

## **PROCEDURE FOR CLAIMING SHARES / DIVIDEND FROM IEPF**

**Context:** As per IEPF Rules, any person whose unclaimed or unpaid dividend amount and shares have been transferred by the Company to IEPF, may claim their unclaimed or unpaid amount and/or shares directly from the IEPF Authority by submitting an online application in **Form IEPF-5**. The said Form IEPF-5 is available on website <http://www.iepf.gov.in/IEPF/refund.html>

### **Step by step approach:**

**STEP 1:** E-mail the Company's RTA ("MUFG Intime India Private Limited" formerly known as "Link Intime India Private Limited") at [investor.helpdesk@in.mpms.mufg.com](mailto:investor.helpdesk@in.mpms.mufg.com) with the following documents:

1. Request letter duly signed by the shareholder(s) mentioning the query
2. Self-attested copy of PAN Card (for all registered holders).
3. Self-attested copy of Aadhaar Card for all registered holder (front & back), you are advised to mask the first eight digits of Aadhaar number leaving only the last four digits visible.
4. If Shares are held in physical mode :
  - Copy of Original Share Certificate
  - ISR Forms (refer link for said forms - <https://www.dishd2h.com/shareholder-services>)
5. If Shares are held in demat mode
  - Self-attested copy of Client Master List
  - Transaction document showing shares are transferred to IEPF) duly seal and signed by Depository Participant

Also send the above documents to the RTA of the Company at C -101, Embassy 247, L.B.S Marg, Vikhroli West, Mumbai - 400083 in an envelope marked as "Claim for refund from IEPF Authority".

**STEP 2:** Receive the entitlement letter

### **STEP 3:**

- a) Create user ID at [www.mca.gov.in](http://www.mca.gov.in) & log in
- b) Click <https://www.mca.gov.in/content/mca/global/en/mca/iepf-related-services/IEPF-5.html>
- c) Fill in the required details and submit the form
- d) An acknowledgement receipt (challan) indicating the SRN will be generated

**STEP 4:** The following documents needs to be enclosed along with a covering letter in original and sent by speed post/courier to the RTA of the Company at the above-mentioned address:

- a) Copy of Form IEPF 5 along with all the attachments (every page need to be signed)
- b) Signed copy of Acknowledgement Receipt (Challan)
- c) Indemnity Bond (auto-generated after uploading form IEPF-5 with IEPF Authority), attached with a non-judicial stamp paper of Rs. 500, duly witnessed by two persons and duly notarised along with the signed KYCs (PAN Card and Aadhar Card) of the witnesses.
- d) Original share certificate, in case of refund of shares and said shares are held in physical form.
- e) Signed copy of PAN card of all holders
- f) Signed copy of Aadhaar card (along with address) of all holders
- g) Signed copy of Client Master List
- h) Signed copy of Passport, OCI, PIO card in case of foreigners and NRI
- i) Original signed cancelled cheque
- j) Any other optional documents

**STEP 5:** Upload the postal receipt on the MCA portal within 10 days.

Note: Unless and until the postal receipt is uploaded, the SRN will not be visible to the Company for upload Electronic Verification Report (EVR).

**STEP 6:** The Company shall within a period of 30 days from the date of receipt of claim, file the EVR with the IEPF approving or rejecting the refund claim.

**STEP 7:** IEPF will transfer the shares / dividend to the respective shareholders account.

### **Additional Requirement of documents in various cases:**

#### **1. In case of Name or Address mismatch**

In case the claimant's name or address as per Company's record is not matching with any of the documents such as PAN Card, Aadhar Card, Passport, cancelled cheque, CML, etc., the following documents will be required:

- a) An affidavit (duly notarised) explaining the above deviation, on non-judicial stamp paper of appropriate value as prescribed under Stamp Act according to state (ranging from Rs. 10/- to 100/-); and
- b) If there is wide variation, such as an addition/deletion of surname is involved, or surname change due to marriage, self-attested copy of Marriage certificate, Gazette notification shall be provided.

In the same way, if there is an address change, Proof of Old as well as New address, duly self-attested by the claimants.

## 2. In case Original share certificate lost / misplaced / not available

For value upto 5 lakhs, indemnity bond on non-judicial stamp paper of appropriate value as prescribed under Stamp Act according to state (ranging from Rs. 100/-) duly notarised.

For value above 5 lakhs,

- Self-attested copy of FIR registered with police deptt. (notarised or apostilled self-declaration of securities lost or stolen along with signed copies of passport and overseas address proof in case of foreign national or NRI)
- Indemnity bond on non-judicial stamp paper of appropriate value as prescribed under Stamp Act according to state (ranging from Rs. 100/-) duly notarised
- Copy of advertisement made by the Company in widely circulated newspaper

## 3. In case of Transmission of shares

In case the Claimant is the legal heir / representative of the Deceased Person, Transmission Form along with following documents:

- **Where nomination is registered:**

- i) Duly signed transmission request form by claimant (*In Form ISR-5, Annexure-C*).
- ii) Copy of death certificate(s) duly attested by the claimant
- iii) Self-attested copy of PAN card
- iv) Original share certificate(s) (Physical Mode)/ Copy of transaction statement duly certified by Depository Participant (DEMAT Mode).
- v) Form ISR-2 duly filled and attested by the bank manager, where legal heir/s have an account identifying the legal heir(s) and their signature along with original cancelled cheque leaf.

*Note: All the details on the Form ISR-2 needs to be completely filled (i.e the date of opening the account, details of the person attesting the signature etc. Further note that the attestation should contain the employee code of the person attesting the signature and the bank seal. Further note the legal heirs who are renouncing their rights need not submit for form ISR 2.*

- **Where nomination is not registered: (Docs in addition to above)**

- i. Form ISR-1 duly filled in all respects by all the applicants.
- ii. SH 13 nomination for duly signed by all the applicants.
- iii. Affidavit from all the legal heirs made on appropriate non-judicial stamp paper of appropriate value as prescribed under Stamp Act according to state (ranging from Rs. 50/-) - to the effect of identification and claim of legal ownership to the securities. (*Annexure - D*)
- iv. Applicants & Witnesses self-attested copy of PAN Card as a proof of identity and Aadhar card/Valid Passport/Utility bills like Telephone Bill/Electricity bill/Gas Bill not more than 3 months old. (Any one document as a proof of address) along with original cancelled cheque leaf.

Note: 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.

For value of securities up to Rs. 5,00,000 (Rs. 15,00,000, in case of shares held in Demat mode) per issuer company as on date of application, one or more of the following documents:

- i. Succession certificate or probate of will or will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925 or legal heir certificate issued by Revenue Authority not below the rank of Tahsildar having jurisdiction.
- ii. In the absence of the documents as mentioned at (a) above,
  - a) No objection certificate executed & signed by all legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed duly notarized (*Annexure -F*)and
  - b) An Indemnity bond on non-judicial stamp paper of appropriate value as prescribed under Stamp Act according to state (ranging from Rs. 100/- to 500/-)(*Annexure-E*)

For value of securities more than Rs. 5,00,000 (Rs. 15,00,000, in case of shares held in Demat mode) per issuer company as on date of application: Succession certificate or probate of will or will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925 or legal heir certificate issued by Revenue Authority not below the rank of Tahsildar having jurisdiction along with affidavit (*Annexure D*) and there is no need of executing the Indemnity Bond. Further note each legal heir shall sign separate Affidavits.

*Note: a) If you are submitting Will or Legal Heir ship Certificate, irrespective of the value of the securities held, then the same shall be accompanied with A notarized indemnity bond and affidavit from the legal heir(s)/claimant(s) to whom the securities are transmitted, in the prescribed format and No Objection from all non-claimants (remaining legal heirs), stating that they have relinquished their rights to the claim for transmission of securities, duly attested by a notary public or by a gazetted officer, in the prescribed format.*

*b) Name and full address of the attesting authority for Indemnity bond and Affidavit must be mentioned. The attesting authority should affix their seal, notarial /court fee stamps and mention registration number, as applicable. The Notary Public should mention the Book No. and Serial No. against the notarization on Affidavit and Indemnity.*

## 4. In case Joint holder is deceased

Notarised Copy of Death certificate of the joint-holder.

## **IEPF-SPECIAL ASSISTANCE TO SENIOR CITIZEN CLAIMANT**

Investor Education and Protection Fund Authority (IEPFA) as a part of Azadi Ka Amrit Mahotsav (AKAM) has launched a special window facility for senior citizens of age 75 years and above for auto-prioritization of claims in MCA-21 system. For facilitation of these claimants, IEPFA has established a dedicated telephone number 011-23441727 and email id [seniorcitizen.iepfa@mca.gov.in](mailto:seniorcitizen.iepfa@mca.gov.in). The Company supports the aforesaid initiative and to facilitate all such claimants in filing IEPF-5 as well as their e-verification report on priority in MCA21. All such senior citizen claimants may write to the Company on the details and address mentioned above for the required assistance.

**Request for Transmission of Securities by Nominee or Legal Heir**

(For Transmission of securities on death of the Sole holder)

**Annexure C –  
ISR 5**

To:

**The Listed Issuer/RTA,**  
(Address)**(Name of the Listed Issuer/RTA)****Name of the  
Claimant(s)**

Mr./Ms.

Name of the Guardian  *in case the claimant is a minor* → Date of Birth of the minor\*

Mr./Ms.

Relationship with Minor:  Father  Mother  Court Appointed Guardian\***[Multiple PAN may be entered]** PAN (Claimant(s)/Guardian):  |  KYC  
Acknowledgment attached  KYC form attachedTax Status:  Resident Individual  Resident Minor (through Guardian)  NRI  PIO  Others  
(please specify)*\*Please attach relevant proof*

I/We, the claimant(s) named hereinabove, hereby inform you about the demise of the below mentioned Securities Holder(s) and request you to transmit the securities held by the deceased holder(s) in my/our favour in my/our capacity as –

 Nominee  Legal Heir  Successor to the Estate of the deceased  Administrator of the Estate of the deceased**Name of the deceased holder(s)****Date of  
demise\*\***

1)

DD / MM / YYYY

2)

DD / MM / YYYY

3)

DD / MM / YYYY

*\*\*Please attach certified copy of Death Certificate.***Securities(s) & Folio(s) in respect of which Transmission of securities is being requested**

Name of the Company	Folio No.	No. of Securities	% of Claim <sup>@</sup>
1)			

2)			
3)			
4)			

*@As per Nomination OR as per the Will/Probate/Succession Certificate/Letter of Administration/ Legal Heirship Certificate (or its equivalent certificate)/ Court Decree, if applicable.*

**Contact details of the Claimant (s) [Provision for multiple entries may be made]**

**Mobile No.**+91 | | | | | | | | | | **Tel. No.** STD -

**Email Address**

**Address** (Please note that address will be updated as per address on KYC form / KYC Registration Agency records)

Address Line 1	
Address Line 2	
City:	State
PIN	

**Bank Account Details of the Claimant**

Bank Name	
Account No.	11-digit IFSC
A/c. Type (✓) <input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE <input type="checkbox"/> FCNR	9-digit MICR No.
Name of bank branch	
City	
PIN	

*Please attach & tick✓ Cancelled cheque with claimant's name printed OR  Claimant's Bank Statement/Passbook (duly attested by the Bank Manager)*

**I also request you to pay the UNCLAIMED amounts, if any, in respect of the deceased securities holder(s) by direct credit to the bank account mentioned above.**

**Additional KYC information** (Please tick✓ whichever is applicable)

<p><b>Occupation</b> <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service</p> <p><input type="checkbox"/> Business <input type="checkbox"/> Professional</p> <p><input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Home Maker <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others</p> <p>(Please specify)</p>
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The Claimant is  a Politically Exposed Person  Related to a Politically Exposed Person  Neither (Not applicable)

**Gross Annual Income** (₹)  Below 1 Lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  25 Lacs-1crore  >1 crore

### FATCA and CRS information

Country of Birth \_\_\_\_\_ Place of Birth \_\_\_\_\_  
Nationality \_\_\_\_\_

Are you a tax resident of any country other than India?  Yes  No

If Yes, please mention all the countries in which you are resident for tax purposes and the associated Taxpayer Identification Number and its identification type in the column below

Country	Tax-Payer Identification Number	Identification Type

### Nomination<sup>@</sup> (Please ✓ one of the options below)

I/We **DO NOT** wish to make a nomination. *(Please tick ✓ if you do not wish to nominate anyone)*

I/We wish to make a nomination and hereby nominate the person/s more particularly described in the **attached Nomination Form** to receive the securities held in my/our folio in the event of my / our death.

*@ Guardian of a minor is not allowed to make a nomination on behalf of the minor*

### Declaration and Signature of the Claimant(s)

I/We have attached herewith all the relevant / required documents as indicated in the attached *Ready Reckoner as per Annexure A*.

I/We confirm that the information provided above is true and correct to the best of my knowledge and belief.

I/We \_\_\_\_\_ undertake \_\_\_\_\_ to \_\_\_\_\_ keep \_\_\_\_\_ (Name of the Company) / its RTA informed about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required by the RTAs.

I/We \_\_\_\_\_ hereby \_\_\_\_\_ authorize \_\_\_\_\_ (Name of the Company) and its RTA to provide/ share any of the information provided by me/us including my holdings in the (Name of the Company) to any governmental or statutory or

judicial authorities/agencies as required by law without any obligation of informing me/us of the same.

Place _____	Signature of Claimant(s)
Date _____	

**Documents Attached**

- Copy of Death Certificate of the deceased holder
- Copy of Birth Certificate (in case the Claimant is a minor)
- Copy of PAN Card of Claimant / Guardian
- KYC Acknowledgment OR
- KYC form of Claimant
- Cancelled cheque with claimant's name printed OR  Claimant's Bank Statement/Passbook
- Nomination Form duly completed
- Annexure D - Individual Affidavits given EACH Legal Heir
- Original security certificate(s)
- Annexure E - Bond of Indemnity furnished by Legal Heirs
- Annexure F - NOC from other Legal Heirs

**\*Note:** For transmission service requests, Form ISR-4 as per SEBI circular SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated January 25, 2022 will not be required.

**Individual Affidavits to be given by ALL the Legal Heirs OR Legal Heirs named in Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of Administration\*/ Legal Heirship Certificate\*(or its equivalent certificate)\*/Court Decree\***

**(For Transmission of securities on death of Sole Holder where NO NOMINATION has been registered)**

*Each Deponent (legal heir) shall sign separate Affidavits.*

(To be executed on a non-judicial stamp of appropriate value and Notarized)

I, \_\_\_\_\_ Son /  
daughter of \_\_\_\_\_  
residing \_\_\_\_\_ at \_\_\_\_\_

\_\_\_\_\_ do hereby solemnly affirm and state on oath as follows.

That Mr. /Mrs \_\_\_\_\_ @ ("the deceased holder") held the following securities in his / her name as single holder:

Company Name	Folio No.	No. of securities held
1)		
2)		
3)		

That the aforesaid deceased holder died *intestate* leaving behind him/her, the following persons as the only surviving heirs as per the Succession Certificate/ Legal Heirship Certificate(or its equivalent certificate)/Court Decree dated \_\_\_\_\_ / according to the Law of Intestate Succession by which he/she was governed at the time of his/her death and without registering any nominee. \*

OR

That the aforesaid deceased holder died leaving behind the following persons as the legatees as per the Will/ Probated Will/ Letter of Administration dated \_\_\_\_\_ and without registering any nominee. \*

A copy of the **Succession Certificate\*/ Probate of Will\*/ Will\*/ Letter of Administration\*/ Legal Heirship Certificate\*(or its equivalent certificate)\*/ Court Decree\*** is attached herewith.



Name of the Legal Heir(s)	Address and contact details	Age	Relation with the Deceased
1)			
2)			
3)			

That among the aforesaid legal heirs, Master/ Kum. \_\_\_\_\_ aged \_\_\_\_\_ years is a minor and is being represented by Mr./Ms. \_\_\_\_\_ \$ being his / her father / mother / legal guardian.

Signature of the Deponent:

X \_\_\_\_\_

**VERIFICATION**

I hereby solemnly affirm and state that what is stated herein above is true and correct and nothing has been concealed therein and that we I am competent to contract and entitled to rights and benefits of the abovementioned securities of the deceased.

**Solemnly affirmed at**

**Signature of the Deponent:**

X \_\_\_\_\_

**Signed before me**

Place: \_\_\_\_\_

Date : \_\_\_\_\_

X -----

Signature of Notary with Official Seal of Notary & Regn. No.

*\* ~~strikeout whichever is not applicable~~*

*# = Name of the legal heir @ = Name of the deceased security holder*

*\$ = Name of the Guardian*

Note: ***To be executed in the presence of a Public Notary / Gazetted Officer***

**Bond of Indemnity to be furnished jointly by all Legal Heir(s) including the Claimant(s)**  
**(To be submitted on Non-judicial Stamp Paper of appropriate value)**

**[For Transmission of Securities on death of Sole Securities' Holder, where  
no nomination has been registered]**

I/We do hereby solemnly affirm and state on oath as follows:

That Mr. /Ms. \_\_\_\_\_ *Name of the deceased holder* was  
holding the following securities:

Name of the Company	Certificate No.	Distinctive No.	Folio No.	No. of securities held
1				
2				
3				
4				

That the aforesaid deceased holder died *intestate* on \_\_\_\_\_, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of intestate succession applicable to him/her by which he/she was governed at the time of his/her death.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			
2			
3			
4			

OR

That the aforesaid deceased holder died on \_\_\_\_\_, without registering any nominee, leaving behind him/her the following persons as the only surviving legal heirs, according to the laws of testamentary succession.

Name of the Legal Heir(s)/Claimant(s)	Address and contact details	Age	Relationship with the Deceased
1			

2			
3			

Therefore, I/We, the Legal Heir(s)/Claimant(s) and deponent(s) herein has/have, approached \_\_\_\_\_ (Name of the Company/RTA) with a request to transmit the aforesaid securities in the name of the undersigned Mr. /Ms. [Name(s) of the legal heir(s)/claimant(s)] #, on my/our behalf, without insisting on production of a Succession Certificate/ Probate of Will / Letter of Administration or any Court order, for which we execute an indemnity as is herein contained and on relying on the information herein given by us, believing the same to be true.

In consideration therefore of my/our request to transfer/transmit the above said securities to the name of the undersigned Mr. /Ms. [Name(s) of the legal heir(s)/claimant(s)] #,

I/We hereby jointly and severally agree and undertake to indemnify and keep indemnified, saved, defended, harmless, [Name of the Company/ Issuer and any RTA] and its successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which they may suffer and/or incur by reason of transferring the said securities as herein above mentioned, at my/our request to the undersigned Mr./Ms. [Name(s) of the legal heir(s)/claimant(s)] #, without insisting on production of a Succession Certificate / Probate of Will / Letter of Administration or any Court order.

IN WITNESS WHEREOF the said 1) Mr. /Ms. \_\_\_\_\_ (Name and signature of the witness) \_\_\_\_\_

And 2) Mr. /Ms. \_\_\_\_\_ Name and signature of the witness \_\_\_\_\_ #, have hereunto set their respective hands and seals this day of \_\_\_\_\_ Signed and delivered by the said legal heir/s.

Name the Legal Heirs	Signature of the Legal Heirs
1	X
2	X
3	X

(\* ) = Name of the deceased security holder

(#) = Name of the claimant/s

**Signed before me**

at: \_\_\_\_\_

on: \_\_\_\_\_

Signature of Notary

Official stamp & seal of the Notary & Regn. No.:



## Annexure F

Note: ***To be executed in the presence of a Public Notary / Gazetted Officer***

[To be submitted in non-judicial stamp paper of appropriate value]

**No-Objection Certificate from the Legal Heir(s)**

**Format of NOC from other Legal Heir(s) for Transmission of Securities in favour of the Claimant(s) wherein the Sole Holder is deceased and NO NOMINATION has been registered**

**DECLARATION**

I/We, the legal heir(s) of late Mr. / Ms \_\_\_\_\_ (name of the deceased holder) declare as follows –

- (i) That the above named deceased holder was holding the following securities in his / her name as single holder:

Name of the Company	Folio No.	No. of securities held
1)		
2)		
3)		

- (ii) That the deceased had died intestate on DD / MM / YYYY .and without registering any nominee.

- (iii) That the following Claimant(s) has/have applied for the transmission of the aforesaid securities:

Name of the Claimant(s)	Address and contact details	Age	Relationship with the deceased
1)			
2)			
3)			

(iv) That I / We are the legal heir(s) of the deceased holder, apart from the Claimant(s) who has/ have applied for transmission of the aforesaid securities and our details are as follows:

<b>Name of the Legal Heir(s)</b>	<b>Address and contact details</b>	<b>Age</b>	<b>Relationship with the deceased</b>
1)			
2)			
3)			

(v) I / we hereby declare that, I / we do not desire to make any claim in respect of the title to the aforesaid securities held by the deceased and I / we hereby wilfully relinquish & renounce all my /our rights in respect of the aforesaid securities and shall have no legal claim upon said securities in future.

(vi) Accordingly, I / we declare that I / we have NO OBJECTION WHATSOEVER in \_\_\_\_\_ (Name of the Company) transmitting the aforesaid securities in favour of the Claimant(s) Mr. / Ms. \_\_\_\_\_.

(vii) I / we hereby state that whatever is stated herein above are true to the best of my/our knowledge and nothing has been concealed therein.

Name(s) and Signature(s) of Legal Heir(s) who are Non – Claimant(s):

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_

**VERIFICATION**

We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has been concealed therein and that we are competent to contract and entitled to rights and benefits of the above mentioned securities.

Solemnly affirmed at \_\_\_\_\_

Deponent(s) (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_