

REFUND FROM IEPF AUTHORITY

Step- I-Claimant to Authority

- I. Person have to make application to IEPF Authority (Ministry of Corporate Affairs) (MCA) <http://iepf.gov.in/IEPFA/refund.html> in **e-form IEPF5** by mentioning following details:
- II. First Download e-form IEPF-5 along with Help kit for reference from above mentioned link.
- III. Particular of Applicant
- IV. Particular of Company
- V. Details of Shares to be claimed Refund
- VI. Details of amount claimed
- VII. Year wise details of securities/deposits
- VIII. Aadhaar Number or Passport/OCI/PIO Card No. (in case of NRI/foreigners)
- IX. Details of Bank account (**Aadhar linked**, in case applicant is not NRI/foreigner) in which refund of claim to be made
- X. DEMAT Account no (in case of refund of shares)**
- XI. No need to affix DSC on the e-form
- XII. There is no option to attach any document in the form

Lastly Claimant has to create their Login ID on Ministry of Corporate Affairs (MCA) for uploading the e-form IEPF-5 at <http://www.mca.gov.in/mcafoportal/showEformUpload.do>

Step- II-Claimant to Company

The claimant and after filing the refund claim in this form online, shall to send the attachments prescribed below to Nodal Officer (IEPF) of the company at its registered office in an envelope marked "**claim for refund form IEPF Authority**" for initiating the verification for claim:

- 1) Print out of duly filled and uploaded claim form IEPF-5; with claimant signature and if joint holders are involved than the Form should be signed by all the joint holders
- 2) Copy of acknowledgement generated after uploading the claim Form IEPF-5
- 3) Indemnity Bond (original) with claimant signature (As per format given in Annexure II) to be executed :
 - On a non-judicial Stamp Paper of the value as prescribed under the Stamp Act (According to state) if the amount of the claim is Rs.10, 000 or more. Please ensure to enter date, place and Signature of claimant and witness.
 - On a plain paper if the amount claimed does not exceed Rs.10,000.
 - In case of refund of shares, on a non-judicial Stamp Paper of the value as prescribed under the Stamp Act.
- 4) Advance Stamped receipt (original) with signature of claimant and two witnesses. (Format is given at Annexure I)

- 5) In case of refund of matured deposit or debenture, or bonds, or where shares (in physical form) are claimed original certificate thereto
- 6) Copy of Aadhaar Card of the claimant and if joint holders are there, Copy of Aadhar card of all the joint holders
- 7) Proof of entitlement (certificate of share/Interest warrant/dividend warrant, Application No. etc.)
- 8) Original Cancelled Cheque leaf
- 9) Copy of Passport, OCI and PIO card in case of foreigners and NRI
- 10) Copy of PAN Card **(mandatory in case of claim for shares)**
- 11) Client Master List of De-mat A/c of the claimant
- 12) In case any Joint holder is deceased, Copy of Death certificate to be attached.
- 13) Other optional documents, (if any)
 - a) In case of Joint Holder DEMAT Account is in the single name then NOC from all other holders.
 - b) In case of difference in Name or address with Pan, Addhar, other documents etc then Affidavit is required.

Step- III-Company to Authority

The company shall within 15 days of receipt of claim form, send a verification report to the Authority in the format specified by the Authority along with all documents submitted by the claimant.

Step- IV-Authority to Claimant

After verification of the entitlement of the claimant-

To the Amount Claimed, the Authority and then Drawing and Disbursement Officer of the Authority shall present a bill to the Pay and Accounts Office for e- payment as per the guidelines.

To the Shares Claimed. the Authority shall issue a refund sanction order with the approval of the Competent Authority and shall either credit the shares which are lying with depository participant in IEPF suspense account (name of the company) to the Demat account of the claimant to the extent of the claimant's entitlement or in case of the physical certificates, if any, cancel the duplicate certificate and transfer the shares in favour of the claimant.

Time Period: An application received for refund of any claim under this rule duly verified by the concerned company shall be disposed of by the Authority within sixty days from the date of receipt of the verification report from the company

Annexure I

Advance Receipt

Received from the Investor Education and Protection Fund Authority the sum of Rs..... and No. of Shares being the amount and shares payable to me from the Investor Education and Protection Fund as (Dividend on Equity / Preference shares / matured deposits / matured debentures / application money due for refund / interest accrued on...../Dividend credited to IEPF under Companies Act, 1956 or Companies Act, 2013/ Dividend credited to General Revenue Account under Companies Act, 1956 / others, specify.....)# which was originally due from M/s.....(Name of the Company)

Signature of claimant with date

Stamp

Affix
Revenue
Stamp

Signature of witness:

1. Signature with date

Name

Address

2. Signature with date

Name

Address

*** Please ensure to affix Revenue Stamp with crossed Signature to avoid delay in processing of the claim**

Strike off whichever is not applicable

Annexure II

Indemnity bond

To
The Investor Education and Protection Fund Authority
.....

In consideration of the payment of Rs and No. of shares..... being the amount and shares due to me as (Dividend on Equity / Preference shares / matured deposits / matured debentures / application money due for refund /interest accrued on...../Dividend credited to IEPF under Companies Act, 1956or Companies Act, 2013/ Dividend credited to General Revenue Account under Companies Act, 1956 / others, specify.....)# for the Financial Year..... from M/s(Name of the Company) out of the Investor Education and Protection Fund by the Authority, Ison /daughter /wife# of do hereby agree and undertake to indemnify the Investor Education and Protection Fund Authority to the extent of any claim not exceeding the amount hereinbefore mentioned which may be preferred against the Investor Education and Protection Fund Authority, and which it has to lawfully discharge.

Signature

Date:

Place:

Witnesses:

1.Signature with date

Name

Address

2.Signature with date

Name

Address

*** For ensuring timely processing of the claim, please ensure to make all the entries**

Strike off whichever is not applicable