

**PROCEDURE FOR CLAIMING SHARES, UNPAID DIVIDENDS, MATURED DEPOSITS OR DEBENTURES ETC., FROM INVESTOR EDUCATION AND PROTECTION FUND AUTHORITY**

Investors/ Depositors whose shares, unpaid dividends, matured deposits or debentures etc. have been transferred to Investor Education and Protection Fund under companies Act, 1956/ 2013 can claim refund from IEPF authority, by complying the following procedure;

**Step 01:** Register yourself on IEPF website: <http://www.iepf.gov.in/IEPF/corporates.html>

**Step 02:** Fill the new web form IEPF-5 ONLINE

([www.iepf.gov.in](http://www.iepf.gov.in) > Forms > Web Form IEPF -5)

- Read the instruction kit carefully before filling the form (**Annexure-A**)
- Keep your PAN details, valid email id, active mobile no., Demat account details (for shares) and
- Bank A/c details with IFSC Code ready before filling form

**Step 03:** Attach scanned copy of requisite documents with form

- Aadhaar Card of the claimant and if joint holders are there, copy of Aadhaar card of all joint holders (self attested)
- Passport, OCI and PIO card in case of foreigners and NRI – Mandatory (self attested)
- Client Master List of De-mat A/c of the claimant (self attested)
- Proof of entitlement (Bonds/Debentures/Fixed Deposit receipts/Certificate of share/Interest warrant/Dividend warrant, Application No./Statement of transaction etc.)

In case yes is selected in field 3 the below attachments are mandatory to attach

- Notarised copy of death certificate.
- Notarised succession certificate/Probate/Will
- No Objection Certificate from other holder
- Indemnity Bond for Transmission, duly notarized
- Affidavit in form of surety

**Step 04:** Take print out of auto generated advance receipt and indemnity bond (IEPF website > Forms > Web Forms IEPF-5 > MCA Services > Investor Services)

**Step 05:** Send all original documents to the company

Claimant after making an application in web form 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.

**Address of Nodal Officer of V-Guard Industries Limited**

Mr. Vikas Kumar Tak  
Company Secretary  
V-Guard Industries Ltd.  
Regd. office: 42/962, Vennala High School Road  
Vennala, Kochi - 682 028  
T: +91 484 433 5616

**Step 06:** Company to e-verify the claim in 30 days

**Step 07:** 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*



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## Annexure A

### Instruction Kit for eForm IEPF-5

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

## Table of Contents

<b>About this Document</b> .....	2
<b>Part I – Law(s) Governing the eForm</b> .....	2
Purpose of the eForm .....	3
eForm Number as per Companies Act, 1956 .....	3
<b>Part II – Instructions to fill the eForm</b> .....	3
Specific Instructions to fill the eForm IEPF-5 at Field Level .....	3
<b>Part III - Important Points for Successful Submission</b> .....	8
Fee Rules .....	8
Processing Type .....	9
Email .....	9
Annexure A .....	9

## Annexure A

### Instruction Kit for eForm IEPF-5

(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 document 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)

Form IEPF-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 period

## Annexure A

### Instruction Kit for eForm IEPF-5

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

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 authority set 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 at Field Level

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

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

**Annexure A****Instruction Kit for eForm IEPF-5**

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

<b>S. No/ Section Name</b>	<b>Field Name</b>	<b>Instructions</b>
	(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 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.
	(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'.

**Annexure A****Instruction Kit for eForm IEPF-5**

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

<b>S. No/ Section Name</b>	<b>Field Name</b>	<b>Instructions</b>
	(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

**Annexure A****Instruction Kit for eForm IEPF-5**

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

<b>S. No/ Section Name</b>	<b>Field Name</b>	<b>Instructions</b>
		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	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

**Annexure A****Instruction Kit for eForm IEPF-5**

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

<b>S. No/ Section Name</b>	<b>Field Name</b>	<b>Instructions</b>
7		Refund Account Details <b>Details of Bank account in which refund shall be credited</b>
	(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
		<b>Demat account number in which shares shall be credited</b> Enter your Demat Account number
<b>Attachments</b>	<p>1. Aadhaar Card of the claimant and if joint holders are there, copy of Aadhaar card of all joint holders - Mandatory</p> <p>2. Passport, OCI and PIO card in case of foreigners and NRI - Mandatory</p> <p>3. Client Master List of De-mat A/c of the claimant - Mandatory</p> <p>4. Proof of entitlement (Bonds/Debentures/Fixed Deposit receipts/Certificate of share/Interest warrant/Dividend warrant, Application No./Statement of transaction etc.) - Mandatory</p> <p>5. Optional Attachment – Optional</p> <p>In case yes is selected in field 3 the below attachments are mandatory to attach</p> <p>6. Notarised copy of death certificate.</p> <p>7. Notarised succession certificate/Probate/Will</p> <p>8. No Objection Certificate from other holder</p> <p>9. Indemnity Bond for Transmission, duly notarized</p> <p>10. Affidavit in form of surety</p>	
<b>OTP Validation</b>	Enter Mobile Number and e-Mail ID and click on Send OTP button.	

## Annexure A

### Instruction Kit for eForm IEPF-5

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

S. No/ Section Name	Field Name	Instructions
		<p>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.</p> <p>Enter the OTP for Mobile Number and Email Id received on the mobile number and email id entered in the form.</p> <p>Verify OTP Button: This button will be enabled after OTP for mobile number and email address are entered.</p> <p>Please note that the OTPs must be verified before you Submit the form.</p>
<b>Submit</b>		Click on the 'Submit' button 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 for Additional Fees		Remarks
				Event Date	Time limit(days) for filing	
1.	Application to the authority for claiming unpaid amounts and shares out of Investor Education and Protection Fund (IEPF)	<a href="#">N/A</a>	N/A	N/A		

#### eVerification Report:

## Annexure A

### Instruction Kit for eForm IEPF-5

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

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 upto Rs 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.