

Procedure to claim of Unclaimed dividend, Shares and matured deposits or interest from Investor Education and Protection Fund (IEPF)



1. Download form IEPF-5 from website of IEPF (<http://www.iepf.gov.in>) for filing the claim. Read instructions provided in the instruction kit along with the e-form carefully before filling form.



2. After filling the form save it on your computer and submit the duly filled form by following the instructions given in upload link on the website. Upon successful uploading an acknowledgement will be generated indicating the Service Request Number(SRN). Please note SRN for future tracking of the form.



3. Take a printout of IEPF-5 form and the acknowledgement issued after uploading the form.



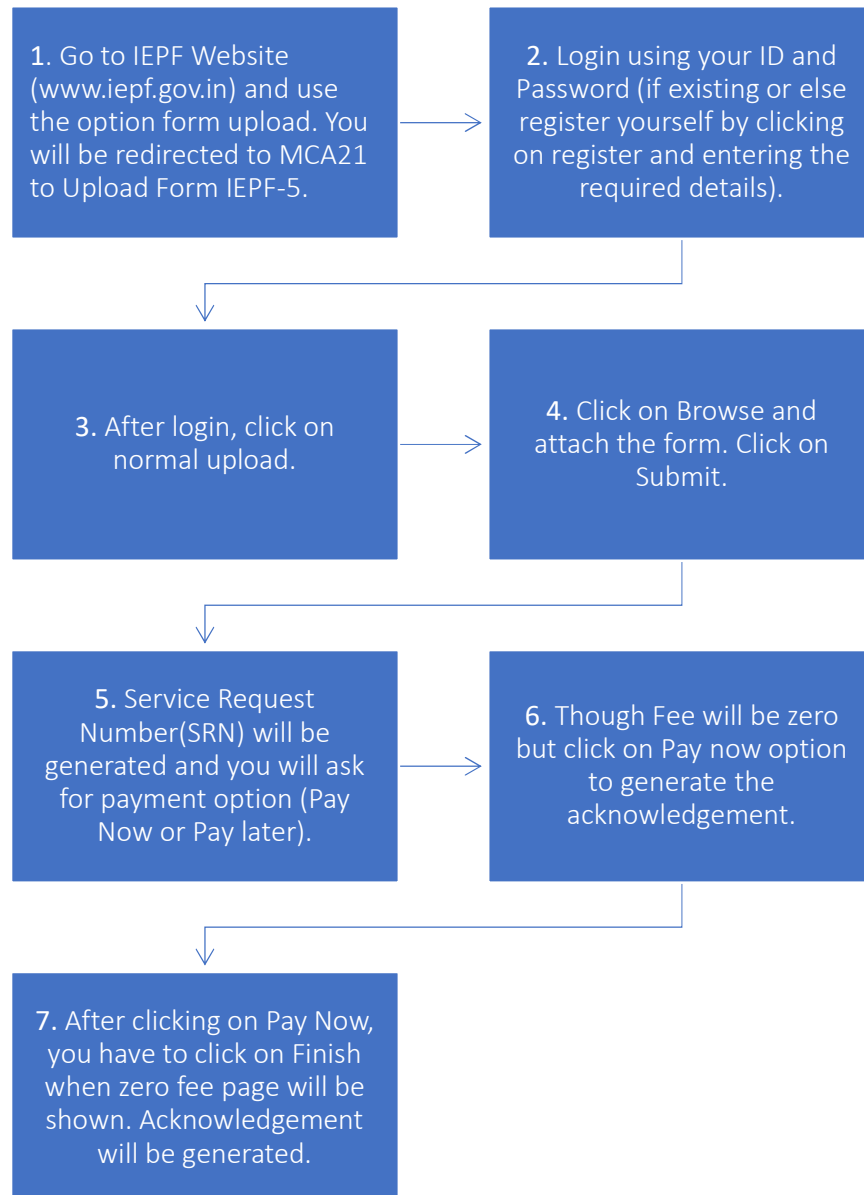
4. Submit indemnity bond in original, copy of acknowledgement and self-attested copy of e-form along with the other documents as mentioned in Form IEPF-5 to Nodal Officer of the company at its registered office in an envelope.



5. Claim forms completed in all aspects will be verified by the concerned company and on the basis of company's verification report, amount will be released by the IEPF Authority in favour of claimants' Aadhaar linked bank account through electronic transfer or share will be credited to the demat account of claimant

Important points for successful submission of e-form IEPF-5 :-

After pre-scrutiny is done the user is required to upload the form using steps as given below:



Process for claiming dividend, matured deposit, matured debentures and shares :-

1. Approach the Company/Registrar and Transfer Agent to know the status of unpaid dividend, matured deposit, matured debentures and shares; as the case may be.
2. In case it is transferred to IEPF account, follow the procedure of filing Form IEPF-5 as mentioned above.
3. Open a Demat Account in consultation with Depository Participant, if the claim is for shares, if the claimant does not have a demat account.
4. Submit all the documents as mentioned below.

The User should send the attachments prescribed below to Nodal Officer (IEPF) of the Company at its registered office for initiating the verification for claim:

- a) Print out of duly filled and uploaded claim form IEPF-5; with claimant signature and if joint holders are involved than the Form IEPF-5 should be signed by all the joint holders
- b) Copy of acknowledgement generated after uploading the claim Form IEPF-5
- c) Indemnity Bond (original) with claimant signature to be executed **(Format Annexure – I)**
 - On a non-judicial Stamp Paper of the value as prescribed under the Stamp Act
(According to state) if the amount of the claim is Rs.10, 000 or more. Please ensure to enter date, place and Signature of claimant and witness.
 - On a plain paper if the amount claimed does not exceed Rs.10,000.
 - In case of refund of shares, on a non-judicial Stamp Paper of the value as prescribed under the Stamp Act.
- d) Advance Stamped receipt (original) with signature of claimant and two witnesses. **(Format Annexure – II)**
- e) In case of refund of matured deposit or where shares (in physical form) are claimed original certificate thereto

- f) Copy of Aadhaar Card of the claimant and if joint holders are there, copy of Aadhaar card of all the joint holders
 - g) Proof of entitlement (certificate of share/Interest warrant/dividend warrant, Application No. etc.)
 - h) Original Cancelled Cheque leaf
 - i) Copy of Passport, Overseas Indian Card (OIC) and Person of Indian Origin (PIO) card in case of foreigners and NRI
 - j) Copy of PAN Card (mandatory in case of claim for shares)
 - k) Client Master List of De-mat A/c of the claimant
 - l) In case any Joint holder is deceased, Copy of Death certificate to be attached.
 - m) Other optional documents, (if any)
5. You can refer FAQ's issued by MCA mentioned below.

6. **Details of Nodal Officer and Deputy Nodal Officer :-**

Mital Sanghvi

cosec.india@diageo.com

Deputy Nodal Officer:

B L Akshara - bl.akshara@diageo.com

J Swaminathan - swaminathan.j@diageo.com

OR

Registrar and Transfer Agents

Integrated Registry Management Services Private Limited,

(United Spirits Limited)

30, Ramana Residency, 4th Cross,

Sampige Road, Malleswaram,

Bangalore 560 003.

Tel: 080 2346 0815 to 818

Fax: 080 2346 0819

bglsta@integratedindia.in

Vijayagopal – vijayagopal@integratedindia.in

Giridhar - giri@integratedindia.in

When the claimant is legal heir of the deceased shareholder of the Company :-

- i. Approach the Company/Registrar and Transfer Agent to know the status of shares/ unpaid dividend; as the case may be held by the deceased shareholder.
- ii. Open a Demat Account in consultation with Depository Participant, in case the shares (if shares were held by deceased shareholder in physical mode).
- iii. Upload Form IEPF – 5 link: <http://iepf.gov.in/IEPF/refund.html> and send the copy of the uploaded Form IEPF – 5 to the Nodal officer (Please refer FAQ before uploading the form IEPF - 5: <http://www.iepf.gov.in/IEPF/faq.html>)
- iv. Send original physical share certificate (in case of shares held in demat mode a copy of transaction statement duly certified by Depository Participant), Indemnity Bond ((**Format Annexure – I**), Advance Receipts (**Format Annexure – II**), any other document attached with the Form IEPF - 5 duly signed to the Nodal Officer of the Company at Registered Office for verification of the claim in an envelope along with:
 - a. Duly signed transmission request form by the nominee(s)
 - b. Original / copy of death certificate duly attested.
 - c. Self-attested copy of PAN card.
 - d. Any other government ID proof of the nominee(s)
 - e. Indemnity Bond and Affidavit from all legal heirs in the format provided by the Company.
 - f. Succession Certificate / probate of Will/ Letter of Administration / Court Decree in terms of Indian Succession Act, 1925.
- v. In case of Loss of Original Physical Share Certificate(s), following additional documents to be provided:

- a. Letter requesting issue of Duplicate Shares along with Notarized copy of FIR/ Police Compliant containing information of security holder, holding details, folio number and distinctive numbers of share certificate.
- b. Surety Affidavit of value equal to market value that of shares as on date of execution along with his Proof of identity like Pan Card of sureties duly attested by Notary.
- c. Affidavit and Indemnity bond in the format provided by the Company.
- d. Copy of advertisement issued in at least one English language national daily newspaper having nationwide circulation

Indemnity bond

To
The Investor Education and Protection Fund Authority
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In consideration of the payment of Rs and No. of shares..... being the amount and shares due to me as (Dividend on Equity / Preference shares / matured deposits / matured debentures / application money due for refund /interest accrued on...../Dividend credited to IEPF under Companies Act, 1956or Companies Act, 2013/ Dividend credited to General Revenue Account under Companies Act, 1956 / others, specify.....)# for the Financial Year..... from M/s(Name of the Company) out of the Investor Education and Protection Fund by the Authority, Ison /daughter /wife# of do hereby agree and undertake to indemnify the Investor Education and Protection Fund Authority to the extent of any claim not exceeding the amount hereinbefore mentioned which may be preferred against the Investor Education and Protection Fund Authority, and which it has to lawfully discharge.

Signature

Date:
Place:

Witnesses:

1. Signature with date
Name
Address

2. Signature with date
Name
Address

* For ensuring timely processing of the claim, please ensure to make all the entries
Strike off whichever is not applicable

Advance Receipt

Received from the Investor Education and Protection Fund Authority the sum of Rs.....
and No. of Shares being the amount and shares payable to me from the Investor
Education and Protection Fund as (Dividend on Equity / Preference shares /
matured deposits / matured debentures / application money due for refund / interest accrued
on...../Dividend credited to IEPF under Companies Act, 1956 or Companies
Act, 2013/ Dividend credited to General Revenue Account under Companies Act, 1956 / others,
specify.....)# which was originally due from
M/s.....(Name of the Company)

Signature of claimant with date
Stamp

Signature of witness:

1. Signature with date
Name
Address

2. Signature with date
Name
Address

*** Please ensure to affix Revenue Stamp with crossed Signature to avoid delay in processing of the claim**
Strike off whichever is not applicable

Frequently asked questions on Claim procedure from IEPF Authority :-

Q.1. Whether e-Form is to be filled online?

A. 1. Yes. Forms filled in physical mode are rejected.

Q.2. Whether a professional help is required to fill e-Form IEPF – 5?

A.2. No. The procedure for filling the e-Form is simple. On a plain reading any literate individual can fill e-Form on his own. The prescribed Form is not only very precise but also very friendly in filling up.

A general guidance kit is also attached with the form for any help, if required for filling up such Form. For any further help the IEPF helpline can also be contacted.

Q.3. What are the documents required to be submitted with IEPF - 5?

A.3. Documents which are required to be submitted are enumerated in the form and help kit, such as–

1. Copy of acknowledgement generated on online submission of eForm IEPF – 5 bearing a unique serial number (SRN),
2. Indemnity Bond (original) with claimant signature,
3. Advance Stamped receipt (original) with revenue stamp and signature of claimant and witnesses,
4. Original matured deposit / debenture / share certificate (in case of securities held in physical form) or copy of transaction statement in case of securities held in Demat Form,
5. Self-attested copy of Aadhaar Card,
6. Proof of entitlement (certificate of share/Interest warrant Application No. etc.),
7. Cancelled Cheque leaf,
8. Copy of Passport, OCI and PIO card in case of foreigners and NRI.
9. Such other documents as required by the IEPF/ Company to support the claim

Q.4. What are the formats for advance receipt and indemnity bond?

A.4. The formats for advance receipt and indemnity bond are available in the help kit of IEPF -5 form. [<http://www.iepf.gov.in/IEPF/corporates.html>]

Q.5. What is the value to be filled in the number of shares and amount in the advance receipt and indemnity bond?

A.5. The number of shares and amount should be same as that filled in form IEPF -5. These values can be ascertained based on the available documents with the claimant or verified from the company. However, mismatch in number of shares or in amount is not a ground for rejection of the claim. The authority shall process the claim based on the verification report received from the company and the same shall be verified from the data available with the authority.

Q.6. What are the required KYC documents?

A.6. In case of Indian Citizen - to prove the identity of the claimant self certified copy of Pan Card and Aadhar Card are required to be submitted.

In case of NRI – to prove the identity of the claimant, self-attested copy of Passport or self-attested copy of Overseas Indian Card (OIC) issued by MHA along with any of the documents available with him.

In case of foreigners, instead of Aadhar Card, copy of Passport or PIO Card duly apostatized as per Hague Convention.

Q.7. In case of non-availability of Aadhar Card, what other documents can be submitted as proof of identity?

A.7. In case of non-availability of Aadhar Card for super senior citizens or some specific states, other ID Proofs issued by government clearly mentioning the address of the claimant needs to be submitted.

Q.8. Is original Share/Deposit/Bond/Debenture certificate required to be submitted?

A.8. Yes, original certificate is required to be submitted. In case of loss of original, procedure for duplicate needs to be completed with the company including submission of FIR, Newspaper Advertisement in English and Vernacular Language, Indemnity cum Surety bond etc. as per SEBI Guidelines. A copy of such procedural documents shall be provided by the company to IEPF Authority along with its verification report.

Q.9. What happens if the name on original certificates is not matching with the PAN or address on the Proof of Identity is not matching with company' records?

A.9. In such case as per SEBI Guidelines, an affidavit explaining the above deviation needs to be submitted.

In case of mismatch in name, proof of name as on share certificate or change of name viz. marriage certificate, gazette notification etc. needs to be submitted.

In case of mismatch in address, new address needs to be updated with the company.

Q.10. What information is required to be filled in at point 3 & 4 of the e-form IEPF 5, such as details of shares claimed, Folio No., DP/ID client ID/ Account No., category, kind of shares, number of shares; details of amount claimed, dividend amount, application money due for refund, matured deposits etc.

A.10. The claimant may fill the information as per the records available with him. However, it may be endeavoured that for one company, all folios against which refund of share need to be claimed are filled in the same form. Similarly, dividend and other amount may be mentioned for all the years.

The company shall ensure to recommend refund of all the shares and amount for which the claimant is entitled together at once.

Q.11. Why Client Master List ('CML') and cancelled Original Cheque leaf are required?

A.11. CML and cancelled Original Cheque leaf are required to verify the DEMAT and Bank Account in which transfer is to be made. In case, Cheque leaf doesn't have Name, Bank and Branch Name, IFSC Code etc. printed on it, copy of passbook, duly attested by the Bank can be submitted.

Q.12. What are the documentary requirement in case claimant is a legal heir?

A.12. (i) **In case of legal heir** - the claimant is required to register transmission with the company by providing requisite documents as per SEBI Guidelines. According to SEBI Guidelines for registering transmission, company may require copy of death certificate,

Affidavit from legal heirs, Indemnity Bond, Succession Certificate or probate of will or letter of administration etc., NOC from other legal heirs and relinquishment deed in favour of claimant etc;

(ii) In case of death of any of the holder in joint holding of securities, but not covered in the family hierarchy – the claimant is required to get the name of the deceased holder of security deleted from the register of the members/other records, if any, in the company immediately after the death of a joint security holder before filing claim application. The claimant is also required to obtain NOC from other holders of securities, if any, and submit the same alongwith claim application. SEBI Guidelines may also be seen before filing claim application. The Company is required to issue entitlement letter under rule 7(9) of IEPF Rules 2016 in favour of claimant and send it along with copy of documents submitted by claimant with its verification report.

Q.13. What is resubmission and time period for resubmission?

A.13. For rectification of errors in e-form IEPF 5, IEPF Authority provides one more chance to the claimant to correct the details and to re-submit the form again, such act of the Authority is called Resubmission. It may be noted that only one resubmission is allowed. A 15 days' time period is allowed for making resubmission of claim application. In case resubmission is not done in the prescribed time, the form becomes invalid.

Q.14. Where are the documents required to be sent by the claimant after the prescribed claim form is filled up.

A.14. The documents are required to be sent to the Nodal Officer of the company.