                                                                                                     |                                               |                                            |                                                                               |                                                                     |  |  |  |
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|                                                                                                                                                                                 |      |               |                                                          |                                                                                                                                                                                                                     |                                               |                                            |                                                                               |                                                                     |  |  |  |
|                                                                                                                                                                                 |      |               |                                                          |                                                                                                                                                                                                                     |                                               |                                            |                                                                               |                                                                     |  |  |  |

The Pledger / Pledgee hereby undertake as follows:  
a) The pledger and pledgee undertake to abide with the provisions of the Indian Contract Act, 1872, the Depositories Act, SEBI Regulations, circulars, and bye-laws in force from time to time, as may be applicable.  
b) The pledgee undertakes to provide reasonable notice to the pledger and comply with the requirements of Section 176 and 177 of the Indian Contract Act, 1872.

Execution Date: \_\_\_\_\_

Client Signature :

For Swastika Investmart Ltd

Authorised Signatory

**Instructions:**

1. To be submitted in duplicate for acknowledgement.
2. Pledged Quantity, Closure Quantity or the Invoked Quantity to be mentioned as the case may be.
3. Pledge Order No. to be filled in by the client (except at the time of creation of the pledge to be filled in by the Participant).
4. Locked-in securities cannot be invoked before the lock-in release date.
5. Strike out whichever is not applicable.