



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)

(p) *Enter OTP for Mobile Number

Send OTP

Re-send OTP

Verify OTP

(q) *E-mail ID

Send OTP

Re-send OTP

(r) *Enter OTP for E-mail ID

Verify OTP

(s) Aadhaar Number

(s)(i)*Aadhaar Card of the claimant and if joint holders are there, copy of Aadhaar card of all joint holders

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(t) Passport, OCI and PIO card number in case of foreigners and NRI

(t)(i) *Copy Passport, OCI and PIO card in case of foreigners and NRI

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(u) *PAN of the applicant

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)

(b) *Name of the company/bank

(c) *Address of the registered office of the company/bank

(d) *Email ID of the company/bank

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

(c) Relation of claimant with security holder

(d) Number of Nominee/Legal heirs/Successors/ Administrator/ Others holders

(e) Name of Beneficiary

(f) Self attested copy of death certificate

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(g) Succession certificate/Probate/Will

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(h) No Objection Certificate from other holder

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(i) Indemnity Bond and surety affidavit

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(j) Any other document required under rules

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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

(c) *IFSC Code

(d) *Bank Branch

(e) * Demat account number in which shares shall be credited

Attachments

(a) *Client Master List of De-mat A/c of the claimant /
Transaction statement for demat holding

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(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.)

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(c) *Bank cheque copy

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(d) Others - if any

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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)

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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”

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