

FORM NO. IEPF-1

[Pursuant to rule 5(1) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]

**Statement of amounts credited to Investor Education and Protection Fund**

Form language o English o Hindi

Refer instruction kit for details.

Note 1 - Please adhere to the 'Process for uploading Investor-wise details' as mentioned on the Acknowledgment, to be generated upon upload of this eForm.

1.(a)*Corporate identity number (CIN) of company/
Bank Corporate Identification number (BCIN)

Pre

(b) Global Location Number (GLN) of company

2. (a) Name of the company/bank

(b) Address of registered office of the company/bank

(c) *Email id of the company/bank

3.*Amount to be credited to the fund (in Rs.)

4.*Date of transfer of amount to unpaid dividend account of the company

5. *Details of the amount credited to the fund

S. No.	Particulars	Amount (in Rupees)	Date by which amount should have been credited to the fund
(a)	Amount in the unpaid dividend accounts of companies		
(b)	The application money received by companies for allotment of any securities and due for refund		
(c)	Matured deposits with companies		
(d)	Matured debentures with companies		
(e)	Interest accrued on the amounts referred to in clause (b) to (d) above		
	(i)Application money due for refund		
	(ii)Matured deposits with companies		
	(iii)Matured debentures with companies		
(f)	Sale proceeds of fractional shares arising out of issuance of bonus shares, merger and amalgamation		
(g)	Redemption amount of preference shares		
(h)	Grants and donation		
(i)	Others		

Total		
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6. *Financial Year to which the amount relates

Attachments

1. Optional attachments, if any.

Attach

List of attachments

Remove attachment

Declaration

I have been authorized by the Board of directors' resolution number* Dated * (DD/MM/YYYY) sign and submit this form.

To the best of my knowledge and belief, 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 also 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.

*To be digitally signed by

DSC Box

*Designation

*DIN of the director; or PAN of the manager or CEO or CFO; or Membership number of the company secretary; or PAN of Authorized person of the bank

Note: Attention is also drawn to provisions of Section 448 and section 449 of Companies Act, 2013 which provide for punishment for false statement and false evidence.

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This eform has been taken on file maintained by IEPF Authority through electronic mode and on the basis of statement of correctness given by the company.

FORM NO.IEPF-1A

[Pursuant to rule 5 (4A) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]

**Statement of amounts credited to Investor Education and Protection Fund**

Form language English Hindi

Refer instruction kit for details.

Note 1 - Please adhere to the 'Process for uploading investor-wise details' as mentioned on the Acknowledgment, to be generated upon upload of this eForm.

- 1.(a)*Corporate identity number (CIN) of company/
 Bank Corporate Identification number (BCIN)
 (b) Global Location Number (GLN) of company
2. (a) Name of the company/bank
 (b) Address of registered office of the company/bank
 (c) *Email id of the company/bank
3. Form through which payment was done
 Payment made through Form -1 Payment made through Form IINV Others
4. SRN of Form-1/ IINV
 (Mandatory if the payment was made electronically)
5. *Challan Number/ Service request number (SRN) in respect of payment made to the fund
6. Date of payment of amount to the fund
7. Amount credited to the fund
8. Mode of payment Challan payment (cash, cheque, Demand draft) Online payment
- 9.*Details of the amount credited to the fund

S. No.	Particulars	Amount (in Rupees)	Date by which amount should have been credited to the fund
(a)	Amount in the unpaid dividend accounts of companies		
(b)	The application money received by companies for allotment of any securities and due for refund		
(c)	Matured deposits with companies		
(d)	Matured debentures with companies		
(e)	Interest accrued on the amounts referred to in clause (b) to (d) above		
	(i) Application money due for refund		
	(ii) Matured deposits with companies		
	(iii) Matured debentures with companies		
(f)	Sale proceeds of fractional shares arising out of issuance of bonus shares, merger and amalgamation		
(g)	Redemption amount of preference shares		
(h)	Grants and donation		
(i)	Others		
	Total		

10. *Financial Year to which the amount related

Attachments

1. *Copy of Challan

Attach

2. Optional attachments, if any.

Attach

List of attachments

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Declaration

I have been authorized by the Board of directors' resolution number* Dated * (DD/MM/YYYY) to sign and submit this form.

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*To be digitally signed by

DSC Box

*Designation

*DIN of the director; or PAN of the manager or CEO
or CFO; or Membership number of the company
secretary; or PAN of Authorized person of the bank

Note: Attention is also drawn to provisions of Section 448 and section 449 of Companies Act, 2013 which provide for punishment for false statement and false evidence.

This eform has been taken on file maintained by IEPF Authority through electronic mode and on the basis of statement of correctness given by the company.

FORM NO. IEPF-2

[Pursuant to rule 5 (8) and 7 (2B) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]



Statement of unclaimed and unpaid amounts and details of Nodal Officer

Form language English Hindi

Refer instruction kit for details.

Note 1 - Please adhere to the 'Process for uploading Investor-wise details' as mentioned on the Acknowledgment, to be generated upon upload of this eForm.

Note 2 - All fields marked in * are to be mandatorily filled.

1. Purpose of filing

- Statement of unclaimed and unpaid amounts
 Appointment of Nodal Officer
 Appointment of Deputy Nodal Officer
 Updation of details of Nodal Officer only
 Updation/Cessation of details of Deputy Nodal Officer only

2.(a)*Corporate identity number (CIN) of company/
Bank Corporate Identification number (BCIN)

(b) Global Location Number (GLN) of company

3. (a) Name of the company/bank

(b) Address of registered office of the company/bank

(c) *email id of the company/bank

3A. *Details of Nodal Officer

(a) First Name

(b) Middle Name

(c) Last Name

(d) Father's First Name

(e) Father's Middle Name

(f) Father's Last Name

(g) Date of Birth (DD/MM/YYYY)

(h) PAN

Verify PAN Details

(i) Designation

(j) Gender

(j) Official Postal address

Line I

Line II

City

State

Pin code

(k) Phone (With STD/ISD code)

(l) Mobile No.

(m) Email ID

(n) Date of Board Resolution

3B Number of Deputy Nodal Officers

Do you want to cessate the Deputy Nodal Officer?

***Details of Deputy Nodal Officer(s)**

(a) First Name

(b) Middle Name

(c) Last Name

(d) Father's First Name

(e) Father's Middle Name

(f) Father's Last Name

(g) Date of Birth (DD/MM/YYYY)

(h) PAN

Prefill

Verify PAN Details

(i) Designation

	year								
2	The amount received under sub-section (4) of section 38								
3	Amount of application moneys received and due for refund								
4	Amount of matured deposits								
(a)	Amount refunded by the Company from the matured deposits during the year								
5	Amount of matured debentures								
(a)	Amount refunded by the Company from the matured debentures during the year								
6	Interest accrued on the amounts referred to in clause (3) to (5) above								
(i)	Application money due for refund								
(ii)	Matured deposits with companies								
(iii)	Matured debentures with companies								
7	Sale proceeds of fractional shares arising out of issuance of bonus shares, merger and amalgamation,								
8	Redemption amount of preference shares								
9	Others								
	Total (Auto sum)								

Note: (1) FY-7 is the current financial year as mentioned in 4(a) above

(2) Amount mentioned in FY-1 indicates amount due to be credited to IEPF in next financial year

(3) Amounts are to be given separately for each financial year indicating the amount unclaimed/unpaid as on end of that particular financial year

9. Amount of Dividend declared on shares of the company lying with IEPF during the Financial years as mentioned in 4(a) above

10. Any other benefits declared (as per rule 6(8)) on shares of the company lying with IEPF during the Financial years mentioned in 4(a) above

Attachments

1. *Board Resolution for appointment of Nodal Officer
2. Optional attachments, if any

Attach

Attach

List of attachments

Remove attachment

Declaration

I have been authorized by the Board of directors' resolution number * Dated * (DD/MM/YYYY) to sign and submit this form.

To the best of my knowledge and belief, 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 also 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.

*To be digitally signed by

DSC Box

*Designation

*DIN of the director; or PAN of the manager or CEO or CFO; or Membership number of the secretary; or PAN of Authorized person of the bank

Note: Attention is also drawn to provisions of Section 448 and section 449 of Companies Act, 2013 which provide for punishment for false statement and false evidence.

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This eForm has been taken on file maintained by the IEPF Authority through electronic mode and on the basis of statement of correctness given by the company

FORM NO. IEPF-4

[Pursuant to rule 6(5) and 6(8) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]

**Statement of shares transferred to the Investor Education and Protection Fund**

Form language English Hindi

Refer instruction kit for details.

Note 1 - Please adhere to the 'Process for uploading investor-wise details' as mentioned on the Acknowledgment, to be generated upon upload of this eForm.

Note 2 - For each SRN of IEPF-4 different IEPF-4 forms needs to be filed for benefits accruing on shares.

1. (a) *Corporate identity number (CIN) of company

(b) Global Location Number (GLN) of company

2. (a) Name of the company/bank

(b) Address of registered office of the company/bank

(c) *Email id of the company/bank

3. (a) *Total nominal amount of shares transferred to the IEPF account

(b) *Total number of shares transferred

4. Purpose of filing

1. SRN of form IEPF-1/1-INV/IEPF-4

2. Date of Declaration of benefits accruing on Shares Transferred to IEPF.

3. Date of Corporate Action to Demat account of IEPF Authority.

4. *Financial Year to which the amount relates

Attachments

- 1.*Copy of Newspaper advertisement
2. Optional attachments, if any.

List of attachments

Attach	<input type="text"/>
Attach	<input type="text"/>

Declaration

I have been authorized by the Board of directors' resolution number* Dated * (DD/MM/YYYY) sign and submit this form.

To the best of my knowledge and belief, 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 also 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.

*To be digitally signed by

DSC Box

*Designation

*DIN of the director; or Income-tax permanent account number of the manager or CEO or CFO; or Membership number of the secretary

Note: Attention is also drawn to provisions of Section 448 and section 449 of Companies Act, 2013 which provide for punishment for false statement and false evidence.

Modify

Check Form

Prescrutiny

Submit

This eform has been taken on file maintained by IEPF Authority through electronic mode and on the basis of statement of correctness given by the company".

FORM NO. IEPF-5

[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]



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

1. Particulars of the applicant

(a) *Category of the applicant

Individual

Others

(b) *FirstName

(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

(i) *Name of Entity

(j) *Date of Incorporation

(k) *Address of the applicant

(l) Phone number

(m) *Mobile Number

Send OTP

(n) *Email ID

(o) Enter OTP for Mobile number

Verify OTP

(p) Enter OTP for Email ID

(q) *Aadhaar Number or Passport/OCI/PIO Card No. (in case of NRI/foreigners)

(r) *PAN of applicant

Verify PAN Detail

2. Particulars of the Company from which the amount is due

- (a) *Corporate identity number (CIN) of company **Pre-fill**
- (b) Name of the company
- (c) Address of registered office of the company
- (d) Email id of the company

3. Is it a case covered under rule 7 (8) & 7(9) of IEPF Rules, 2016Yes No

- (a) Name of original security holder
- (b) Relation of claimant with security holder
- (c) Number of Nominee/Legal heirs/Successors/
Administrator/ Others holders.

Name of Beneficiary
i.
ii.
iii.

4. Type of Claim

O Amount O Amount and Shares

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

Type of holding	Folio No./ Complete Demat Account Number from which transfer has been made to IEPF	Type of share	Number of shares
	<input type="text"/> Folio No.		
	<input type="text"/> Demat A/c		

6. Claim Details*Number of claims

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

Type of Claim	Type of holding	Folio No./Complete Demat account number from which transfer has been made to IEPF	Amount of the claim	Financial Year to which claim relates	Reason
		Folio Demat A/c	Principle Interest		

7. Refund Account Details

Details of Bank account in which refund shall be credited

Bank account number

Bank Name

IFSC Code

Bank Branch

Demat account number in which shares shall be credited

8 (a) *Copy of Aadhaar Card of the claimant and

if joint holders are there, copy of Aadhar card of all joint holders

 Browse

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

 Browse

(c) *Client Master List of De-mat A/c of the claimant

 Browse

(d)*Proof of entitlement (Bonds/Debentures/Fixed Deposit receipts/

Certificate of share/Interest warrant/Dividend warrant, Application No./Statement of transaction etc.)

 Brows

(e) Notarised Copy of death certificate

 Browse

(f) Notarised Succession Certificate/Probate/will

 Browse

(g) No Objection Certificate from Other holder

 Browse

(h) Indemnity Bond, duly notarised.

 Browse

(i) Affidavit in form of surety.

 Browse

(j) Others

 Browse

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.

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 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 and if joint holders are involved than the Form should be signed by all the joint holders along with annexures submitted with form
2. Copy of acknowledgement generated after uploading the claim Form IEPF 5.
3. Copy of Indemnity Bond (original) auto generated after uploading the claim Form IEPF 5 with claimant signature and proof of payment of applicable stamp duty (Refer Help Kit for Stamp Duty Details).
4. In case of refund of matured deposit or debenture or bond or where shares (in physical form) are claimed, original certificate/shares thereto.
5. Original Cancelled Cheque leaf.
6. In case any Joint holder is deceased, Copy of Death certificate to be attached.
7. Other optional documents, (if any)

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.”

Submit

[F. No. 05/02/2019-IEPF]

MANOJ PANDEY, 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 number G.S.R. 178(E) dated 28th February, 2017, G.S.R.1267 (E) dated 13th October, 2017, G.S.R. 472 (E) dated 22.05.2018 and G.S.R. 343(E) dated 1st May, 2019.