



भारत सरकार

“Form No. IEPF-1**Statement of amounts credited to IEPF or transfer of amounts on account of shares transferred to the fund**

[Pursuant to rule 5(1), 6(13), 6(13A) and 6A(12) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]

Form language

 English Hindi

Refer instruction kit for filing the form

All fields marked in * are mandatory

***Purpose of filing** Statement of amounts credited to IEPF Statement of transfer of amounts on account of shares transferred to the fund**Sub purpose of filing** On shares transferred under section 124(6) On shares transferred under section 90(9)**Company/Bank Information**1. (a) *Corporate identity number (CIN) of the company / Bank
Corporate identification number (BCIN) of the Bank

(b) *Name of the company/bank

(c) *Registered office address

(d) *Email -ID of the company/bank

2. (a) *Whether the company/bank is amalgamated

 Yes No

(b) Service request number (SRN) of form INC-28

Fund Information

3.(a) Number of shares with IEPFA on record date

(b) Dividend declared per share

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

(d) *TDS deducted on amount to be credited to the Fund (in Rs.)

(e) *Net Amount to be credited to the fund after deducting TDS (in Rs.)

4. (a) Date of transfer of amount to unpaid dividend account of the company/bank
(DD/MM/YYYY)

(b) Date of declaration of dividend (DD/MM/YYYY)

5. Details of the amount to be credited to the fund

S.No.	Particulars	Amount (inRupees)	Date by which amount should have been credited to the fund (DD/MM/YYYY)
a	Amount in the unpaid dividend accounts of companies/banks		
b	The application money received by companies/banks for allotment of any securities and due for refund		
c	Matured deposits with companies/banks		
d	Matured debentures with companies/banks		
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/banks		
	(iii) Matured debentures with companies/banks		
f	Sale proceeds of fractional shares arising out of issuance of bonus shares, merger and amalgamation		
g	Redemption amount of preference shares		
h	Surplus amount after payment of dues for Section 8 company before its conversion into any other kind		
I	Amount received through disposal of securities under section 38(4) of The Companies Act 2013		
J	Grants and donation		
k	Dividend on shares transferred to IEPF		
l	Proceeds realized on delisting of companies/banks with respect to shares transferred to IEPF		
m	Proceeds realized on winding up of companies/banks with respect to shares transferred to IEPF		
n	Surrender of shares under Section 236 of Companies, Act 2013		
o	Others		
Total			

6. *Financial year to which the amount relates (YYYY-YYYY)

Attachments

(a) Investor wise details (excel file)(For amounts credited to IEPF)

Max 40 MB

Choose File

Remove

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(b) Investor wise details (excel file) (For transfer of amounts on account of shares transferred to the fund)

Max 40 MB

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(c) Copy of Resolution declaring dividend/ winding up order/ delisting order

Max 2 MB

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(d) Optional attachment(s) - if any

Max 2 MB

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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.

To the best of my knowledge and belief, I declare that all the requirements of Companies Act, 2013 and 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 member**

DSC BOX

*** Designation**

(Director/Manager/ Company Secretary/CFO/CEO/Managing Director /IRP/RP/Liquidator/Authorized person of the bank)

*** DIN of the director or Income tax PAN of the manager or CEO or CFO or Managing Director or IRP/RP/Liquidator or Membership number of the company secretary or PAN of Authorized person of the bank**

Save

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Note: Attention is drawn to provisions of Section 448 and 449 which provide for punishment for false statement / certificate and punishment for false evidence respectively

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

For office use only:

eForm Service request number (SRN)

eForm Service request number (SRN)



Form No. IEPF-1A

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

भारत सरकार

Form language

English

Hindi

Refer instruction kit for filing the form

All fields marked in * are mandatory

Company/Bank information

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

(b) * Name of the Company /Bank

(c) * Registered office address

(d) * Email ID of the Company/bank

Reference to other form

2 *Form through which payment was made

Payment made through form IEPF-1

Payment made through form 1 INV

Others

(a) SRN of Form IEPF-1/ Form -1 INV

Fund Information

3 (a) Challan No/Service Request number (SRN) in respect of payment made to the fund

(b) *Date of payment of amount to the fund (DD/MM/YYYY)

(c) *Amount credited to the fund (in Rs.)

(d) *Mode of payment

Challan (Cash, Cheque, Demand draft)

Online payment

4 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 (DD/MM/YYYY)
a	Amount in the unpaid dividend accounts of companies/banks		
b	The application money received by companies/banks for allotment of any securities and due for refund		
c	Matured deposits with companies/banks		
d	Matured debentures with companies/banks		

S. No.	Particulars	Amount (in Rupees)	Date by which amount should have been credited to the fund (DD/MM/YYYY)
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/banks		
	(iii) Matured debentures with companies/banks		
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		

5 * Financial year to which the amount relates (YYYY-YYYY)

Attachments

(a) *Investor wise details (Excel file)

Max 40 MB

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(b) *Copy of Challan

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(c) Optional attachment(s) - if any

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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.

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

(Director/Manager/Company Secretary/CEO/CFO/Managing Director/Authorized representative of the bank)

*DIN of the director or Income tax PAN of the manager or CEO or CFO or Managing Director or Membership number of the company secretary or PAN of Authorized person of the bank

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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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For office use only:

eForm Service request number (SRN)

eForm filing date (DD/MM/YYYY)



Form No. IEPF-2

Statement of unclaimed and unpaid amounts and details of Nodal officer
 [Pursuant to rule 5(8) and 7(2B) of the Investor Education and Protection Fund
 Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]

Form language

English

Hindi

Refer instruction kit for filing the form

Note - All fields marked in * are mandatory

Purpose of form

1.(a) *Purpose of filing is related to

- Statement of unclaimed and unpaid amounts
- Nodal Officer
- Deputy Nodal Officer

(b) *Sub purpose of filing

- Appointment
- Updation
- Cessation

Company/ Bank related information

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

(b) *Name of the company/bank

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

(d) *Email ID of the company/bank

(e) *Whether a person is already an existing nodal officer in any holding/subsidiary company

Yes No

(f) If Yes, CIN of the holding/Subsidiary company

3. Details of Nodal Officer

(a) *Name of the Nodal Officer

(b) *First Name	<input type="text"/>
(c) Middle Name	<input type="text"/>
(d) *Last Name	<input type="text"/>
(e) *Father's First Name	<input type="text"/>
(f) Father's Middle Name	<input type="text"/>
(g) *Father's Last Name	<input type="text"/>
(h) *Date of Birth (DD/MM/YYYY)	<input type="text"/>
(i) *PAN	<input type="text"/>
(j) *Designation	<input type="text"/>
(k) *Gender	<input type="text"/>
(l) Official Postal address	
*Address Line 1	<input type="text"/>
Address Line 2	<input type="text"/>
*Country	<input type="text"/>
*Pin Code/Zip code	<input type="text"/>
*Area/Locality	<input type="text"/>
*City	<input type="text"/>
District	<input type="text"/>
*State	<input type="text"/>
(m) *Phone (With STD/ISD code)	<input type="text"/>
(n) *Mobile Number	<input type="text"/>
(o) *Email id	<input type="text"/>
(p) *Date of Board Resolution (DD/MM/YYYY)	<input type="text"/>

Deputy nodal officer details

4. *Number of Deputy Nodal Officers to be added	<input type="text"/>
a. *Name of the Deputy Nodal Officer to be added	<input type="text"/>

(a)(i) *Number of Deputy Nodal Officers for which details need to be updated	<input type="text"/>
(a)(ii)*Name of the Deputy Nodal Officer whose details needs to be updated	<input type="text"/> ▼
(a)(iii)*Number of Deputy Nodal Officers is to be ceased	<input type="text"/>
(a)(iv)* Name of the Deputy Nodal Officer is to be ceased	<input type="text"/> ▼
b. *First Name	<input type="text"/>
c. Middle Name	<input type="text"/>
d. *Last Name	<input type="text"/>
e. *Father's First Name	<input type="text"/>
f. Father's Middle Name	<input type="text"/>
g. *Father's Last Name	<input type="text"/>
h. *Date of Birth (DD/MM/YYYY)	<input type="text"/>
i. *PAN	<input type="text"/>
	<input type="button" value="Verify Income Tax PAN"/>
j. *Designation	<input type="text"/>
k. *Gender (Male/Female/Transgender)	<input type="text"/> ▼
l. Official Postal address	
*Address Line 1	<input type="text"/>
Address Line 2	<input type="text"/>
*Country	<input type="text"/>
*Pin Code/Zip code	<input type="text"/>
*Area/Locality	<input type="text"/> ▼
*City	<input type="text"/>
District	<input type="text"/>
*State	<input type="text"/>
m. *Phone (With STD/ISD code)	<input type="text"/>
n. *Mobile Number	<input type="text"/>

S.No.	Particulars	Unclaimed and unpaid amounts lying with the company/bank separately for each of the last seven financial years							
		FY-1	FY-2	FY-3	FY-4	FY-5	FY-6	FY-7	Total
(iii)	Matured debentures with companies/banks								
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								

Note:

(1) FY-7 is the current financial year as mentioned in 5(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

10. *Amount of Dividend declared on shares of the company/bank lying with IEPF during the Financial year as mentioned in 5(a) above

11. *Any other benefits declared (as per rule 6(8)) on shares of the company/bank lying with IEPF during the Financial year as mentioned in 5(a) above

Attachments

1 *Investor wise details (excel file)

Max 40 MB

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2 *Board Resolution for appointment of Nodal Officer/ Deputy Nodal Officer

Max 2 MB

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3 Optional attachment(s) - if any

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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.

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 member

DSC BOX

* Designation

(Director/Manager/ Company Secretary/CFO/CEO/Managing Director/Authorized person of the bank)

* DIN of the Director; or PAN of the Manager or CEO or Managing Director or CFO;

or Membership number of the secretary; or PAN of Authorized person of the bank

Note: Attention is drawn to provisions of Section 448 and 449 which provide for punishment for false statement / certificate and punishment for false evidence respectively

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For office use only:

eForm Service request number

(SRN)eForm filing date

(DD/MM/YYYY)

”.

6. Form IEPF-3 shall be omitted.
7. For the Forms IEPF-4 and IEPF-5, the following Forms shall respectively be substituted, namely: –



“Form No.IEPF-4

Statement of shares transferred and information of shares & unclaimed or unpaid dividend not transferred to the IEPF

[Pursuant to rule 6(5), 6(8), 6A(5), 6A(8) and 6(3) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016] and Section 124 of the Companies Act 2013]

Form language

 English

 Hindi

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

Entity's details

1. (a) *Corporate Identity number (CIN)/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

2. (a)* Purpose of filing

Transfer of shares u/s 124(6)

Transfer of shares u/s 90(9)

Benefits accruing on shares already transferred to IEPF u/s 124(6)

Benefits accruing on shares already transferred to IEPF u/s 90(9)

Information of shares and unclaimed or unpaid dividend not transferred to the IEPF

(b) Whether the company/bank is amalgamated

 Yes

 No

(c) CIN/BCIN of the amalgamated company/bank

(d) SRN of IEPF-1/1-INV/IEPF-1A or SRN of IEPF-4

3. Date of Corporate Action to Demat account of IEPF Authority
(DD/MM/YYYY)

Fund details

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

(b) Total number of shares transferred

5. Date of Declaration of benefits accruing on Shares Transferred to IEPF
(DD/MM/YYYY)

6. Financial year to which the amount relates (YYYY-YYYY)

7. Date of Advertisement (DD/MM/YYYY)

Details of shares and dividend not transferred to IEPF account

8. (a) Total number of shares

(b) Total nominal amount of shares

(c) Total amount of unpaid dividend on such shares

(d) Financial year ended as on (DD/MM/YYYY)

Attachments

(a) Investor wise details (excel file)

Max 40 MB

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(b) Copy of newspaper advertisement or order of a copy of order of the Tribunal u/s 90 (8) of the Act along with a declaration that no application is pending u/s 90(9) of the Act

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(c) Order of the court/tribunal/ statutory authority

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(d) Optional attachment(s) - if any

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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.

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

(Director/Manager/ Company Secretary/CFO/CEO/Managing Director/Authorized person of the bank)

* DIN of the director; or Income-tax permanent account number of the manager or CEO or CFO or Managing Director or Authorized person of the bank; or Membership number of the secretary

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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/bank

For office use only:

eForm Service request number (SRN)

eForm filing date (DD/MM/YYYY)

**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

(q) *E-mail ID

(r) *Enter OTP for E-mail ID

(s) Aadhaar Number

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

(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

(u) *PAN of the applicant

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

(g) Succession certificate/Probate/Will

Max 2 MB

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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

Max 2 MB

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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

Max 2 MB

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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.)

Max 2 MB

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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)

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.