

**Form No. IEPF-5**

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

Form language

☒ English☐ Hindi

[Pursuant to Section 125 (3) of the Companies Act, 2013 and rule 7 of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]

*Refer instruction kit for filing the form
All fields marked in * are mandatory*

Applicant details**Particulars of the applicant**

1 (a) *Category of Applicant

☐ Individual☐ Entity**Individual's details**

(b) First Name

(c) Middle Name

(d) Last Name

(e) Father's First Name

(f) Father's Middle Name

(g) Father's Last name

(h) *Date of Birth (DD/MM/YYYY)

Entity details

(i) Type of the Entity

(Company/LLP/Foreign Company/Foreign LLP/HUF/Sole Proprietorship/Partnership/Others)

(j) *CIN / FCRN / LLPIN / FLLPIN / Registration No.

(k) *Name of Entity

(l) Date of Incorporation (DD/MM/YYYY)

Contact Details of Applicant

(m) *Address of the applicant

(n) Phone number

(o) *Mobile Number (with Country code)

		<input type="button" value="Send OTP"/>	<input type="button" value="Re-send OTP"/>
(p) *Enter OTP for Mobile Number	<input type="text"/>	<input type="button" value="Verify OTP"/>	
(q) *E-mail ID	<input type="text"/>		
		<input type="button" value="Send OTP"/>	<input type="button" value="Re-send OTP"/>
(r) *Enter OTP for E-mail ID	<input type="text"/>	<input type="button" value="Verify OTP"/>	
(s) Aadhaar Number	<input type="text"/>		
(s)(i)*Aadhaar Card of the claimant and if joint holders are there, copy of Aadhaar card of all joint holders	<input type="text" value="Max 2 MB"/>	<input type="button" value="Choose File"/>	<input type="button" value="Remove"/> <input type="button" value="Download"/>
(t) Passport, OCI and PIO card number in case of foreigners and NRI	<input type="text"/>		
(t)(i) *Copy Passport, OCI and PIO card in case of foreigners and NRI	<input type="text" value="Max 2 MB"/>	<input type="button" value="Choose File"/>	<input type="button" value="Remove"/> <input type="button" value="Download"/>
(u) *PAN of the applicant	<input type="text"/>	<input type="button" value="Verify PAN"/>	

Company/Bank details**2 *Particulars of the company/bank from which the amount is due**

(a) *Corporate Identity number (CIN) of company / Bank Corporate Identification number (BCIN)	<input type="text"/>
(b) *Name of the company/bank	<input type="text"/>
(c) *Address of the registered office of the company/bank	<input type="text"/>
(d) *Email ID of the company/bank	<input type="text"/>

3 (a) *Is it a case covered under rule 7 (8) & 7(9) of IEPF Rules, 2016

☐ Yes ☐ No

(b) Name of original security holder	<input type="text"/>
(c) Relation of claimant with security holder	<input type="text"/>
(d) Number of Nominee/Legal heirs/Successors/ Administrator/ Others holders	<input type="text"/>
(e) Name of Beneficiary	<input type="text"/>
(f) Self attested copy of death certificate	<input type="text" value="Max 2 MB"/> <input type="button" value="Choose File"/> <input type="button" value="Remove"/> <input type="button" value="Download"/>

(g) Succession certificate/Probate/Will

Max 2 MB

Choose File

Remove

Download

(h) No Objection Certificate from other holder

Max 2 MB

Choose File

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(i) Indemnity Bond and surety affidavit

Max 2 MB

Choose File

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(j) Any other document required under rules

Max 2 MB

Choose File

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Details of the Claim

4 *Type of Claim

☐

Amount

☐

Amount and Shares

5 Details of shares claimed (More than one Folio for one company/bank can be added)

(a) Number of Folio

S.No.	Type of Holding (Physical / Demat)	Folio No. from which transfer has been made to IEPF	Type of Share (Equity / Preference)	Number of shares
		Complete Demat account number from which transfer has been made to IEPF		
Total				

Details of amount claimed

6 (a) Number of claims

(b) Year wise details of securities/deposits for which the amount is claimed

S.No.	Type of claim (Unpaid dividend/ Application money due for refund/ Matured deposits/ Matured debentures/ Others)	Type of Holding (Physical /Demat)	Folio No. from which transfer has been made to IEPF	Amount of the claim	Financial year to which claim relates (YYYY- YYYY)	Reason for non-receipt/ non- encashment of the instrument of payment
			Complete Demat account number from which transfer has been made to IEPF			
			Total			

7 Refund Account Details (Details of Bank account in which refund shall be credited)

(a) *Bank account number

(b) *Bank Name	<input type="text"/>
(c) *IFSC Code	<input type="text"/>
(d) *Bank Branch	<input type="text"/>
(e) * Demat account number in which shares shall be credited	<input type="text"/>

Attachments

(a) *Client Master List of De-mat A/c of the claimant / Transaction statement for demat holding	Max 2 MB	Choose File	Remove	Download
(b) *Proof of entitlement (Entitlement letter issued by company/ Bonds/Debentures/Fixed Deposit receipts/Certificate of share/Interest warrant/Dividend warrant, Application No./Statement of transaction, documents for loss of original share certificates as per rules etc.)	Max 2 MB	Choose File	Remove	Download
(c) *Bank cheque copy	Max 2 MB	Choose File	Remove	Download
(d) Others - if any	Max 2 MB	Choose File	Remove	Download

Declaration

I declare that all the requirements of Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I further declare that all the information given herein above is true, correct and complete including the attachments to this form and nothing material has been suppressed.

I declare that I have not claimed/ will not claim, the shares and/or amount claimed under the same folio and/or for same financial year on any earlier occasion for this company/bank.

☐ * I understand that I, am the claimant and after filing the refund claim in this form online, shall send the attachments prescribed below to Nodal Officer (IEPF) of the company / bank at its registered office in an envelope marked "claim for refund from IEPF Authority" for initiating the verification for claim

- 1 Print out of duly filled claim form with claimant signature
- 2 Copy of acknowledgement
- 3 Indemnity Bond (original) with claimant signature
- 4 In case of refund of matured deposit or debenture, original certificate thereto
- 5 Copy of Aadhaar Card
- 6 Proof of entitlement (certificate of share/Interest warrant Application No. etc.)
- 7 Cancelled Cheque leaf
- 8 Copy of Passport, OCI and PI card in case of foreigners and NRI
- 9 Other optional document,(if any)

Save

Submit

Note: Attention is also drawn to provisions of Section 448 of Companies Act, 2013 which states that-

“Save as otherwise provided in this Act, if in any return, report, certificate, financial statement, prospectus, statement or other document required by, or for, the purposes of any of the provisions of this Act or the rules made thereunder, any person makes a statement,—

(a) which is false in any material particulars, knowing it to be false; or

(b) which omits any material fact, knowing it to be material, he shall be liable under section 447”

For office use only:

eForm Service request number(SRN)

eForm filing date (DD/MM/YYYY)

”

8. Form IEPF-7 shall be omitted.

[F. No. 05/04/2020-IEPF]

ANITA SHAH AKELLA, Jt. Secy.

Note: The principal rules were published in the Gazette of India *vide* number G.S.R. 854 (E), dated the 5th September, 2016 and amended *vide* notification numbers G.S.R. 178(E), dated the 28th February, 2017, G.S.R. 1267 (E), dated the 13th October, 2017, G.S.R. 472 (E), dated the 22nd May, 2018, G.S.R. 343(E), dated the 1st May, 2019, G.S.R. 571(E), dated the 14th August, 2019, G.S.R. 396(E), dated the 09th June, 2021, G.S.R. 785(E), dated the 09th November, 2021, G.S.R. 791(E), dated the 12th November, 2021 and G.S.R. 888(E), dated the 28th December, 2021.