FOR INVESTORS : How to Claim ?

1 FIRST STEP — Register yourself on IEPF website: www.iepf.gov.in

2 SECOND STEP — Fill the new web form IEPF-5 ONLINE

3 THIRD STEP — Attach scanned copy of requisite documents with form

4 FOURTH STEP — Take print out of auto generated advance receipt and indemnity bond (IEPF website → Forms → Web Forms IEPF-5 → MCA Services)

5 FIFTH STEP — Send all original documents to the company

6 SIXTH STEP — Company to e-verify the claim in 30 days

7 SEVENTH STEP — On the basis of verification report, refund of shares and amount by IEPF Authority

Claimants are advised to file e-form IEPF-5 only once all documents are available

Delay in submission of documents may make the e-form liable for rejection

FAQs on claim procedure from IEPF Authority

Q.1. Whether the claim has to be made online?

A. 1. Yes, the claim needs to be made online through web-form IEPF 5. This is new form which has become effective from 20th September, 2019. Claims filed in physical mode are summarily rejected.

Q. 2. Do I need to register on IEPF website before filling the e-form IEPF – 5.

A. 2. Yes, registration is required on IEPF website under the link `Forms'.

Q.3. Do I need to have PAN mandatorily for filing e-form IEPF 5?

A. 3. Yes, PAN is mandatory. The new e-form IEPF 5 is a PAN verified form and in case of any variation, the system will not allow filling/submission of such e-Form. The form requires OTP based verification for submission, for which claimant should have an active mobile number and a valid email id.

Q. 4. Which form is to be used for resubmission for online applications made before 20th September, 2019?

A. 4. For resubmissions of online applications made before 20th September, 2019, the old form, for which link has been provided under the link `Forms'.

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

A. 5. 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 web-form is not only very precise but also user friendly. 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. 6. Whether Government appointed or empanelled any professional to help in making claims to the claimant.

A. 6. No. IEPF Authority has not appointed or empanelled any professional for claims. Filling of IEPF 5 Form is simple and friendly for claimants to fill.

Q. 7. What are the documents required to be submitted with IEPF -5 to the nodal officer of the company?

A. 7. Documents which are required to be submitted are enumerated in the form and help kit, such as –

1. *Print out of duly filled claim form with claimant signature and if joint holders are involved than the Form should be signed by all the joint holders along with annexures submitted with form*
2. *Copy of acknowledgement generated after uploading the claim Form IEPF 5.*
3. *Indemnity Bond and Advance receipt (original) auto generated after uploading the claim Form IEPF 5 with signature of claimant and witness and after affixing requisite stamp and advance receipt.*
4. *In case of refund of matured deposit or debenture or bond or where shares (in physical form) are claimed, original certificate/ shares thereto.*
5. *Original Cancelled Cheque leaf, Self-attested copy of Client Master List.*
6. *In case any Joint holder is deceased, Copy of Death certificate to be attached.*
7. *Self-attested copy of Aadhaar Card, Copy of Passport, OCI and PIO card in case of foreigners and NRI duly apostilized.*
8. *In cases of transmission, loss of original shares, mismatch in name and address etc., relevant documents as mentioned in Schedule II, III and IV respectively*
9. *Any other document relevant to prove entitlement of the claimant.*

Q. 8. What is the required value of the stamp paper for the indemnity bond?

A. 8. In case of refund of dividend amount of Rs. 10,000 or more and/or market value of shares, non- judicial stamp paper of appropriate value as prescribed under Stamp Act according to state is required. For claim of only amount of Rs. 10,000 or less, indemnity bond can be executed on a plain paper.

Q. 9. What are the required KYC documents?

A. 9. 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. 10. In case of non-availability of Aadhar Card, what other documents can be submitted as proof of identity?

A. 10. 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. 11. Is original Share/Deposit/Bond/Debenture certificate required to be submitted?

A. 11. Yes, original certificate is required to be submitted. In case of loss of original, documents as required under Schedule III need to be submitted.

Q. 12. 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. 12. 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. 13. Why are CML and cancelled Original Cheque leaf required?

A. 13. 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. 14. What are the documentary requirements in case claimant is a legal heir?

A. 14. **(i) In case of legal heir** - the claimant is required to register transmission with the company by providing requisite documents as per Schedule II of the rules. According to these, 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. for share with market value greater than 2 lac, NOC from other legal heirs and relinquishment deed in favour of claimant.

(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 along with claim application. SEBI Guidelines may also be seen before filing claim application.

Company is required to issue entitlement letter under rule 7(9) of IEPF Rules in favour of claimant and send a scanned copy of it with its e- verification report.

Q.15. What is resubmission and time period for resubmission?

A. 15. 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. 16. What are the actions on the part of company to verify the claim?

A. 16. The nodal officer of the company shall be intimated through email notification as soon as the web-form IEPF -5 is filed by the claimant. On receipt of the original documents from claimant, the company shall be required to authenticate the same with the scanned copy attached with the claim form. As per rule 7(3), the company shall also be required to attach scanned copy of such authenticated documents with its e-verification report.

In cases covered under rule 7(8) and 7(9), the company shall also be required to issue entitlement letter under rule 7(9) of IEPF Rules in favour of claimant and send a scanned copy of it with its e-verification report.

Q. 17. How can e-verification be done by companies?

A 17. The nodal officer or the deputy nodal officer of the company can file e-verification report in the e-form available for same on website www.iepf.gov.in through their MCA 21 account. The e-form shall be authenticated through DSC of the concerned nodal or deputy nodal officer.

Q. 18. What are the timelines for e-verification by companies?

A. 18. The company shall be required to e-verify the claim as soon as it receives original documents from the claimant but not later than 30 days from the filing of claim failing which it shall be liable to pay an additional fee of Rs 50 per day up to a maximum of Rs 2500.

Q. 19. What happens if original documents are not received by the company within 30 days?

A. 19. The company can reject such claims due to non-receipt of original documents from the claimant.

Q. 20. Will separate e-verification report need to file for resubmitted e-forms?

A. 20. Yes, fresh e-verification report shall be filed for resubmission cases. In cases, authority requires additional documents from company only, it shall intimate the same for fresh e-verification report without any resubmission on part of the claimant.

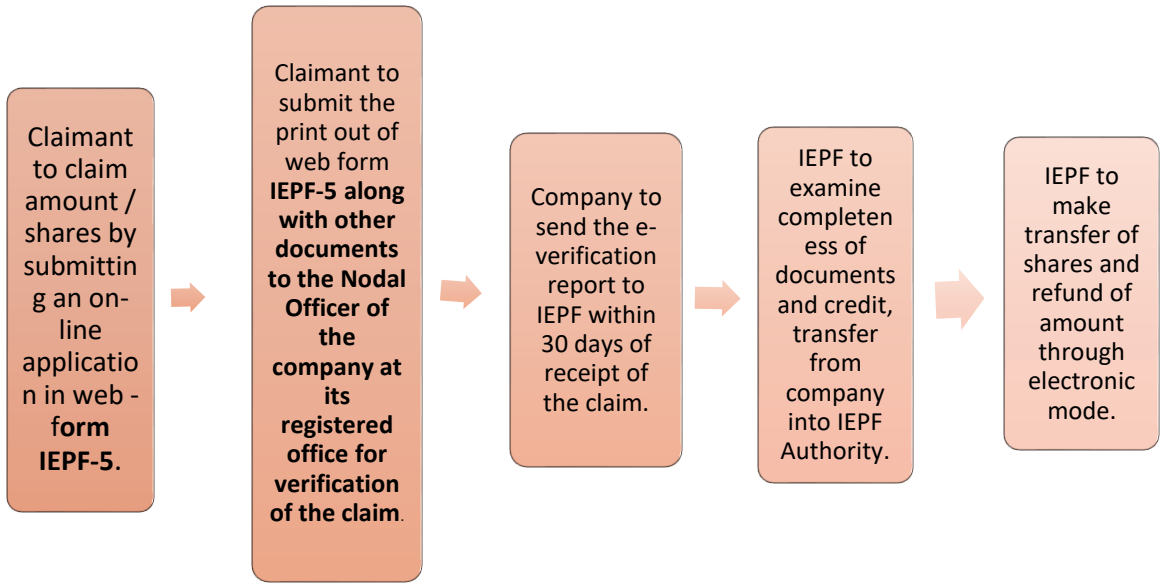
Q. 21. What are the benefits of the new complete online process?

A. 21. The new process shall not require any submission of physical documents to the Authority. It shall be online monitorable process with fixed timelines for all stakeholders.

Q. 22. What are timelines for authority to process the claim?

A. 22. The authority shall process and intimate approval, rejection, resubmission or discrepancies in FIFO order within a period not exceeding 60 days from receipt of verification report.

Process of refund of securities by IEPF



Schedule II

Documents to be submitted to the Authority to register transmission of securities

A. Documentary requirement for securities held in physical mode

1. Where the shares are held singly with nomination:
1.1. Duly signed transmission request form by the nominee.
1.2. Original or copy of death certificate duly attested.
1.3. Self-attested copy of PAN card.
1.4. Original share certificate(s).
1.5. Any other government ID proof of the nominee.

2. Where the shares are held singly without nomination, the following documents in addition to the documents specified at paragraph 1 are required:

2.1 Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities:
Provided that 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 would be sufficient.

2.2 For value of securities up to Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents:

(a) 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)

(b)In the absence of the documents as mentioned at (a) above, (i). No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed duly notarized and (ii). An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.

2.3 For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: 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)

3. Where the shares are held jointly with nomination:
3.1 Duly signed transmission request form by the nominee.
3.2 Original or copy of death certificate(s) of all the joint holders duly attested
3.3 Self-attested copy of PAN card.
3.4 Original share certificate(s).
3.5 Any other government ID proof of the nominee.

4. Where the shares are held jointly without nomination, the following documents in addition to the documents specified at paragraph 3 are required:

4.1 Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities. Provided that 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 would be sufficient.

4.2 For value of securities uptoRs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents:
(a) 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)
(b) In the absence of the documents as mentioned at (a) above,

(i). No objection certificate 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 and
(ii). An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.

4.3 For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: 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)

B. Documentary requirement for securities held in DEMAT mode
1. Where the shares are held singly with nomination:
1.1. Duly signed transmission request form by the nominee.
1.2. Original or copy of death certificate duly attested
1.3. Self-attested copy of PAN card.
1.4. Copy of transaction statement duly certified by Depository Participant.
1.5. Any other government ID proof of the nominee.

2. Where the shares are held singly without nomination, the following documents in addition to the documents specified at paragraph 1 are required:

2.1 Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities.
Provided that 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 would be sufficient.

2.2 For value of securities uptoRs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents:
(a) Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.
(b) In the absence of the documents as mentioned at (a) above,
(i) No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed duly notarized and
(ii) An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.

2.3 For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: 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)

3. Where the shares are held jointly with nomination:
3.1 Duly signed transmission request form by the nominee.
3.2 Original or copy of death certificate(s) of all the joint holders duly attested
3.3 Self-attested copy of PAN card.
3.4 Copy of transaction statement duly certified by Depository Participant.
3.5 Any other government ID proof of the nominee.

4. Where the shares are held jointly without nomination, the following documents in addition to the documents specified at paragraph 3 above are required:
4.1 Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities:
Provided that 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 would be sufficient.

4.2 For value of securities uptoRs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents, namely:-

(a) 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)
(b) In the absence of the documents as mentioned at (a) above,
(i) No objection certificate 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 and
(ii) An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.

4.3 For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: 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)

Schedule III

Documents to be submitted to the Authority in case of loss of securities held in physical mode.

1. Notarised copy of FIR/ Police Compliant containing information of security holder, holding details, folio number and distinctive numbers of share certificate.

2. 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.

3. Indemnity bond by security holder on a non-judicial stamp paper of requisite value duly attested by Notary Public by the person, in whose name the original share certificate are being issued that he has not sold / disposed off the involved shares or acted in any manner by which any interest of third party would have been created.

4. Copy of advertisement issued in at least one English language national daily newspaper having nationwide circulation and in one regional language daily newspaper published in the place of registered office of company, if the market value of the shares is greater than Rs 10,000.

How to file Web based Form IEPF-5?

S. No/ Section Name		Field Name	Instructions
1		Particulars of the applicant	
	(a)	Category of Applicant	Select the radio button: Individual Others
	(b)	First Name	Enter the First Name of the applicant
	©	Middle Name	Enter Middle Name of the applicant
	(d)	Last Name	Enter the Last Name of the applicant
	(e)	First Name	Enter the First Name of the Father
	(f)	Middle Name	Enter Middle Name of the Father
	(g)	Last Name	Enter the Last Name of the Father
	(h)	Date of Birth	
	(i)	Name of entity	In case 'Other' is selected in Category of applicant , then enter the Name of the Entity
	(j)	Date of incorporation	In case 'Other' is selected in Category of applicant , then enter the Date of incorporation of the entity
	(k)	Address of the applicant	Enter the address of the applicant
		Phone number	Enter the valid phone number of the applicant
	(m)	Aadhaar Number or Passport/OCI/PIO Card No. (in case of NRI/foreigners)	Enter the valid Aadhaar Number/Passport/OCI/PIO Card.
	(n)	PAN of applicant	Enter valid PAN number of Applicant. PAN must be verified by clicking 'Verify PAN Detail'. Applicant's Name . Father's Name and DOB should match with the information available in PAN database.
2		Particulars of the Company from which the amount is due	
	(a)	Corporate Identification Number (CIN) of company	This will be auto-Prefilled based on the CIN selected through Lookup service. {Can Fin Homes Ltd. CIN: L85110KA1987PLC008699)
	(b)	Name of the company /bank	This field would be pre-filled on the basis of CIN selected in lookup service. There would be a SEARCH button enabled to search the CIN.
	(c)	Address of the registered office of the company	This will be auto-Prefilled based on the CIN selected through Lookup service
	(d)	email ID of the company	This will be auto-Prefilled based on the CIN selected through Lookup service.
3		Is it a case covered under rule 7 (8) & 7(9) of IEPF Rules, 2016	Select the radio Button 'Yes' if the case is related to transmission. Or else select 'No'.

S. No/ Section Name		Field Name	Instructions
	(a)	Name of original security holder	If Yes is selected in above, then enter the Name of original security holder.
	(b)	Relation of claimant with security holder	If Yes is selected above, then enter the relation of claimant with security holder
	(c)	Number of Nominee/Legal heirs/Successors/ Administrator/ Others holders.	If Yes is selected above, then enter the Number of Nominee/Legal heirs/Successors/ Administrator/ Others holders. Maximum 10 can be entered.
		Name of Beneficiary	Enter the Name of Beneficiary depending on the number entered above.
4		Type of Claim	Select the Radio Button: Amount Amount and Shares
5		Details of shares claimed	This field would be enabled only when 'Amount an shares' is selected in field 4
		Number of Folio	Enter the Number of folios. Maximum 15 can be entered. The number of blocks generated below would be equal to this number entered.
		Type of Holding	Select from Drop down: Physical Demat
		Folio No./ Complete Demat account number from which transfer has been made to IEPF	Enter the of the Folio No./ DP Id - Client ID - Account number Maximum number of characters allowed for Folio No is 20 and for DP Id - Client ID - Account number is 60. 'Folio No' shall be entered if Physical is selected in 'type of Holding'. 'Account No' shall be entered if Demat is selected in 'type of Holding'
		Type of share	Select from drop down: Equity Preference
		Number of shares	Give the number of shares claimed The number should be greater than zero

S. No/ Section Name		Field Name	Instructions
6		Details of amount claimed	
		Number of claims	Enter the number of claims to be filed The limit for this is 15.The number of blocks generated below would be equal to this number entered.
		Type of claim	Select the type of claim from drop down values.
		Type of Holding	Select from Drop down: Physical Demat
		Folio No./ Complete Demat account number from which transfer has been made to IEPF	Enter the of the Folio No./ DP Id - Client ID - Account number Maximum number of characters allowed for Folio No is 20 and for DP Id - Client ID - Account number is 60. 'Folio No' shall be entered if Physical is selected in 'type of Holding'. 'Account No' shall be entered if Demat is selected in 'type of Holding'
		Amount of the claim	Enter the amount of the claim Both Principle and Interest field will be displayed when option 2,3 and 4 are selected in 'Type of claim' else only Principle field will be displayed. Amount should be greater than Zero.
		Financial year to which it relates	Select the Financial year range to which the claim relates The year should be equal to or greater than year of incorporation of company and equal to or less than the system date
		Reason for non-receipt/ non-encashment of the instrument of payment	Select the Reason for non-receipt/ non-encashment of the instrument of payment from below drop down values: -Change in Address -Death of original investor -Loss of original Documents -Others
7		Refund Account Details **Details of Bank account in which refund shall be credited**	
	(a)	Bank account number	Enter the Bank account number in which refund of dividend amount is to be made The maximum number of characters that can be entered are 20
		Bank Name	Give the bank name in which refund of dividend amount is to be made
		IFSC Code	Give the IFSC code of the branch in which refund of dividend amount is to be made. Maximum 11 characters can be entered.
		Bank Branch	Give the description of the bank branch in which refund of dividend amount is to be made

S. No/ Section Name		Field Name	Instructions
		Demat account number in which shares shall be credited	Enter your Demat Account number
Attachments		1. Aadhaar Card of the claimant and if joint holders are there, copy of Aadhaar card of all joint holders - Mandatory 2. Passport, OCI and PIO card in case of foreigners and NRI - Mandatory 3. Client Master List of De-mat A/c of the claimant - Mandatory 4. Proof of entitlement (Bonds/Debentures/Fixed Deposit receipts/Certificate of share/Interest warrant/Dividend warrant, Application No./Statement of transaction etc.) - Mandatory 5. Optional Attachment – Optional In case yes is selected in field 3 the below attachments are mandatory to attach 6. Notarised copy of death certificate. 7. Notarised succession certificate/Probate/Will 8. No Objection Certificate from other holder 9. Indemnity Bond for Transmission, duly notarized 10. Affidavit in form of surety	
OTP Validation		Enter Mobile Number and e-Mail ID and click on Send OTP button. Click on this button to send OTP to your mobile number and email ID. Please note that separate OTPs will be sent to mobile number and email ID. Further, please note that OTP can be successfully sent to the mobile number and email ID against one form and IP Address, for a maximum of 10 times in one day. OTP shall be valid for a span of 30minutes. For further chances, you may try with new form on next day. Enter the OTP for Mobile Number and Email Id received on the mobile number and email id entered in the form. Verify OTP Button: This button will be enabled after OTP for mobile number and email address are entered. Please note that the OTPs must be verified before you Submit the form.	
Submit		Click on the 'Submit' button to proceed for challan generation.	