

PROCEDURES FOR CLAIMING DIVIDEND AND/ OR SHARES FROM INVESTOR EDUCATION AND PROTECTION FUND (IEPF) AUTHORITY

1. File an application in Form IEPF-5 (download Form from: www.iepf.gov.in/IEPF/corporates.html). Read the instructions provided in the instruction kit along with the e-form and FAQs issued by IEPF Authority, carefully before filling the form.
2. All data filled in Form IEPF-5 should be correct and should match with supporting documents.
3. On successful submission of Form IEPF-5 on Portal, an acknowledgement will be generated indicating the SRN. Please note the SRN for future tracking of the status of form.
4. Take a printout of the duly filled Form IEPF-5, Form IEPF-5 acknowledgement, and Indemnity Bond. Indemnity Bond will be generated automatically after submission of Form IEPF-5.
5. Steps to be followed post submission of Form IEPF-5:
Claimant is required to send duly signed Form IEPF-5, acknowledgement thereof, attachments and documents prescribed 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.
6. Documents required for verification of claim in respect of securities held in physical or demat mode singly or jointly in below mentioned situations:
 - (a) If Claimant is shareholder- Any shareholder(s) are alive
(Refer below Section-A)
 - (b) If Claimant is nominee- Shareholder or all shareholders (in case of joint holders) dies with registration of nomination of shares
(Refer below Section-B)
 - (c) If claimant is legal heirs- Shareholder or all shareholders (in case of joint holders) dies without registration of nomination of shares
(Refer below Section-C)

A. IF CLAIMANT-SHAREHOLDER(S)

[SHARES ARE HELD SINGLY OR JOINTLY BY SHAREHOLDER(S) ITSLEF]

- After filing of Form IEPF-5, Indemnity Bond (auto generated) with signature of all claimants and witnesses will be executed as per the below mentioned procedure:

(a) In case of claim of only dividend amount:

- If dividend amount is less than Rs. 10,000/-, Indemnity Bond can be executed on a plain paper.
 - If dividend amount is Rs. 10,000/- or more, Indemnity Bond shall be executed on non-judicial stamp paper of Rs. 500/-.
- (b) In case of claim of shares and dividend (irrespective of dividend value), both, Indemnity Bond shall be executed on non-judicial stamp paper of Rs. 500/-.
- Following documents in original to be couriered at registered office of the Company:
 - **KYC Documents: (Please refer KYC procedure for details)**
 - **In case of Indian Citizen:** Self-attested copy of PAN Card and Aadhar Card of all Claimants. If joint holders are there, copy of Aadhaar card & PAN Card of all joint holders.
 - **In case of NRI:** 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:** Self-attested copy of Passport or PIO Card duly apostalized as per Hague Convention.
 - **Name Change: (Please refer Name Change Procedure in case of name change)**
 - In case the claimant's name as per Company's/RTA record does not match with any of the documents such as PAN Card, Aadhar Card, Passport, Cancelled Cheque Leaf, Client Master List (CML) then an affidavit (duly notarised) explaining the above deviation/reason of change in name, on non-judicial stamp paper of Rs. 100/-; and marriage certificate, Gazette notification etc., if applicable.
 - Self-attested copy of New ID proof-Copy of the PAN Card, Aadhar Card, Passport, Driving License. PAN Card is mandatory.
 - **Original Cancelled Cheque leaf.** In case, Cheque leaf doesn't have Name, Bank and Branch Name, IFSC Code etc. printed on it, copy of Bank Accounts Statement/ Passbook, duly attested by the Bank shall be submitted.
 - **Proof of entitlement:**
 - Self-attested Original Dividend Warrant (In case of claiming dividend with or without shares)

- Original share certificates (in case of claiming shares)
- In case of shares held in demat account, then provide Copy of Client Master List/Report (CML/CMR) of the Claimant(s) duly attested by all the claimants.
- Please note that Name of claimant, PAN, Address and Bank Account details provided should be same as mentioned in CML/CMR.
- Kindly note that in case of claiming shares, claimant must have Demat Account in which the shares shall be credited by IEPF Authority and required to provide Copy of CML/CMR of the Claimant(s). The Authority or the Company shall not issue any physical share certificates. If the claimant does not have Demat Account, then required to first open the Demat Account with any one of the Depository Participant (DP) registered with SEBI.
- All documents should be signed and dated by claimant(s) and witness at all places.
- If original share certificates not with claimant, then follow the below **Procedure of Issue of Duplicate share certificate annexed as Annexure-A.**
- E-mail the duly filled, signed and dated documents on Company's e-mail id.
- Courier the original documents to the registered office address of the Company.
- E-mail the courier slip as proof of dispatch to Company's email id.
- Email Id and address of the Company has been mentioned under General Information Section on the website of the Company.

B. IF CLAIMANT-NOMINEE(S)

[SHARES ARE HELD SINGLY OR JOINTLY WITH NOMINATION]

In addition to the documents/ information mentioned in Section-A above, following additional documents are required:

- Duly signed transmission request form by the claimant
- Copy of death certificate of security holder attested by claimant
- Self-attested copy of PAN card of nominee
- Original share certificate and scanned copy of the same to be attached in the form (In case of shares held in physical mode) / Copy of transaction statement duly attested by Claimant (In case of securities held in demat mode)
- Any Government ID proof of the nominee

C. IF CLAIMANT-LEGAL HEIR(S)

[SHARES ARE HELD SINGLY OR JOINTLY WITHOUT NOMINATION]

In addition to the documents/ information mentioned in Section-A & Section B above, following additional documents are required:

- Duly signed and notarised Affidavit from all the legal heirs made on Rs.100/-non-judicial stamp paper to the effect of identification and claim of legal ownership to the securities. 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 **and**
- Where the value of securities upto Rs. 5,00,000 (Rupees Five Lakh Only) as on the date of application, one or more of the following documents:
 - 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 or any other Decree or Order of any Court or Tribunal

OR

 - 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

Duly signed and notarised Indemnity bond made on Rs. 500/- non-judicial stamp paper.
- Where the value of securities more than 5,00,000 (Rupees Five lakh only) 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 or any other Decree or Order of any Court or Tribunal
- For the case, where will is provided, following additional documents shall also be required:
 - Legal heirship certificate issued by Competent Authority;
 - No Objection Certificate from all legal heirs in favour of the claimant;
 - Affidavit from witness about confirmation of will wherever alive or death certificate of such witness;
 - Affidavit with regard to the will as last will and no matter is pending before any court with regard to such will;
 - Surety affidavit by at least two sureties with their PAN Card

ANNEXURE-A

DOCUMENTS TO BE SUBMITTED IN CASE OF LOSS OF SHARE CERTIFICATES 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. Suety Affidavit along with his Proof of Identity like Pan Card of sureties duly attested by Notary.
3. Indemnity bond by shareholder holder made on Rs. 500/- non-judicial stamp paper duly attested by Notary Public by the person, in whose name the original share certificate is 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.