

## **Procedure to Claiming Shares/Dividend from IEPF Authority:**

1. Shareholders are required to make online application in form IEPF-5 (available on website [Ministry of Corporate Affairs \(iepf.gov.in\)](http://Ministry of Corporate Affairs (iepf.gov.in))) along with documents listed in the form. Web link of *IEPF-5 Form* and *help form* is given below for your reference.

[Ministry of Corporate Affairs \(iepf.gov.in\)](http://Ministry of Corporate Affairs (iepf.gov.in))

2. User has to send the attachments (given 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.
3. **Only one Form can 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). In case more than one form is filed, either one or both forms are liable to be rejected by IEPF Authority.**  
**Companies and RTAs are following up with IEPF Authority to amend the procedure so that claims for multiple folios/DPID-CLID can be made through single form only. Till then, shareholders may proceed to claim shares and dividend under one folio/DPID-CLID.**

### **Please keep the following ready before filing form:**

- ✓ CIN Number and Registered office of Company.
- ✓ Number of Shares and Dividends transferred to IEPF.
- ✓ Complete Demat account number i.e. DPID-CLID. Client Master List of De-mat A/c of the claimant has to be attached with form mandatorily
- ✓ Bank account Details (Account number, name, branch and IFSC Code). Attach original cancelled cheque leaf with documents and **this bank account must be linked with Aadhar.**

### **PLEASE NOTE THAT:**

**In case you have lost the share certificate(s)**, firstly procedure for issue of duplicate shares has to be completed with RTA/company and then after receipt of confirmation from RTA/company about duplicate issue, shareholder may proceed to submit claim with IEPF. Attach original confirmation letter received from company in place of share certificate(s).

**In case of transmission of shares**, firstly procedure for transmission of shares has to be completed with RTA/company and then after receipt of confirmation from RTA/company about transmission, claimant may proceed to submit claim with IEPF. Attach original confirmation letter received from company in place of share certificate(s).

**In case you have physical share certificates**, provide original share certificate(s);

**and in case shares were held in demat form**, provide copy of demat statement showing shares transferred to IEPF.

**List of documents to be sent to Company for claiming Shares and Dividend from IEPF:**

1. 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.
2. Copy of acknowledgement generated after uploading the claim Form IEPF-5.
3. Indemnity Bond (original) with claimant signature (As per format given in Annexure II of help form) to be executed as follows in case you are claiming:

|                                 |                                                                                                   |                                |
|---------------------------------|---------------------------------------------------------------------------------------------------|--------------------------------|
| <b>Only Shares</b>              | On a non-judicial Stamp Paper of the value as prescribed under the Stamp Act (according to state) |                                |
| <b>Only Dividend</b>            | <b>If more than Rs. 10,000</b>                                                                    | <b>If less than Rs. 10,001</b> |
|                                 | On a non-judicial Stamp Paper of the value as prescribed under the Stamp Act (according to state) | On a plain paper               |
| <b>Both Shares and Dividend</b> | On a non-judicial Stamp Paper of the value as prescribed under the Stamp Act (according to state) |                                |

**Ensure to enter date, place and Signature of claimant and witness on Indemnity Bond.**

4. Advance Stamped receipt (in original) with signature of claimant and two witnesses. (Format is given at Annexure I of help form). It is a declaration given in advance to IEPF Authority for receipt of shares/dividends.
5. Where shares are transferred to IEPF, however physical share certificates are lying with you, attach original certificate(s).
6. Copy of Aadhaar Card of the claimant and if joint holders are there, Copy of Aadhar card of all the joint holders
7. Original Cancelled Cheque leaf
8. Copy of Passport, OCI and PIO card in case of foreigners and NRI
9. Copy of PAN Card (mandatory in case of claim for shares) of claimant and all joint
10. shareholders.
11. Client Master List of De-mat A/c of the claimant
12. In case any Joint holder is deceased, Copy of Death certificate has to be attached. All death certificates other than online Death certificate, must be notarized.
13. Other optional documents, (if any)

## **Additional help for filing the form:**

Enter Name, Address and contact details of the Applicant.



Enter the Valid CIN of the company and click **Pre-fill** button.

The Pre-fill button can appear more than once in an e Form. 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.



Enter Details of **SHARES ONLY** in 3<sup>rd</sup> point of IEPF-5 form.

- Select Category from Dropdown list option
- Kind of Share i.e. Equity or Preference
- Nominal value of share is number of shares multiplied by FACE VALUE and not market value.



Enter the number of claims made and details of amount claimed.  
Details of **AMOUNT ONLY** (DIVIDEND, INTEREST ETC.) in 4<sup>th</sup> point of IEPF-5 form has to be entered. Year-wise detail of all claims has to be entered in single form.

**Note: List of shareholders whose shares are transferred to IEPF and year wise dividend details is uploaded by company on their website. You may visit company website for this information.**



Enter Aadhaar Number of applicant in case of Indian National. Aadhar number should be correctly filled, **failing which the form is liable to be rejected.**



Enter Bank account details.

**Note: The Bank details should be correctly filled and corresponding with cancelled cheque enclosed, failing which the form is liable to be rejected.**



Enter Demat Account Number



Click on check box given in declaration, after carefully reading all conditions



Click the **Check Form** button after, filling the eForm. System performs form level validation like checking if all mandatory fields are filled. System displays the errors and provides you an opportunity to correct errors and Correct the highlighted errors.

Then, 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".

**Note:** The Check Form functionality does not require Internet connectivity.



The Modify button is enabled, after you have checked the eForm using the **Check Form** button. To make changes in filled form, Click the **Modify** button and Make the changes to the filled eForm. Click the **Check Form** button to check the eForm again.



After checking the e-Form, click the **Prescrutiny** button. System performs some checks and displays errors, if any. Correct the errors. Click the **Prescrutiny** button again. If there are no errors, a message is displayed "No errors found." The **Prescrutiny** functionality requires Internet Connectivity.



**Submit button:** Do not click on this button as it is disabled at present.



After pre scrutiny is done, save the form in your system. The user is required to take print out of the form and also upload the form on IEPF website using steps as given below:



1. Go to IEPF Website [Ministry of Corporate Affairs \(iepf.gov.in\)](http://Ministry of Corporate Affairs (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.

After clicking on Pay Now, you have to click on Finish when zero fee page will be shown. Acknowledgement will be generated. Take print out to attach with other documents.