

## **Claiming Shares from the Investor Education and Protection Fund (IEPF) Authority**

### **A) Claimant is shareholder: Shares in physical forms**

1. File Forms IEPF-5 (download Form from : [www.iepf.gov.in/IEPF/corporates.html](http://www.iepf.gov.in/IEPF/corporates.html)).  
Read the instructions provided on the instruction kit along with the e-form carefully before filling the form.
2. All data filled in Form No-5 should be correct.
3. On successful submitting of Form on Portal, an acknowledgement will be generated indicating the SRN. Please note the SRN for future tracking of the form.
4. Take a printout of the duly filled Form IEPF-5, Form IEPF-5 acknowledgement, Indemnity Bond and Advance receipt. Indemnity Bond and Advance Receipt will have generated automatically after submission of IEPF Form-5.
5. Steps to be followed after Form upload:  
User has to send the attachments prescribed below to Nodal Officer (IEPF) of the Company at its registered office in an envelope marked "Claim for Refund from IEPF Authority" for initiating the verification for claim.
6. Documents required for verification of claim:
  - Indemnity Bond auto generated after filing of Form No-5, will be executed on
    - 📄 Plain paper if the dividend amount is less than Rs 10,000/-
    - 📄 Non-judicial Stamp paper of Rs.500/-, if dividend amount is more than Rs 10,000/-
  - Advance Receipt auto generated after filing of Form No-5, will be executed **on** plain paper and **Re.1/-** revenue stamp will be affixed and crossed.
  - Self-attested copy of Aadhar Card
  - Self-attested copy of PAN Card
  - Self-attested copy of Passport (only in case of OCB/OCI/NRI/Foreigners).
  - In case the claimant's name as per Company's record does not match with any of the documents such as PAN Card, Aadhar Card, Passport, cancelled cheque leaf, CML then an affidavit (duly notarised) explaining the above deviation/reason of change in name, on non-judicial stamp paper of Rs.100/-; and marriage certificate, Gazette notification etc., if applicable.
  - Provide Self-attested copy of New ID proof
  - Self-attested copy of Bank Accounts Statement / Passbook.
  - Self-Attested Copy of Address Proof - Any one documents as Address Proof -
    - 📄 AAdhar Card

- 📄 Latest Utility Bill - Telephone Bill / Electric Bill / Bank Passbook Statements- (Not older than 2 months)
  - 📄 Passport copy
  - 📄 Bank Passbook
- Address **proof** provided should be similar to what mentioned in IEPF Form-5. In case of difference, a notarised affidavit on Rs.100/- stamp paper shall be provided stating the reason of difference of address proof.
- If address proof is difference what mentioned in Company Record, the shareholder is requested to send complete KYC.
- To complete KYC, shareholder requested to see heading **KYC Update.**
- Self-attested original Dividend Warrant
- Self-attested copy of share certificates
- If original share certificates not with claimant, then follow the **Procedure of Issue of Duplicate share certificate.**
- All documents should be signed and dated by claimant and witness at all places
- E-mail the **duly filled, signed and dated** documents on RTA email id with cc to Company e-mail id.
- Courier the original documents to the address of Registrar and Transfer Agent.
- E-mail the courier slip as proof of dispatch to RTA email id with cc to Company e-mail- id.
- Email id and Address of RTA and the Company has been mention on **General Information Section.**

## **B) Claimant is shareholder: Shares in Demat Account**

1. Provides Details as mentioned in serial Number **A** above.
2. Additional Documents Required:
  - Client Master Report (CMR) Data of Demat Account duly signed by Depository.
  - Bank Account details provided should be same as mentioned CMR.
  - Address mentioned in Client Master Data should be similar to what mention in IEPF Form-5 and Address proof provided.
  - In case of difference in address, a notarised affidavit on Rs.100/- stamp paper shall be provided stating the reason of difference of address proof.

### **C) Nominee as claimant**

1. Provides Details as mentioned in serial Number **A** above.
2. Duly Notarised copy of Death Certificate.
3. Transmission Request Form for Transfer of Shares and Dividend in name of Nominee
4. Additional Documents Required, If nominee having Demat Account:
  - Client Master Report (CMR) Data of Demat Account duly signed by Depository.
  - Bank Account details provided should be same as mentioned CMR.
  - Address mentioned in Client Master Data should be similar to what mention in IEPF Form-5 and Address proof provided.
  - In case of difference in address, a notarised affidavit on Rs.100/- stamp paper shall be provided stating the reason of difference of address proof.
  - In case the claimant's name as per Company's record does not match with any of the documents such as PAN Card, Aadhar Card, Passport, cancelled cheque leaf, CML then an affidavit (duly notarised) explaining the above deviation/reason of change in name, on non-judicial stamp paper of Rs.100/-; and marriage certificate, Gazette notification etc., if applicable.
  - Provide Self-attested copy of New ID proof

### **D) Legal heirs as claimant: No Nomination**

1. Provides Details as mentioned in serial Number **A** above.
2. Duly Notarised copy of Death Certificate.
3. Transmission Request Form for Transfer of Shares and Dividend in name of Nominee
4. Duly signed by all legal heirs on Rs.100/- non-judicial stamp paper - to the effect of identification and claim of legal ownership to the securities In case the legal heir(s) or claimant(s) is named in the succession certificate or probate of will or Letter of Administration, an Affidavit from such legal heir(s) or claimant(s) alone is required
5. Where the value of securities **up to Rs. 2,00,000/-**, Either one of the following documents:
  - Indemnity Bond (See Annexure – 1) on Rs. 500/- non-judicial stamp paper for transmission of shares and NOC (See Annexure – 3) from all legal heir(s) executed by all the legal heirs of the deceased holder(s) not objecting to such transmission (or) copy of Family Settlement Deed duly notarized.

**OR**

- Succession Certificate or Probate of Will or Letter of Administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.(39 of 1925)
6. Where the value of securities **more than Rs. 2,00,000/-**, then only Succession Certificate or Probate of Will or Letter of Administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.(39 of 1925)
7. Additional Documents Required, If Legal heirs having Demat Account:
- Client Master Report (CMR) Data of Demat Account duly signed by Depository.
  - Bank Account details provided should be same as mentioned CMR.
  - Address mentioned in Client Master Data should be similar to what mention in IEPF Form-5 and Address proof provided.
  - In case of difference in address, a notarised affidavit on Rs.100/- stamp paper shall be provided stating the reason of difference of address proof.
  - In case the claimant's name as per Company's record does not match with any of the documents such as PAN Card, Aadhar Card, Passport, cancelled cheque leaf, CML then an affidavit (duly notarised) explaining the above deviation/reason of change in name, on non-judicial stamp paper of Rs. 100/- and marriage certificate, Gazette notification etc., if applicable.
  - Provide Self-attested copy of New ID proof