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

Table of Contents

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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 documents 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:

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

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

(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
	(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'.

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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
	(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

S. No/ Section Name		Field Name	Instructions
			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

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

(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
		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. Enter the OTP for Mobile Number and Email Id received on the mobile number and email id entered in the form. Verify OTP Button: This button will be enabled after OTP for mobile number and email address are entered. Please note that the OTPs must be verified before you Submit the form.
Submit		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)	N/A	N/A	N/A		

eVerification Report:

(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.

Annexure A

N/A

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

Annexure I

Advance Receipt

Received from the Investor Education and Protection Fund Authority 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 Shares 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 Gujarat Borosil Limited.

Note:

Pursuant to the Composite scheme of amalgamation and arrangement approved by NCLT, Mumbai bench on January 15, 2020 ("the scheme"), Gujarat Borosil Limited (CIN: L26100MH1988PLC316817) has been amalgamated with Borosil Glass Works Limited (renamed as Borosil Renewables Limited – CIN: L26100MH1962PLC012538), with effect from February 12, 2020. Pursuant to said scheme, the Borosil Renewable Limited has issued and allotted one fully paid-up equity share of Re. 1 each for every two equity share of Rs. 5 held by shareholders in Gujarat Borosil Limited. Since, Gujarat Borosil Limited has been merged and dissolved, claim for unpaid dividend amounts/ shares is being made with Borosil Renewables Limited.

Signature of Claimant with date

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

Signature of Witnesses:

Sr. No.	Name & Address	Signature with date
1		
2		

(Application to the Authority for claiming unpaid dividend amount and shares out of Investor Education & Protection Fund)

To be executed on non-judicial stamp paper as per stamp duty applicable in the respective state

Annexure II

Indemnity bond

To,

The Investor Education and Protection Fund Authority

Pursuant to the Composite scheme of amalgamation and arrangement approved by NCLT, Mumbai bench on January 15, 2020, ("the scheme") Gujarat Borosil Limited (CIN: L26100MH1988PLC316817) has been amalgamated with Borosil Glass Works Limited (renamed as Borosil Renewables Limited – CIN: L26100MH1962PLC012538), with effect from February 12, 2020. Copy of said order enclosed. Pursuant to said scheme, the Borosil Renewables Limited has issued and allotted one fully paid-up equity share of Re.1 each for every two equity share of Rs.5 held by shareholders in Gujarat Borosil Limited. Since, Gujarat Borosil Limited has been merged and dissolved, claim for unpaid dividend amounts/ shares is being made with Borosil Renewables Limited.

In consideration of the payment of **Rs.   /-** and No. of shares_____ being the amount and shares due to me as **Dividend on Equity shares** credited to IEPF under Companies Act, 1956 or Companies Act, 2013/ Dividend credited to General Revenue Account under Companies Act, 1956 for the Financial Year 2008-2009 from **Borosil Renewables Limited** out of the Investor Education and Protection Fund by the Authority, I, _____ son /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 herein before mentioned which may be preferred against the Investor Education and Protection Fund Authority, and which it has to lawfully discharge.

Signature of Claimant:

Sr. No.	Name & Address	Signature with date
1		

Date:

Place:

Signature of Witnesses:

Sr. No.	Name & Address	Signature with date
1		
2		