

PROCEDURE FOR CLAIMING UNPAID AMOUNTS AND SHARES FROM THE INVESTOR EDUCATION AND PROTECTION FUND (IEPF) AUTHORITY



A

WHEN THE CLAIMANT(S)
IS / ARE REGISTERED
SHAREHOLDER OF THE
COMPANY

B

WHEN THE CLAIMANT(S) IS /
ARE LEGAL HEIR(S) OF THE
REGISTERED SHAREHOLDER
OF THE COMPANY

C

WHEN THE CLAIMANT(S) /
LEGAL HEIR(S) ORIGINAL
SHARE CERTIFICATE ARE LOST
/ MISPLACED

A

WHEN THE CLAIMANT(S) IS/ARE REGISTERED SHAREHOLDER OF THE COMPANY



1. Claimant(s) to open a DEMAT Account (in case the shares are held physically), in the same manner in which his / her / their name appears in their KYC documents as advised by the Depository Participant **(DP)**.
2. Claimant(s) to approach the Company by sending the following documents to the **Nodal Officer** at the Registered Address of the Company at: Alok Industries Limited, 17/5/1, 521/1, Village Rakholi / Saily, Silvassa – 396230, Union Territory of Dadra and Nagar Haveli, in an envelope marked **“Claim for Refund from IEPF Authority”, before filing the claim** with IEPF Authority:
 - (a) Original Physical share certificate(s) (in case of shares held in DEMAT mode, a self-attested copy of transaction statement duly certified by DP);
 - (b) Self-attested Client Master List (CML) duly certified by DP;
 - (c) Self-attested copy of Aadhar card and PAN card¹ of the claimant(s);
 - (d) Duly notarised Indemnity Bond² [\(Click Here\)](#) executed by the claimant(s) along with self – attested copy of Aadhar card and PAN card³ of the witnesses; *(Witnesses should be other than family member)*;
 - (e) Cancelled cheque leaf of the Bank Account which is linked with the DEMAT account.
 - (f) Affidavit [\(Click Here\)](#), in case of mismatch of name as mentioned on the share certificate and the KYC documents.

Note: *In case of any discrepancy / incompleteness in the documents, the Company / Link Intime India Private Limited may call additional information / documents from the claimant(s).*
3. The Company, post verification of the above-mentioned documents, will issue **‘Entitlement Letter’** within 30 days from the date of submission of documents by claimant(s), with all the details required to fill in Form IEPF-5.
4. Claimant(s) to file web base Form IEPF-5 on the website of IEPF Authority [\(Click Here\)](#) and attach the **‘Entitlement Letter’** to the Form IEPF-5.
5. On successful submission of Form IEPF-5 on the IEPF Portal, an acknowledgement will be generated indicating the Service Request Number **(SRN)**. Please note the SRN for future tracking of the Form IEPF-5.
6. Claimant(s) to print and self-attest the duly filed Form IEPF-5 and the acknowledgement and send to the Nodal Officer of the Company at the address mentioned at Point No. 2 above.
7. The Company to file its e-verification Report with the IEPF Authority within 30 days from generation of IEPF-5 SRN and thereafter provide a copy of the same along with the related documents to the claimant(s).
8. Post filing of e-verification report, the IEPF Authority to further process the claim in terms of IEPF (Accounting, Audit, Transfer and Refund) Rules, 2016.

^{1&3} Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof.

² Indemnity Bond required on a non- judicial stamp paper of Rs.500/, if the claim is:

– for dividend amount exceeding Rs.10,000 (for dividend amount less than Rs.10,000 – on a plain paper will be sufficient).

– for shares with or without dividend (even if dividend amount is less than Rs.10,000)



B

WHEN THE CLAIMANT(S) IS / ARE LEGAL HEIR(S) OR SUCCESSOR(S) OR ADMINISTRATOR(S) OR NOMINEE(S) OF THE REGISTERED SHAREHOLDER OF THE COMPANY



B

WHEN THE CLAIMANT(S) IS / ARE LEGAL HEIR(S) OR SUCCESSOR(S) OR ADMINISTRATOR(S) OR NOMINEE(S) OF THE REGISTERED SHAREHOLDER OF THE COMPANY



I. SHARES HELD SINGLY / JOINTLY WITH NOMINATION:

1. Claimant(s) [person(s) nominated as such by the Shareholder(s) in terms of provisions of the Companies Act] open a DEMAT Account (in case the shares are held physically), in the same manner in which his / her / their name appears in their KYC documents as advised by the Depository Participant **(DP)**.
2. Claimant(s) to approach the Company by sending the following documents to the **Nodal Officer** at the Registered Address of the Company at: Alok Industries Limited, 17/5/1, 521/1, Village Rakholi / Saily, Silvassa – 396230, Union Territory of Dadra and Nagar Haveli, in an envelope marked **“Claim for Refund from IEPF Authority”, before filing the claim** with IEPF Authority:
 - (a) Original physical share certificate(s) (in case of shares held in DEMAT mode, a self-attested copy of transaction statement duly certified by DP);
 - (b) Self-attested Client Master List (CML) duly certified by DP;
 - (c) Self-attested copy of Aadhar card and PAN card⁴ of the claimant(s);
 - (d) Duly notarised Indemnity Bond⁵ ([Click Here](#)) executed by the claimant(s) along with self – attested copy of Aadhar card and PAN card⁶ of the witnesses; (*Witnesses should be other than family member*).
 - (e) Cancelled cheque leaf of the Bank Account which is linked with the DEMAT account;
 - (f) The following additional documents to be submitted by the claimant(s):
 - i. Duly signed Transmission Request Form ISR – 5 by the claimant(s) ([Click Here](#));
 - ii. Any one of the following document:
 - Original death certificate⁷ of the deceased Shareholder; **OR**
 - Copy of death certificate of the deceased Shareholder duly attested by notary public/gazette officer; **OR**
 - Copy of death certificate of the deceased shareholder attested by claimant(s), subject to verification with the original by the Company or Link Intime India Private Limited **(“RTA”)**.
 - iii. Self-attested copy of PAN card⁸ of the claimant(s);
 - iv. Copy of Birth Certificate (in case the claimant(s) is a minor);
 - v. KYC⁹ along with address proof of claimant(s) guardian (in case claimant(s) is a minor/of unsound mind);
 - vi. Any other government ID proof of the claimant(s).
3. The Company, post verification of the above-mentioned documents, will issue **‘Entitlement Letter’** within 30 days from the date of submission of documents by claimant(s), with all the details required to fill in Form IEPF-5.
4. Claimant(s) to file web base Form IEPF-5 on the website of IEPF Authority ([Click Here](#)) and attach the **‘Entitlement Letter’** to the Form IEPF-5.
5. On successful submission of Form IEPF-5 on the IEPF Portal, an acknowledgement will be generated indicating the Service Request Number **(SRN)**. Please note the SRN for future tracking of the Form IEPF-5.
6. Claimant(s) to print and self-attest the duly filed Form IEPF-5 and the acknowledgement and send to the Nodal Officer of the Company at the address mentioned at Point No. 2 above.
7. The Company to file its e-verification Report with the IEPF Authority within 30 days from generation of IEPF-5 SRN and thereafter provide a copy of the same along with the related documents to the Claimant(s).
8. Post filing of e-verification report, the IEPF Authority to further process the claim in terms of IEPF (Accounting, Audit, Transfer and Refund) Rules, 2016.

^{4&6&8} Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof.

⁵ Indemnity Bond required on a non- judicial stamp paper of Rs.500/, if the claim is: for dividend amount exceeding Rs.10,000 (for dividend amount less than Rs.10,000 – on a plain paper will be sufficient). for shares with or without dividend (even if dividend amount is less than Rs.10,000)

⁷ In case of Joint Shareholding, copy of duly attested death certificate of all joint holders shall be submitted.

⁹ If not KYC compliant.



B

WHEN THE CLAIMANT(S) IS / ARE LEGAL HEIR(S) OR SUCCESSOR(S) OR ADMINISTRATOR(S) OR NOMINEE(S) OF THE REGISTERED SHAREHOLDER OF THE COMPANY



II. SHARES HELD SINGLY / JOINTLY WITHOUT NOMINATION:

1. Claimant(s) [legal heir(s)/Successor(s)/Administrator(s)] to open a DEMAT Account (in case the shares are held physically), in the same manner in which his / her / their name appear in their KYC documents as advised by the Depository Participant **(DP)**.
2. Claimant(s) to approach the Company by sending the following documents to the **Nodal Officer** at the Registered Address of the Company at: Alok Industries Limited, 17/5/1, 521/1, Village Rakholi / Saily, Silvassa – 396230, Union Territory of Dadra and Nagar Haveli, in an envelope marked **“Claim for Refund from IEPF Authority”, before filing the claim** with IEPF Authority:
 - (a) Original Physical share certificate(s) (in case of shares held in DEMAT mode, a self-attested copy of transaction statement duly certified by DP);
 - (b) Self-attested Client Master List (CML) duly certified by DP;
 - (c) Self-attested copy of Aadhar card and PAN card¹⁰ of the claimant(s);
 - (d) Duly notarised Indemnity Bond¹¹ ([Click Here](#)) executed by the claimant(s) along with self – attested copy of Aadhar card and PAN card¹² of the witnesses; (*Witnesses should be other than family member*)
 - (e) Cancelled cheque leaf of the Bank Account which is linked with the DEMAT account;
 - (f) The following additional documents to be submitted by the claimant(s):
 - i. Duly signed Transmission Request Form ISR – 5 by the claimant(s) ([Click Here](#));
 - ii. Any one of the following document:
 - Original death certificate¹³ of the deceased Shareholder; **OR**
 - Copy of death certificate of the deceased Shareholder duly attested by notary public/gazette officer; **OR**
 - Copy of death certificate of the deceased shareholder attested by claimant(s), subject to verification with the original by the Company or Link Intime India Private Limited **(“RTA”)**.
 - iii. Self-attested copy of PAN card¹⁴ of the claimant(s);
 - iv. Copy of Birth Certificate (in case the claimant(s) is a minor);
 - v. KYC¹⁵ along with address proof of claimant(s) guardian (in case claimant is a minor / of unsound mind);
 - vi. Any other government ID proof of the claimant(s).
 - vii. Notarized Affidavit ([Click Here](#)) from all the legal heir(s) / claimant(s) made on non-judicial stamp paper of Rs.100/- to the effect of identification and claim of legal ownership to the shares.

In case the claimant(s) are named in the succession certificate or probate of will or will or letter of administration or legal heirship certificate (or its equivalent certificate), a notarized affidavit ([Click Here](#)) from such legal heir(s) / claimant(s) alone shall be sufficient.
 - viii. If the market value of shares of the Company as on the date of submission of claim is more than **Rs.5 Lakh** on the basis of the closing price of the Company on any one of the recognized stock exchanges, a day prior to the date of submission of application (where the shares held in physical mode) or **Rs.15 Lakhs** (where the shares held in demat mode), [Click Here](#) for the documents¹⁶ to be submitted:
 - ix. If the market value of shares of the Company as on the date of submission of claim is up to **Rs.5 Lakh** on the basis of the closing price of the Company on any one of the recognized stock exchanges, a day prior to the date of submission of application (where the shares held in physical mode) or **Rs.15 Lakhs** (where the shares held in demat mode), AND where succession certificate / probate of Will / Will* / letter of administration / Decree or order of any court or tribunal / legal heirship certificate or its equivalent#, are not available, [Click Here](#) for the documents to be submitted.

Note: In case of any deficiency / incompleteness in the documents, the Company / RTA may call additional information / documents from the claimant.

3. The Company, post verification of the above-mentioned documents, will issue **‘Entitlement Letter’** within 30 days from the date of submission of documents by claimant(s), with all the details required to fill in Form IEPF-5.
4. Claimant(s) to file web base Form IEPF-5 on the website of IEPF Authority ([Click Here](#)) and attach the **‘Entitlement Letter’** to the Form IEPF-5.
5. On successful submission of Form IEPF-5 on the IEPF Portal, an acknowledgement will be generated indicating the Service Request Number **(SRN)**. Please note the SRN for future tracking of the Form IEPF-5.
6. Claimant(s) to print and self-attest the duly filed Form IEPF-5 and the acknowledgement and send to the Nodal Officer of the Company at the address mentioned at Point No. 2 above.
7. The Company to file its e-verification Report with the IEPF Authority within 30 days from generation of IEPF-5 SRN and thereafter provide a copy of the same along with the related documents to the claimant(s).
8. Post filing of e-verification report, the IEPF Authority to further process the claim in terms of IEPF (Accounting, Audit, Transfer and Refund) Rules, 2016.

^{10 & 12 & 14} Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof.

¹¹ Indemnity Bond required on a non- judicial stamp paper of Rs.500/, if the claim is:

- for dividend amount exceeding Rs.10,000 (for dividend amount less than Rs.10,000 – on a plain paper will be sufficient).
- for shares with or without dividend (even if dividend amount is less than Rs.10,000)

¹³ In case of Joint Shareholding, copy of duly attested death certificate of all joint holders shall be submitted.

¹⁵ If not KYC compliant.

¹⁶ The document should be attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a Gazetted officer.

*[Click Here](#)

#[Click Here](#)



C

WHEN THE CLAIMANT(S) (REGISTERED SHAREHOLDER OR HIS/
HER LEGAL HEIR / SUCCESSOR / ADMINISTRATOR / NOMINEE)
ORIGINAL SHARE CERTIFICATES ARE LOST / MISPLACED



**SHARES CLAIMED BY
REGISTERED SHAREHOLDER**



**SHARES CLAIMED BY
NOMINEE**



**SHARES CLAIMED BY
LEGAL HEIR / SUCCESSOR / ADMINISTRATOR**





WHEN THE CLAIMANT(S) IS REGISTERED SHAREHOLDER OR HIS/HER LEGAL HEIR/SUCCESSOR/ADMINISTRATOR/NOMINEE WHERE ORIGINAL SHARE CERTIFICATES ARE LOST/MISPLACED



I. SHARES CLAIMED BY REGISTERED SHAREHOLDER:

1. Claimant(s) to open a DEMAT Account (in case the shares were held physically), in the same manner in which his / her / their name appear in their KYC documents as advised by the Depository Participant (**DP**).
2. Claimant(s) to approach the Company by sending the following documents to the **Nodal Officer** at the Registered Address of the Company at: Alok Industries Limited, 17/5/1, 521/1, Village Rakholi / Saily, Silvassa – 396230, Union Territory of Dadra and Nagar Haveli, in an envelope marked **“Claim for Refund from IEPF Authority”**, before filing the claim with IEPF Authority:
 - (a) Self-attested Client Master List (CML) duly certified by DP;
 - (b) Self-attested copy of Aadhar card and PAN card¹⁷ of the claimant(s);
 - (c) Duly notarised Indemnity Bond¹⁸ ([Click Here](#)) executed by the claimant(s) along with self – attested copy of Aadhar card and PAN card¹⁹ of the witnesses; (*Witnesses should be other than family member*)
 - (d) Cancelled cheque leaf of the Bank Account which is linked with the DEMAT account;
 - (e) If the market value of shares is more than **Rs.5 Lakh** on the basis of the closing price of the Company on any one of the recognized stock exchanges, a day prior to the date of submission of application, [Click Here](#) for the documents to be submitted.
 - (f) If the market value of shares is up to **Rs.5 Lakh** on the basis of the closing price of the Company at any one of the recognized stock exchanges a day prior to the date of submission of application, [Click Here](#) for the documents be submitted.
- Note:** *In case of any deficiency / incompleteness in the documents, the Company / Link Intime India Private Limited may call additional information / documents from the claimant.*
3. The Company, post verification of the above-mentioned documents, will issue **‘Entitlement Letter’** within 30 days from the date of submission of documents by claimant(s), with all the details required to fill in Form IEPF-5.
4. Claimant(s) to file web base Form IEPF-5 on the website of IEPF Authority ([Click Here](#)) and attach the **‘Entitlement Letter’** to the Form IEPF-5.
5. On successful submission of Form IEPF-5 on the IEPF Portal, an acknowledgement will be generated indicating the Service Request Number (**SRN**). Please note the SRN for future tracking of the Form IEPF-5.
6. Claimant(s) to print and self-attest the duly filed Form IEPF-5 and the acknowledgement and send to the Nodal Officer of the Company at the address mentioned at Point No. 2 above.
7. The Company to file its e-verification Report with the IEPF Authority within 30 days from generation of IEPF-5 SRN and thereafter provide a copy of the same along with the related documents to the claimant(s).
8. Post filing of e-verification report, the IEPF Authority to further process the claim in terms of IEPF (Accounting, Audit, Transfer and Refund) Rules, 2016.

^{17 & 19} Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof.

¹⁸ Indemnity Bond required on a non- judicial stamp paper of Rs.500/, if the claim is:

– for dividend amount exceeding Rs.10,000 (for dividend amount less than Rs.10,000 – on a plain paper will be sufficient).

– for shares with or without dividend (even if dividend amount is less than Rs.10,000)





WHEN THE CLAIMANT(S) IS REGISTERED SHAREHOLDER OR HIS/HER LEGAL HEIR/SUCCESSOR/ADMINISTRATOR/NOMINEE WHERE ORIGINAL SHARE CERTIFICATES ARE LOST/MISPLACED



SHARES CLAIMED BY NOMINEE

1. Claimant(s) [person(s) nominated as such by the Shareholder(s) in terms of the provisions of the Companies Act] to open a DEMAT Account (in case the shares are/were held physically), in the same manner in which his / her / their name appear in their KYC documents as advised by the Depository Participant **(DP)**.
2. Claimant(s) to approach the Company by sending the following documents to the **Nodal Officer** at the Registered Address of the Company at: Alok Industries Limited, 17/5/1, 521/1, Village Rakholi / Saily, Silvassa – 396230, Union Territory of Dadra and Nagar Haveli, in an envelope marked **“Claim for Refund from IEPF Authority”**, before filing the claim with IEPF Authority:
 - (a) Self-attested Client Master List (CML) duly certified by DP;
 - (b) Self-attested copy of Aadhar card and PAN card²⁰ of the claimant(s);
 - (c) Duly notarised Indemnity Bond²¹ [\(Click Here\)](#) executed by the claimant(s) along with self – attested copy of Aadhar card and PAN card²² of the witnesses; (*Witnesses should be other than family member*);
 - (d) Cancelled cheque leaf of the Bank Account which is linked with the DEMAT account;
 - (e) If the market value of shares is more than **Rs.5 Lakh** on the basis of the closing price of the Company on any one of the recognized stock exchanges a day prior to the date of submission of application, [Click Here](#) for the documents to be submitted.
 - (f) If the market value of shares is up to **Rs.5 Lakh** on the basis of the closing price of the Company at any one of the recognized stock exchanges a day prior to the date of submission of application, [Click Here](#) for the documents to be submitted.
 - (g) Duly signed Transmission Request Form ISR -5 by the claimant(s) [\(Click Here\)](#);
 - (h) Any one of the following document:
 - Original death certificate²³ of the deceased shareholder; **OR**
 - Copy of death certificate of the deceased shareholder duly attested by notary public/gazette officer; **OR**
 - Copy of death certificate of the deceased shareholder attested by claimant(s), subject to verification with the original by the Company or Link Intime India Private Limited **(“RTA”)**.
 - (i) Self-attested copy of PAN card²⁴ of the claimant(s);
 - (j) Copy of Birth Certificate (in case the claimant(s) is a minor);
 - (k) KYC²⁵ along with address proof of claimant(s) guardian (in case claimant(s) is a minor/of unsound mind);
 - (l) Any other government ID proof of the claimant(s)
- Note:** In case of any deficiency / incompleteness in the documents, the Company / RTA may call additional information / documents from the claimant.
3. The Company, post verification of the above-mentioned documents, will issue **‘Entitlement Letter’** within 30 days from the date of submission of documents by claimant(s), with all the details required to fill in Form IEPF-5.
4. Claimant(s) to file web base Form IEPF-5 on the website of IEPF Authority [\(Click Here\)](#) and attach the **‘Entitlement Letter’** to the Form IEPF-5.
5. On successful submission of Form IEPF-5 on the IEPF Portal, an acknowledgement will be generated indicating the Service Request Number **(SRN)**. Please note the SRN for future tracking of the Form IEPF-5.
6. Claimant(s) to print and self-attest the duly filed Form IEPF-5 and the acknowledgement and send to the Nodal Officer of the Company at the address mentioned at Point No. 2 above.
7. The Company to file its e-verification Report with the IEPF Authority within 30 days from generation of IEPF-5 SRN and thereafter provide a copy of the same along with the related documents to the claimant(s).
8. Post filing of e-verification report, the IEPF Authority to further process the claim in terms of IEPF (Accounting, Audit, Transfer and Refund) Rules, 2016.

^{20 & 22 & 24} Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof.

²¹ Indemnity Bond required on a non-judicial stamp paper of Rs.500/, if the claim is:

– for dividend amount exceeding Rs.10,000 (for dividend amount less than Rs.10,000 – on a plain paper will be sufficient).

– for shares with or without dividend (even if dividend amount is less than Rs.10,000)

²³ In case of Joint Shareholding, copy of duly attested death certificate of all joint holders shall be submitted.

²⁵ If not KYC compliant





WHEN THE CLAIMANT(S) IS REGISTERED SHAREHOLDER OR HIS/HER LEGAL HEIR/SUCCESSOR/ADMINISTRATOR/NOMINEE WHERE ORIGINAL SHARE CERTIFICATES ARE LOST/MISPLACED



II. SHARES ARE CLAIMED BY LEGAL HEIR(S) / SUCCESSOR(S)/ADMINISTRATOR(S):

1. Claimant(s) [*legal heir(s) / Successor(s) / Administrator(s)*] to open a DEMAT Account (in case the shares were held physically), in the same manner in which his / her / their name(s) appear in their KYC documents as advised by the Depository Participant (DP).
2. Claimant(s) to approach the Company by sending the following documents to the **Nodal Officer** at the Registered Address of the Company at: Alok Industries Limited, 17/5/1, 521/1, Village Rakholi / Saily, Silvassa – 396230, Union Territory of Dadra and Nagar Haveli, in an envelope marked **“Claim for Refund from IEPF Authority”**, before filing the claim with IEPF Authority:
 - (a) Self-attested Client Master List (CML) duly certified by DP;
 - (b) Self-attested copy of Aadhar card and PAN card²⁶ of the claimant(s);
 - (c) Duly notarised Indemnity Bond²⁷ ([Click Here](#)) executed by the claimant(s) along with self – attested copy of Aadhar card and PAN card²⁸ of the witnesses; (*Witnesses should be other than family member*);
 - (d) Cancelled cheque leaf of the Bank Account which is linked with the DEMAT account;
 - (e) If the market value of shares is more than **Rs.5 Lakh** on the basis of the closing price of the Company on any one of the recognized stock exchanges a day prior to the date of submission of application, [Click Here](#) for the documents to be submitted.
 - (f) If the market value of shares is up to **Rs.5 Lakh** on the basis of the closing price of the Company at any one of the recognized stock exchanges a day prior to the date of submission of application, [Click Here](#) for the documents to be submitted.
 - (g) Duly signed Transmission Request Form ISR – 5 by the claimant(s) ([Click Here](#));
 - (h) Any one of the following document:
 - Original death certificate²⁹ of the deceased shareholder; **OR**
 - Copy of death certificate of the deceased shareholder duly attested by notary public/gazette officer; **OR**
 - Copy of death certificate of the deceased shareholder attested by claimant(s), subject to verification with the original by the Company or Link Intime India Private Limited (**“RTA”**).
 - (i) Self-attested copy of PAN card³⁰ of the claimant(s);
 - (j) Copy of Birth Certificate (in case the claimant(s) is a minor);
 - (k) KYC³¹ along with address proof of claimant(s) guardian (in case claimant(s) is a minor/of unsound mind);
 - (l) Any other government ID proof of the claimant(s).
 - (m) Notarized Affidavit ([Click Here](#)) from all the legal heir(s) / claimant(s) made on non-judicial stamp paper of Rs.100/- to the effect of identification and claim of legal ownership to the shares.

In case the claimant(s) are named in the succession certificate or probate of will or will or letter of administration or legal heirship certificate (or its equivalent certificate), a notarized affidavit ([Click Here](#)) from such legal heir(s) / claimant(s) alone shall be sufficient.
 - (n) If the market value of shares of the Company as on the date of submission of claim is more than **Rs.5 Lakh** on the basis of the closing price of the Company at any one of the recognized stock exchanges a day prior to the date of submission of application (where the shares held in physical mode) or **Rs.15 Lakhs** (where the shares held in demat mode), [Click Here](#) for the documents to be submitted.
 - (o) If the market value of shares of the Company as on the date of submission of claim is up to **Rs.5 Lakh** on the basis of the closing price of the Company at any one of the recognized stock exchanges a day prior to the date of submission of application (where the shares held in physical mode) or **Rs.15 Lakhs** (where the s held in demat mode), AND where succession certificate / probate of Will / Will* / letter of administration / Decree or order of any court or tribunal / legal heirship certificate or its equivalent#, are not available, [Click Here](#) for the documents to be submitted
- Note:** *In case of any deficiency / incompleteness in the documents, the Company / RTA may call additional information / documents from the claimant.*
3. The Company, post verification of the above-mentioned documents, will issue **‘Entitlement Letter’** within 30 days from the date of submission of documents by claimant(s), with all the details required to fill in Form IEPF-5.
4. Claimant(s) to file web base Form IEPF-5 on the website of IEPF Authority ([Click Here](#)) and attach the **‘Entitlement Letter’** to the Form IEPF-5.
5. On successful submission of Form IEPF-5 on the IEPF Portal, an acknowledgement will be generated indicating the Service Request Number (SRN). Please note the SRN for future tracking of the Form IEPF-5.
6. Claimant(s) to print and self-attest the duly filed Form IEPF-5 and the acknowledgement and send to the Nodal Officer of the Company at the address mentioned at Point No. 2 above.
7. The Company to file its e-verification Report with the IEPF Authority within 30 days from generation of IEPF-5 SRN and thereafter provide a copy of the same along with the related documents to the claimant(s).
8. Post filing of e-verification report, the IEPF Authority to further process the claim in terms of IEPF (Accounting, Audit, Transfer and Refund) Rules, 2016.

^{26 & 28 & 30} Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof.

²⁷ Indemnity Bond required on a non- judicial stamp paper of Rs.500/, if the claim is:

– for dividend amount exceeding Rs.10,000 (for dividend amount less than Rs.10,000 – on a plain paper will be sufficient).

– for shares with or without dividend (even if dividend amount is less than Rs.10,000)

²⁹ In case of Joint Shareholding, copy of duly attested death certificate of all joint holders shall be submitted.

³¹ If not KYC compliant

³² The document should be attested by the legal heir(s) / claimant(s) subject to verification with the original or duly attested by a notary public or by a Gazetted officer.

* ([Click Here](#))

([Click Here](#))



If The Market Value Of Shares Of The Company As On The Date Of Submission Of Claim Is Up To **Rs.5 Lakh** (Where The Shares Held In Physical Mode) Or **Rs.15 Lakhs** (Where The S Held In Demat Mode), Following Documents To Be Submitted:



- 1) **No Objection Certificate** ([Click Here](#)) from all legal heirs(s), or copy of family settlement deed executed by all the legal heir(s), duly attested by a notary public or by a gazetted officer; and
- 2) Notarized Indemnity Bond ([Click Here](#)) made on non-judicial stamp paper of Rs.500/- indemnifying the Link Intime (India) Private Limited (RTA)/the Company.



If The Market Value Of Shares Of The Company As On The Date Of Submission Of Claim Is More Than Rs.5 Lakh (Where The Shares Held In Physical Mode) Or **Rs.15 Lakhs** (Where The Shares Held In Demat Mode), Following Documents To Be Submitted:



- a) Succession certificate; or
- b) Probate of Will; or
- c) Will along with notarized Indemnity Bond ([Click Here](#)) from the legal heir(s)/claimant(s) to whom the shares are transmitted non-judicial stamp paper of Rs.500/-;
- d) Letter of administration; or
- e) Decree or order of any court or tribunal; or
- f) Legal heirship Certificate or its equivalent, along with:
 - A notarized **Indemnity Bond** ([Click Here](#)) from the legal heir(s) / claimant(s) to whom the shares are transmitted on non-judicial stamp paper of Rs.500/- and
 - **No Objection** ([Click Here](#)) from all the non-claimants, duly attested by a notary public or by a gazetted officer.

Note:

In case where the Will is provided, following documents shall also be required:

- *Legal heirship certificate issued by competent authority;*
- *No objection certificate ([Click Here](#)) from legal heir(s) in favour of claimant(s);*
- *Affidavit ([Click Here](#)) from witness about confirmation of will wherever alive or death certificate of such witness;*
- *Affidavit ([Click Here](#)) with regard to the will as last will and no matter is pending before any court with regard to such will;*
- *Surety affidavit ([Click Here](#)) by at least two sureties with their PAN card³³.*

³³ Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof.



If The Market Value Of Shares Is Up To Rs.5 Lakh On The Basis Of The Closing Price Of The Company At Any One Of The Recognized Stock Exchanges A Day Prior To The Date Of Submission Of Application, Following Documents To Be Submitted:



- i. Duly signed Duplicate Shares request form ISR -4 by the nominee(s); [\(Click Here\)](#)
- ii. Affidavit [\(Click Here\)](#) by claimant(s) on non-judicial stamp paper of Rs.100/-;
- iii. Surety Affidavit [\(Click Here\)](#) along with his Proof of Identity like PAN card³⁴ duly attested by Notary on non-judicial stamp paper of Rs.100/-;
- iv. Indemnity Bond [\(Click Here\)](#) by claimant(s) on non-judicial stamp paper of Rs.500/-;
- v. Indemnity bond [\(Click Here\)](#) attested by Notary Public that claimant(s) has not sold / disposed off the shares or acted in any manner by which any interest of third party would have been created on non-judicial stamp paper of Rs.500/-;
- vi. Self-attested copy of PAN card³⁵ and address proof of the claimant(s);
- vii. Self-attested copy of PAN card³⁶ and address proof of the witness to indemnity;

³⁴ & ³⁵ & ³⁶ Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof.



If the market value of shares is more than Rs.5 Lakh on the basis of the closing price of the Company on any one of the recognized stock exchanges a day prior to the date of submission of application, following documents to be submitted:



- i. Duly signed Duplicate Shares request form ISR -4 by the nominee(s); [\(Click Here\)](#)
- ii. Affidavit [\(Click Here\)](#) by claimant(s) on non-judicial stamp paper Rs.100/-.
- iii. Surety Affidavit [\(Click Here\)](#) along with his Proof of Identity like PAN card³⁷ duly attested by Notary on non-judicial stamp paper of Rs.100;
- iv. Indemnity Bond [\(Click Here\)](#) by claimant(s) on non-judicial stamp paper of Rs.500;
- v. Indemnity bond [\(Click Here\)](#) attested by Notary Public that claimant(s) has not sold / disposed off the shares or acted in any manner by which any interest of third party would have been created on non-judicial stamp paper of Rs.500;
- vi. Self-attested copy of PAN card³⁸ and address proof of the claimant(s);
- vii. Self-attested copy of PAN card³⁹ and address proof of the witness to indemnity;
- viii. Copy of FIR / e-FIR / Police complaint / Court injunction order / copy of plaint having details of the shares, Folio No., distinctive number range; share certificate numbers.
- ix. Copy of advertisement⁴⁰ [\(Click Here\)](#) issued in at least one English language national daily newspaper having nationwide circulation and in one regional language daily newspaper published in the place of registered office of the Company.

³⁷ & ³⁸ & ³⁹ Copy of PAN card may be substituted with ID proof in case of residents of Sikkim after collecting address proof.

⁴⁰ **Overseas shares of the Company holder** – if the value of shares of the Company exceed Rs.5 Lakh, holder can provide self-declaration of the share certificates lost/ misplaced/ stolen instead of FIR (Duly notarized/ apostilled/ attested by the Indian Consulate/Embassy in their country of residence, along with self-attested copies of valid passport and overseas address proof).



In case where the Will is provided, following documents shall also be required:



1. Notarized Indemnity Bond [\(Click Here\)](#) from the legal heir(s)/claimant(s) to whom the shares are transmitted;
2. Legal heirship certificate issued by competent authority;
3. No objection certificate [\(Click Here\)](#) from legal heir(s) in favour of claimant(s);
4. Affidavit [\(Click Here\)](#) from witness about confirmation of will wherever alive or death certificate of such witness;
5. Affidavit [\(Click Here\)](#) with regard to the will as last will and no matter is pending before any court with regard to such will; and
6. Surety affidavit [\(Click Here\)](#) by at least two sureties with their PAN card.



Following documents to be submitted along with Legal heirship Certificate or its equivalent:



1. A notarized Indemnity Bond [\(Click Here\)](#) from the legal heir(s) / claimant(s) to whom the shares are transmitted; and
2. No Objection [\(Click Here\)](#) from all the non-claimants, duly attested by a notary public or by a gazetted officer.

