

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

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

About this Document

The Instruction Kit has been prepared to help you file eForms with ease. This documents 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.

This document is divided into following sections:

 Part I – Laws Governing the eForm

 Part II – Instructions to fill the eForm

 Part III – Important Points for Successful Submission

 Click on any section link to refer to the section.

Part I – Law(s) Governing the eForm

Rule Number(s)

FormIEPF-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 which are reproduced for your reference

Section 125(3):

The Fund shall be utilized for:

(a) The refund in respect of unclaimed dividends, matured deposits, matured debentures, the application money due for refund and interest thereon;

(b) Promotion of investors' education, awareness and protection;

(c) distribution of any disgorged amount among eligible and identifiable applicants for shares or debentures, shareholders, debenture-holders or depositors who have suffered losses due to wrong actions by any person, in accordance with the orders made by the Court which had ordered disgorgement;

(d) reimbursement of legal expenses incurred in pursuing class action suits under sections 37 and 245 by members, debenture-holders or depositors as may be sanctioned by the Tribunal; and

(e) any other purpose incidental thereto, in accordance with such rules as may be prescribed: Provided that the person whose amounts referred to in clauses (a) to (d) of sub-section (2) of section 205C transferred to Investor Education and Protection Fund, after the expiry of the



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period of seven years as per provisions of the Companies Act, 1956, shall be entitled to get refund out of the Fund in respect of such claims in accordance with rules made under this section.

Section 7(1):

Upon submission, Form No. IEPF-5 shall be transmitted online to the Nodal Officer of the company for verification of claim:

Provided that the claimant after making an application in Form No. IEPF-5 under sub rule 1, shall send original physical share certificate, original bond, deposit certificate, debenture certificate, as the case may be, along with Indemnity Bond, Advance Receipts, any other document as enumerated in Form No. IEPF-5, duly signed by him, to the Nodal Officer of the concerned company at its registered office for verification of the claim.";

Purpose of the eForm

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 authorityset up by MCA that shall further process the application. Application can also be made by any legal representative of the deceased person. IEPF authority may seek necessary clarifications from the concerned company/bank.

eForm Number as per Companies Act, 1956

This Form IEPF-5 has been introduced in the Companies Act, 2013.

Part II – Instructions to fill the eForm

Specific Instructions to fill the Form IEPF-5 atField Level

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

S. No/		Field Name	Instructions
Section	Name		
1 Particulars of the		Particulars of the	
		applicant	
(a) Category of Applicant		Category of Applicant	Select the radio button:
			Individual
			Others
	(b)	First Name	Enter the First Name of the applicant



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S. No/		Field Name	Instructions	
Section	Name			
	©	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 applicant	
	(f)	Middle Name	Enter Middle Name of the applicant	
	(g)	Last Name	Enter the Last Name of the applicant	
	(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	Enter the valid Aadhaar Number/Passport/OCI/PIO Card.	
		NRI/foreigners)		
	(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		Corporate Identification Number (CIN) of company	This will be auto-Prefilled based on the CIN selected through Lookup service.	
(b) Name of the company /bank		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		email ID of the company	This will be auto-Prefilled based on the CIN selected through Lookup service.	



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S No/		Field Name	Instructions		
Section	Name				
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'.		
	(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	If Yes is selected above, then enter the Number of		
		Nominee/Legal	Nominee/Legal heirs/Successors/ Administrator/		
		heirs/Successors/	Others holders. Maximum 10 can be entered.		
		Administrator/ Others			
	holders.				
	Name of Beneficiary		Enter the Name of Beneficiary depending on the		
			number entered above.		
4 Type of Claim		Type of Claim	Select the Radio Button:		
			Amount		
			Amount and Shares		
5		Details of shares	This field would be enabled only when 'Amount an		
		claimed	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		
		Falia Na / Camal (Defiliat		
		Demat account number	Enter the of the Folio No./ DP Id - Client ID - Account		
	from which transfer has		Maximum number of characters allowed for Folio No.		
		been made to IEPF	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		



Number of the second se

S. No/ Section	Name	Field Name	Instructions		
beenon			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		
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		Type of Holding	Select from Drop down:		
			Physical		
			Demat		
		Folio No./ Complete	Enter the of the Folio No./ DP Id - Client ID - Account		
	Demat account number		number		
		been made to IEPF	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		
		Amount of the eleim	Enter the amount of the claim		
		Amount of the claim	Enter the amount of the claim Doth Dringing and Interest field will be displayed when		
			both Principle and interest field will be displayed when		
			only Principle field will be displayed		
			Amount should be greater than Zero		
		Financial year to which	Select the Financial year range to which the claim		
		it relates	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/	Select the Reason for non-receipt/ non-encashment of		
		non-encashment of the	the instrument of payment from below drop down		



S. No/		Field Name	Instructions		
Section	Name				
		instrument of payment	values:		
			-Change in Address		
			-Death of original investor		
			-Loss of original Documents		
			-Others		
7		Refund Account Details			
		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		
		Demat account number in	Enter your Demat Account number		
		credited			
Attachr	nents	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 D	e-mat A/c of the claimant - Mandatory		
4. Proof of entitlement (Bonds/Debentures/Fixed Deposit receipts/Certifishare/Interest warrant/Dividend warrant, Application No./Statement of tranetc.) - Mandatory			Bonds/Debentures/Fixed Deposit receipts/Certificate of vidend warrant, Application No./Statement of transaction		
5. Optional Attachment –			Optional		
		In case yes is selected in f	ield 3 the below attachments are mandatory to attach		
		6. Notarised copy of death	ertificate.		
		7. Notarised succession ce	ertificate/Probate/Will		



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Protection	Fund (IEPF))	
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S. No/	Field Name	Instructions		
Section Name				
	8. No Objection Certificat	e from other holder		
	9. Indemnity Bond for Transmission, duly notarized			
	10. Affidavit in form of surety			
ОТР	Enter Mobile Number and	e-Mail ID and click on Send OTP button.		
Validation	 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' butt	on to proceed for challan generation.		

Part III - Important Points for Successful Submission

Fee Rules

IEPF-5:

S. No	Purpose of the form	Normal Fee	Additional Fee (Delay Fee)	Logic f Fees	for Additional	Rem arks
				Event Date	Time limit(days) for filing	
1.	Application to the authority for claiming unpaid amounts and	<u>N/A</u>	N/A	N/A		



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shares out of Investor			
Education and			
Protection Fund			
(IEPF)			

eVerification Report:

Following table of fees shall be applicable for delays in filing of eVerification Report:

Sl. No.	Event Date	Period of delay	Additional fee payable (in Rs.)
01	Date of Filing of IEPF-5	30 days	Rs. 50 per day. Maximum uptoRs 2500/-

Fees payable is subject to changes in pursuance of the Act or any rule or regulation made or notification issued thereunder.

Track IEPF-5 SRN

The system generated Indemnity bond, Advance Receipt, Acknowledgement of IEPF-5 and pdf version of the IEPF-5 web form submitted can be downloaded from 'Track IEPF-5 SRN' Service available on MCA website.

Processing Type

The eForm will be processed by the IEPF Cell (Non STP). On processing of the eForm the details will be saved with MCA.

Email

Once the eForm is uploaded (in case of normal filing or re-Submission), an email notification shall go to Nodal officer of the company to upload eVerification Report for the claimant.

When an eForm is approved/rejected by the authority concerned, an acknowledgement of the same is sent to the user in the form of an email.

Annexure A N/A



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