

Procedure for claiming shares, unclaimed dividend, etc. from IEPF Authority

(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 or apply for refund to the Authority by submitting an online application in Form No. IEPF-5 available on MCA V3 Portal along with fee specified by the Authority.

(Please note that the V3 IEPF forms are available for filing. To access them, register and log in to the MCA V3 website and go to MCA Services → Company e-Filing → IEPF Services→ IEPF-5 Web Form-Claiming unpaid amounts & shares)

(2) Upon Submission, Form No. IEPF-5 shall be transmitted online to the Nodal Officer of the company for verification of claim and Acknowledgement and indemnity bond are generated.

The claimant after making an application in Form No. IEPF-5 shall send original physical share certificate, original bond, deposit certificate, debenture certificate, as the case may be, along with Indemnity Bond, any other document as mentioned in Form No. IEPF-5 duly signed by him.

The claimant shall submit in original all these documents duly signed by him, to the Registrar and Transfer Agent of the Company for verification of the claim.

Provided that the Authority shall dispose such request of transfer or transmission based on the e-verification report of the company subject to verification of such request.

Documents required to be submitted to MUFG Intime India Private Limited (Registrar and Transfer Agent of the Company), for verification of the claim

(i) Self-attested copy of Form IEPF-5 filed with the IEPF Authority. If joint holders are involved, the form should be signed by all joint holders.

(ii) Self-attested Copy of the acknowledgment generated after uploading Form IEPF-5 with the IEPF Authority.

(iii) Original Indemnity Bond (auto-generated after uploading Form IEPF-5 with the IEPF Authority), duly notarised along with the signatures of all claimants and witnesses. A non-judicial stamp paper of the appropriate value as prescribed under the Stamp Act for the state is required.

Note: In the case of NRIs, the Original Indemnity Bond, with the signatures of all claimants and witnesses, must be duly apostilled as per The Hague Convention.

(v) KYC documents:

- For Indian Citizens - Self-attested copy of PAN Card and Aadhaar Card.
- For NRIs - Self-attested copy of: Passport or Overseas Citizen of India (OCI) Card issued by the Ministry of Home Affairs (MHA) or Person of Indian Origin (PIO) Card, duly apostilled as per The Hague Convention.

(vi) Original Share Certificates, if shares held in physical form are being claimed.

(vii) Transaction Statement of your demat account showing the debit/transfer of shares to IEPF, duly self-attested by all claimants.

(viii) Original cancelled cheque leaf.

(ix) Copy of Client Master List (CML) of Demat Account of the Claimant(s), attested by all the Claimants.

Additional Documents in case of Name Mismatch

(x) If the claimant's name according to the Company's records does not match any of the documents such as PAN Card, Aadhar Card, Passport, cancelled cheque leaf, CML, etc., the following documents will be required:

- An affidavit (duly notarized) explaining the deviation, on non-judicial stamp paper of appropriate value as prescribed under the Stamp Act for the state; and
- Marriage certificate, Gazette notification, etc., if applicable.

Additional Documents in case of Address Mismatch

(xi) If the claimant's address according to the Company's records does not match any of the documents such as Aadhar Card, Passport, Copy of Bank Passbook, CML, etc., the following documents will be required:

- An affidavit (duly notarized) explaining the deviation, on non-judicial stamp paper of appropriate value as prescribed under the Stamp Act for the state; and
- Proof of both the old and new addresses, duly self-attested by the claimants.

Documents to be submitted to the IEPF 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 claimant.

1.2. Copy of death certificate of security holder attested by claimant.

1.3. Self-attested copy of PAN card.

1.4. The original share certificate is to be sent to the company and scanned copy to be attached with the form.

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. 5,00,000 (Rupees Five 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 will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. (39 of 1925) or any other Decree or Order of any Court or Tribunal.

(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. 5,00,000 (Rupees Five lakh only)] per issuer company as on date of application: Succession certificate or probate of will or will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. (39 of 1925) or any other Decree or Order of any Court or Tribunal.

Note- for the case where will is provided, following documents shall also be required:

(a) Legal heirship certificate issued by Competent Authority;

(b) No Objection Certificate from all legal heirs in favor of the claimant;

(c) Affidavit from witness about confirmation of will wherever alive or death certificate of such witness;

(d) Affidavit with regard to the will as last will and no matter is pending before any court with regard to such will;

(e) Surety affidavit by at least two sureties with their PAN Card.

3. Where the shares are held jointly with nomination:

3.1 Duly signed transmission request form by the claimant.

3.2 Copy of death certificate of security holder attested by claimant

3.3 Self-attested copy of PAN card.

3.4 The Original share certificate is to be sent to the company and scanned copy to be attached with the form.

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 Succession certificate or probate of will or will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. (39 of 1925) or any other Decree or Order of any Court or Tribunal.

4.3 For value of securities more than 5,00,000 (Rupees Five lakh only) per issuer company as on date of application: Succession certificate or probate of will or will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. (39 of 1925) or any other Decree or Order of any Court or Tribunal.

Note- for the case where will is provided, following documents shall also be required:

- (a) Legal heirship certificate issued by Competent Authority;
- (b) No Objection Certificate from all legal heirs in favor of the claimant;
- (c) Affidavit from witness about confirmation of will wherever alive or death certificate of such witness;
- (d) Affidavit with regard to the will as last will and no matter is pending before any court with regard to such will;
- (e) Surety affidavit by at least two sureties with their PAN Card.]

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 claimant.
- 1.2. Copy of death certificate of security holder attested by claimant.
- 1.3. Self-attested copy of PAN card.
- 1.4. Copy of transaction statement duly attested by claimant.
- 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 upto Rs. 5,00,000 (Rupees Five 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 will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. (39 of 1925) or any other Decree or Order of any Court or Tribunal.

(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 5,00,000 (Rupees Five lakh only) per issuer company as on date of application: Succession certificate or probate of will or will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. (39 of 1925) or any other Decree or Order of any Court or Tribunal.

Note- for the case where will is provided, following documents shall also be required:

(a) Legal heirship certificate issued by Competent Authority;

(b) No Objection Certificate from all legal heirs in favor of the claimant;

(c) Affidavit from witness about confirmation of will wherever alive or death certificate of such witness;

(d) Affidavit with regard to the will as last will and no matter is pending before any court with regard to such will;

(e) Surety affidavit by at least two sureties with their PAN Card.

3. Where the shares are held jointly with nomination:

3.1 Duly signed transmission request form by the claimant.

3.2 Copy of death certificate of security holder attested by claimant.

3.3 Self-attested copy of PAN card.

3.4 Copy of transaction statement duly attested by Claimant.

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 upto Rs. 5,00,000 (Rupees Five 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 will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. (39 of 1925) or any other Decree or Order of any Court or Tribunal.

(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 5,00,000 (Rupees Five lakh only) per issuer company as on date of application: Succession certificate or probate of will or will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. (39 of 1925) or any other Decree or Order of any Court or Tribunal.

Note: for the case where will is provided, following documents shall also be required:

(a) Legal heirship certificate issued by Competent Authority;

(b) No Objection Certificate from all legal heirs in favor of the claimant;

(c) Affidavit from witness about confirmation of will wherever alive or death certificate of such witness;

(d) Affidavit with regard to the will as last will and no matter is pending before any court with regard to such will;

(e) Surety affidavit by at least two sureties with their PAN Card.

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

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

2. Surety Affidavit 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 5,00,000.

FAQs on IEPF Claim Process

1. When are the shares or unpaid/unclaimed dividend transferred to IEPF?

If the dividend declared by the company remains unpaid/unclaimed for a period of seven years, the company is required to transfer the same to IEPF.

Further, all shares in respect of which dividend has not been paid/claimed for seven consecutive years or more is required to be transfer by the company in the name of IEPF.

2. Who can claim the shares / unclaimed dividend transferred to IEPF Authority?

Any person whose shares / unclaimed dividend or other amount such as matured deposits, matured debentures, application money due for refund, or interest thereon, sale proceeds of fractional shares, redemption proceeds of preference shares etc. have been transferred by the company to IEPF may claim the shares and/or apply for refund of amounts transferred, from the IEPF Authority, by submitting an online application in Web-Form IEPF-5 available on IEPF website. Application can also be made by any successor, legal heir / representative of the deceased person.

3. Whether PAN is mandatory for filing Web-Form IEPF 5?

Yes, PAN is mandatory. The Web-Form IEPF-5 requires PAN verification without which submission of the same is not possible.

4. Whether mobile number and email is mandatory for filing Web-Form IEPF-5?

The form requires OTP based verification for submission, for which claimant should have an active mobile number and a valid email-id.

5. Where are the documents required to be submitted for IEPF claim?

Claimant after making an application in Web-Form IEPF-5 has to send all the relevant documents, to MUFG Intime India Private Limited (Registrar and Transfer Agent of the Company), for verification of the claim.

6. Contact details:

MUFG Intime India Private Limited

(Unit: Transformers and Rectifiers (India) Limited)

Address: C 101, 247 Park, L B S Marg,

Vikhroli West, Mumbai – 400 083

Phone: 022 – 49186000 / 270

Fax: 022 – 49186060

Email: rnt.helpdesk@linkintime.co.in

Investor Education and Protection Fund

E-mail: iepf@mca.gov.in

Call: 1800 114 667

Nodal Officer

Name: Mr. Rakesh Kiri

E-mail: cs@transformerindia.com

7. Important links:

IEPF Website: <http://www.iepf.gov.in/>

Web-Form IEPF-5: <https://www.mca.gov.in/content/mca/global/en/mca/e-filing/IEPF-Services/IEPF-5.html>

Instruction kit for Web-Form IEPF-5: https://www.mca.gov.in/content/dam/mca-aem-forms/instructionkits/Instruction_Kit_Form_No_IEPF_5.pdf