

FORM NO. IEPF- 5



Application to the Authority for claiming unpaid amounts and shares out of Investor Education and Protection Fund (IEPF)

[Pursuant to sub-section (3) of section 125 of the Companies Act, 2013 and rule 6(13) & 8(1) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]

Form language English Hindi

Refer instruction kit for details.

Note - 1. All fields marked in * are to be mandatorily filled.

2. Only one Form to be filed in one FY against one Aadhar Number and one Company. User can enter more than one claims in single form (Number of claims to be entered in field 4)

1. Particulars of the applicant

(a)* Name of the applicant

(b)* Address of the applicant

(c) Phone number

 -

(d) Mobile number

(e) Email ID

2. Particulars of the Company / Bank from which the amount is due

(a)* Corporate Identification Number (CIN) of company

Pre-fill

(b) Name of the company

(c) Address of registered office of the company

(d) email ID of the company

3. Details of shares claimed

Folio No./ DP ID - Client ID - Account number	Category	Kind of share	Number of shares	Total nominal amount of the share
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

4. Details of amount claimed

S.No.	Particulars	Amount (in Rupees)
(i)	Dividend amount	0
(ii)	Application money due for refund	0
(iii)	Matured deposits with company	0
(iv)	Matured debentures with company	0
(v)	Interest accrued on application money due for refund	0
(vi)	Interest accrued on matured deposits with company	0
(vii)	Interest accrued on matured debentures with company	0
(viii)	Interest accrued on dividend credited to IEPF under the Companies Act, 1956	0
(ix)	Sale proceeds of fractional shares arising out of issuance of bonus shares, merger and amalgamation	0
(x)	Redemption amount of preference shares	0
(xi)	Others, specify <input type="text"/>	0
	Total	0

Note: If applicant doesn't have any information on amount claimed then the related column above may be left blank

* Number of claims

Year wise details of securities/deposits for which the amount is claimed

Nature of claim (1)	Amount of the claim (2)	Financial year to which it relates (3)	Nature of security / deposit (4)	Folio No. / DP ID - Client ID - Account number (5)	Category (6)	Reason for non-receipt / non-encashment of the instrument of payment (7)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

5* Aadhaar Number or Passport/OCI/PIO Card No. (in case of NRI/foreigners)

6: Details of Bank account (Aadhar linked, in case applicant is not NRI/foreigner) in which refund of claim to be made

(a) Bank account number	<input type="text"/>
(b) Bank name	<input type="text"/>
(c) Bank branch	<input type="text"/>
(d) Type of account	<input type="radio"/> Saving <input type="radio"/> Current
(e) IFSC code	<input type="text"/>

7. Demat account number

Declaration

I declare that all the requirements of Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I further declare that all the information given herein above is true, correct and complete including the attachments to this form and nothing material has been suppressed.

** I understand that I, am the claimant and after filing the refund claim in this form online, shall to send the attachments prescribed below to Nodal Officer (IEPF) of the company at its registered office in an envelope marked "claim for refund form IEPF Authority" for initiating the verification for claim*

1. Print out of duly filled claim form with claimant signature
2. Copy of acknowledgement
3. Indemnity Bond (original) with claimant signature
4. Advance Stamped receipt (original)
5. In case of refund of matured deposit or debenture, original certificate thereto
6. Copy of Aadhaar Card
7. Proof of entitlement (certificate of share/Interest warrant Application No. etc.)
8. Cancelled Cheque leaf
9. Copy of Passport, OCI and PIO card in case of foreigners and NRI
10. Other optional document, (if any)

Note: Attention is also drawn to provisions of Section 448 of Companies Act, 2013 which states that -

"Save as otherwise provided in this Act, if in any return, report, certificate, financial statement, prospectus, statement or other document required by, or for, the purposes of any of the provisions of this Act or the rules made thereunder, any person makes a statement,-

(a) which is false in any material particulars, knowing it to be false; or

(b) which omits any material fact, knowing it to be material,

he shall be liable under section 447."

Modify

Check Form

Prescrutiny

Submit

For office use only:

eForm Service request number (SRN)

eForm filing date

(DD/MM/YYYY)

Digital signature of the authorising officer

This e-Form is hereby approved

This e-Form is hereby rejected

Confirm Submission

Date of signing

(DD/MM/YYYY)



Instruction Kit for eForm IEPF-5

(Application to the Authority for claiming unpaid amounts and shares out of Investor Education and Protection Fund)

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Instruction Kit for eForm IEPF-5

(Application to the Authority for claiming unpaid amounts and shares out of Investor Education and Protection Fund)

About this Document

The Instruction Kit has been prepared to help you file eForms with ease. This document provides references to law(s) governing the eForms, instructions to fill the eForm at field level and common instructions to fill all eForms. The document also includes important points to be noted for successful submission.

User is advised to refer instruction kit specifically prepared for each eForm.

User is advised to file one form for one financial year against one Aadhar Number and one Company. User can enter more than one claims in single form (Number of claims to be entered in field 4), failing which the form is liable to be rejected.

Part I – Law(s) Governing the eForm

Section and Rules

eForm IEPF-5 is required to be filed pursuant to sub-section (3) of section 125 of the Companies Act, 2013 and rule 7(1) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016

Rule 7(1):

Any person, whose shares, unclaimed dividend, matured deposits, matured debentures, application money due for refund, or interest thereon, sale proceeds of fractional shares, redemption proceeds of preference shares, etc. has been transferred to the Fund, may claim the shares under provision to sub-section (6) of section 124 or apply for refund, under clause (a) of sub-section (3) of section 125 or under proviso to sub-section (3) of section, the case may be, to the Authority by making an application in Form IEPF 5 online available on website www.iepf.gov.in along with fee, as decided by the Authority from time to time in consultation with the Central Government, under his own signature.

Purpose of the form

The person in respect of whom any amount is transferred to the IEPF, can make an application by filing Form IEPF-5 with the IEPF authority set up by MCA that shall further process the application. IEPF authority may seek necessary clarifications from the concerned company/bank.



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Reference

New form implemented as per Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]

Part II – Instructions to fill the eForm

Specific Instructions to fill the eForm IEPF-1 at Field Level

Instructions to fill the eForm are tabulated below at field level. Only important fields that require detailed instructions to be filled in eForm are explained. Self-explanatory fields are not discussed.

Field No.	Field Name	Instructions
1		Only one Form to be filed for one financial year against one Aadhar Number and one Company. User can enter more than one claims in single form (Number of claims to be entered in field 4), failing which the form is liable to be rejected.
1	Particulars of the Applicant	Enter Name, Address and contact details of the Applicant.
2	Particulars of the Company from which the amount is due	Enter the Valid CIN of the company. You may find CIN by entering existing registration number or name of the Company in the 'Find CIN' service under the menu MCA Services on the MCA website. (www.mca.gov.in) Click the Pre-fill button. Upon clicking the button, system shall automatically display the name, registered office address and email id of the company. In case there is any change in the email ID, you can enter the new valid email ID which would be updated in MCA records upon processing of this eForm.
3	Details of shares claimed	Enter the details of shares including folio id, etc.
4	Details of Amount Claimed	Enter the details of amount claimed. Enter the number of claims made.

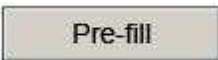


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		The number of rows under 'Year wise details of securities/ deposits for which the amount is claimed' shall be generated based on the number of claims entered by the applicant.
5	Aadhar Number or Passport/OCI/PIO Card No. (in case of NRI/foreigners)	Enter Aadhaar Number of applicant in case of Indian National. Aadhaar number should be correctly filled, failing which the form is liable to be rejected. For foreign nationals, enter OCI/PIO Card number, failing which the form is liable to be rejected.
	Number of Claims	User can enter more than one claims in single form.
6	Details of bank account (Aadhar linked, in case applicant is not NRI/foreigner) in which refund of claim to be made	Enter bank account number, Bank name, Bank branch, Type of account and IFSC code. The Bank details should be correctly filled and corresponding with cancelled cheque enclosed, failing which the form is liable to be rejected. In case of Indian Nationals, Bank Account Number must be Aadhaar linked.
7	Demat Account Number	Enter Demat Account Number Demat account number is mandatory to fill for the applicant claiming shares, failing which the form is liable to be rejected.
	Declaration	Click on check box given in declaration, after carefully reading all conditions





Common Instructions to fill eForm

BUTTONS	PARTICULARS
Pre-Fill 	The Pre-fill button can appear more than once in an eForm. The button appears next to a field that can be automatically filled using the MCA database. Click this button to populate the field. Note: You are required to be connected to the Internet to use the Prefill Functionality.
Check Form	1. Click the Check Form button after, filling the eForm. System



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<p>Check Form</p> 	<p>performs form level validation like checking if all mandatory fields are filled. System displays the errors and provides you an opportunity to correct errors.</p> <ol style="list-style-type: none">2. Correct the highlighted errors.3. Click the Check Form button again and. system will perform form level validation once again. On successful validations, a message is displayed “Form level pre scrutiny is successful”. <p>Note: The Check Form functionality does not require Internet connectivity.</p>
<p>Modify</p> 	<p>The Modify button is enabled, after you have checked the eForm using the Check Form button.</p> <p>To make changes to the filled and checked form:</p> <ol style="list-style-type: none">1. Click the Modify button.2. Make the changes to the filled eForm.3. Click the Check Form button to check the eForm again.
<p>Pre scrutiny</p> 	<p>After checking the eForm, click the Prescrutiny button. System performs some checks and displays errors, if any.</p> <ol style="list-style-type: none">2. Correct the errors.3. Click the Prescrutiny button again. If there are no errors, a message is displayed “No errors found.” <p>The Prescrutiny functionality requires Internet Connectivity.</p>
<p>Submit</p> 	<p>This button is disabled at present.</p>



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Part III- Important points for successful submission

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

1. Go to IEPF Website (www.iepf.gov.in) and use the option form upload. You will be redirected to MCA21 for form Upload.
2. Login using your ID and Password (if existing or else register yourself by clicking on register and entering the required details).
3. After login, click on normal upload.
4. Click on Browse and attach the form. Click on Submit.
5. SRN will be generated and you will ask for payment option (Pay Now or Pay later).
6. Though Fee will be zero, but click on Pay now option only to generate the acknowledgement.
7. After clicking on Pay Now, you have to click on Finish when zero fee page will be shown. Acknowledgement will be generated.

Part IV-Process to be followed after filling the form

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

- a. Print out of duly filled and uploaded claim form IEPF-5; with claimant signature and if joint holders are involved than the Form 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 (As per format given in Annexure II) to be executed :
 - 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 is given at Annexure I)
- e. In case of refund of matured deposit or debenture, or bonds, or where shares (in physical form) are claimed original certificate thereto



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- f. Copy of Aadhaar Card of the claimant and if joint holders are there, Copy of Aadhar 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, OCI and 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)



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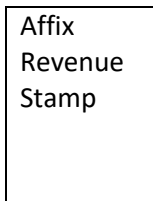
Annexure I

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*



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Annexure II

Indemnity bond

To

The Investor Education and Protection Fund Authority

.....

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, 1956 or 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