Instruction Kit for Form No. IEPF-5
(Application to the Authority for claiming unpaid amounts and shares out of Investor Education and Protection Fund (IEPF))

Table of Contents

ABOUT THIS DOCUMENT

This Instruction Kit is designed as a step-by-step guide to assist the user in filling up the webform. This document provides references to law(s) governing the webform, guidelines to access the application, instructions to fill the webform at field level and important check points while filling up the webform along with other instructions to fill the webform.

User is advised to refer to the respective instruction kit for filing of each webform.

This document is divided into following sections:

Click on any section link to refer to the particular section.

1 PART I – LAW(S) GOVERNING THE WEBFORM

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

1.1 Purpose of the webform

Form No. IEPF-5 aims to simplify the process for filing application to the IEPF Authority for claiming unpaid amounts and shares out of Investor Education and Protection Fund (IEPF). The person in respect of whom any amount is transferred to the IEPF, can make an application by filing webform 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.

1.2 Important Check Points while filling up the webform

- ✓ *Please read instructions and guidelines carefully before filling online application webforms.*
- ✓ *Please attach the required mandatory supporting documents in the specified format only.*
- ✓ *Please ensure that applicants of the webform is registered as business user/registered user on the MCA portal before filing the webform.*
- ✓ *Please ensure that the applicant has a valid PAN.*
- ✓ *Please ensure no other IEPF-5 webform has been filed (all pending statuses) /approved, with same source folio number or demat account number as entered in the webform.*
- ✓ *Please ensure CIN / BCIN entered is valid.*
- ✓ *Please note that single name is allowed in applicant name and/or father's name only in case same single name is there in PAN database.*
- ✓ *Please note that the one more claim type is added 'Shares' in "Type of Claim".*
- ✓ *Please note that the user should enter active demat A/c no. containing both DPID and CLIENT ID of 16 digit in case of type of claims shall be selected as 'Shares and 'Amount and Shares'.*
- ✓ *Please provide the correct 'Bank Name' associated with the other prefilled details like IFSC code, MICR code and Bank account number.*
- ✓ *After click on 'Validate' button, the bank details viz, Bank A/c number, IFSC code and MICR Code will be auto prefilled in case of type of claims is selected as 'Shares' and Amount and Shares*
- ✓ *Please select the correct Depository (NSDL/CDSL) as per the Demat A/c no. provided in the form.*
- ✓ *If the space within any of the fields is not sufficient to provide all the information, then additional details can be provided as an optional attachment to the webform.*

2 PART II – ACCESSING FORM NO. IEPF-5 APPLICATION

Application Process for Form No. IEPF-5

2.1.1 Initial Submission

2.1.1.1 Option 1

STEP 1: Access MCA homepage
STEP 2: Login to MCA portal with valid credentials[1]
STEP 3: Select "MCA services"
STEP 4 : Navigate to the header "IEPF related services"
STEP 5: Access "IEPF-5 Web Form-Claiming unpaid amounts & shares"
STEP 6: Fill up the application
STEP 7: Save the webform as a draft (optional)[2]
STEP 8: Submit the webform
STEP 9: SRN is generated upon submission of webform (The SRN can be used by the user for any future correspondence with MCA)
STEP 10: Acknowledgement and indemnity bond are generated
STEP 11: Intimation to the company/bank about application made in webform IEPF-5
STEP 12: Dispatch of documents by the claimant
STEP 13: Submission of postal receipt by the claimant
STEP 14: Pending for E-Verification report

2.1.1.2 Option 2

STEP 1: Access MCA homepage
STEP 2: Access Form No. IEPF-5 through search bar on MCA homepage (website search)[3]
STEP 3: Login to MCA portal with valid credentials
STEP 4: Fill up the application
STEP 5: Save the webform as a draft (optional)[2]
STEP 6: Submit the webform
STEP 7: SRN is generated upon submission of webform (The SRN can be used by the user for any future correspondence with MCA)
STEP 8: Acknowledgement and indemnity bond are generated
STEP 9: Intimation to the company/bank about application made in webform IEPF-5
STEP 10: Dispatch of documents by the claimant
STEP 11: Submission of postal receipt by the claimant
STEP 12: Pending for E-Verification Report

[1] In case Option 1 is selected, the user will have an option to either login immediately after accessing the MCA homepage, or login after selecting "Application to the Authority for claiming unpaid amounts and shares out of Investor Education and Protection Fund (IEPF)" in case the user is not already logged in.
[2] The option to save the webform as a draft shall be enabled once the user enters the CIN / BCIN.
[3] In case Option 2 is selected, the user will have an option to either login immediately after accessing the MCA homepage or login after performing the website search.

3 PART III – INSTRUCTIONS TO FILL THE WEBFORM

3.1 Specific Instructions to fill 'Form No. IEPF-5' at Field Level

Instructions to fill 'Form No. IEPF-5' are tabulated below at field level. Only important fields that require detailed instructions are explained. Self-explanatory fields are not explained.

Field No.	Field Name	Instructions
1	**Entitlement Letter issued by Company/Bank YES or NO**	i. Please Select 'Yes' or 'No' as per availability of Entitlement Letter. ii. If 'Yes' is selected, User has to attach the copy of Entitlement Letter.
2	**If ' Yes' is selected in field no. 1** **Copy of an Entitlement Letter** **Claim is to be filed by** **Self Authorised Representative**	i. Please select any one option as per filing by Self or through authorised representative ii. If selected authorised representative, User has to attach the copy of Authority Letter.
3	**If filing as Authorised Representative** **Signed copy of Authority Letter**	
3(a)	**Applicants' details**	
3(b)	**Particulars of the Applicant** **Category of the Applicant** **Individual Entity**	Select Individual or Entity based on claimant category.
	First Name	i. This field shall be displayed & mandatory in case 'Individual' is selected in field number 1(a) i.e. "Category of Applicant". ii. Both first name and last name fields can't be left blank. iii. Either of the first or last name shall be entered. iv. The name shall be verified based on PAN-Kindly ensure that first name, Middle name and Last name are valid.
3 (c)	Middle Name	
3(d)	Last Name	
3(e)	Father's First Name	
3(f)	Father's Middle Name	
3(g)	Father's Last name	

Field No.	Field Name	Instructions
3(h)	Date of Birth (DD/MM/YYYY)	i. This field shall be displayed & mandatory in case 'Individual' is selected in field number 1(a) i.e. "Category of Applicant". ii. Date entered in this field shall be lesser than the system date and greater or equal to 18 years iii. Shall be verified basis PAN if entered.
(i) (j)	**Entity details** CIN / FCRN / LLPIN / FLLPIN / Registration No.	i. This field shall be displayed and mandatory in case 'Entity' is selected in field number 1(a) i.e. "Category of Applicant". ii. In case the entity is a company- Kindly ensure valid CIN shall be entered. iii. In case the entity is a foreign company- Kindly ensure valid FCRN shall be entered. iv. In case the entity is LLP – Kindly ensure LLPIN shall be entered. v. In case the entity is Foreign LLP – Kindly ensure FLLPIN shall be entered vi. In case the entity is a HUF, sole proprietorship, partnership or any other such entity -Kindly ensure valid Registration number shall be entered.
(k))	Name of Entity	i. This field shall be displayed and mandatory in case 'Entity' is selected in field number 1(a) i.e. "Category of Applicant". ii. This field shall be prefilled on the basis of 'CIN'/'LLPIN'/'FCRN'/'FLLPIN' entered in field number 1(j) i.e. "CIN / FCRN / LLPIN / FLLPIN'' iii. In case wherein this field is not prefilled, then the user needs to manually enter details in this field.
(l)	Date of Incorporation (DD/MM/YYYY)	
3(m)	**Contact Details of Applicant** Address of the applicant Address Line 1 Address Line 2 Country Pin Code/Zip Code Area/Locality City District State/UT	i. This field shall be prefilled on the basis of 'CIN'/'LLPIN'/'FCRN'/'FLLPIN' entered in field number 1(j) i.e. "CIN / FCRN / LLPIN / FLLPIN" ii. In case wherein this field is not prefilled, then the user needs to manually enter details in this field. iii. User has to enter/select the correct details in the mandatory fields.

Field No.	Field Name	Instructions
3(n)	Phone number	'+91' shall be pre-filled and the rest of the 10 characters will be entered by the user.
3(o)	Mobile Number (with Country code)	
	Send OTP	i. Upon clicking on "Send OTP" button, an OTP shall be sent to the mobile number of the applicant. ii. In case the user does not receive OTP within one minute, they can click on "Sent OTP" button again to resend the previous OTP. iii. The OTP send to the mobile number shall be valid for 30 minutes.
1(p)	Enter OTP for mobile number	i. User shall be able to enter OTP, received in the mobile number. ii. The OTP entered should be a valid OTP and match with the system generated OTP.
	Verify OTP	i. Upon clicking on 'Verify OTP' button, mobile number of the applicant will be verified based on the OTP entered by the user.
1(s)	Aadhaar Number	This field shall be displayed in case 'Individual' is selected in field number 1(a) i.e. "Category of Applicant" and mandatory in case of Indian National.
1(s)(i)	Aadhaar Card of the claimant and if joint holders are there, copy of Aadhaar card of all joint holders	i. This attachment shall be displayed and mandatory in case Aadhaar number is entered in field number 1(s) i.e. "Aadhaar Number". ii. The attachment shall be either in pdf or .jpg format. iii. The maximum size allowed for the attachment shall be 2MB.
1(t)	Passport, OCI and PIO card number in case of foreigners and NRI	This field shall be displayed in case 'Individual' is selected in field number 1(a) i.e. "Category of Applicant" and mandatory in case of Foreign National.
1(t)(i)	Copy of Passport, OCI and PIO card in case of foreigners and NRI	i. This attachment shall be displayed and mandatory in case 'Passport'/'OCI'/'PIO card number' is entered in field number 1(t) i.e. "Passport, OCI and PIO card number in case of foreigners and NRI". ii. The attachment shall be either in pdf or .jpg format. iii. The maximum size allowed for the attachment shall be 2MB.

Field No.	Field Name	Instructions
1(u)	PAN of the applicant	i. This field shall be displayed in case 'Individual' is selected in field number 1(a) i.e. "Category of Applicant" and mandatory in case of Indian National. ii. User shall be allowed to enter 10-digit alphanumeric number where first five characters are alphabets, the next four characters are numbers and the last character is also an alphabet -Kindly ensure valid PAN is entered.
	Verify PAN	Upon clicking on this button, applicant's name and DOB shall be verified with the PAN database details.
2(a)	Corporate Identity Number (CIN) / Bank Corporate Identification number (BCIN)	Kindly ensure CIN/BCIN entered in this field is valid and approved.
3(b)	Name of original security holder	These fields shall be enabled & mandatory if 'Yes' is selected in field number 3(a) i.e. "Is it a case covered under rule 7 (8) & 7(9) of IEPF Rules, 2016".
3(c)	Relation of claimant with security holder	
3(d)	Number of Nominee/Legal heirs/ Successors/Administrator/Other holders.	
3(f)	Self-attested copy of death certificate (attested by claimant only)	i. These attachments shall be mandatory if 'Yes' is selected in field number 3(a) i.e. "Is it a case covered under rule 7 (8) & 7(9) of IEPF Rules, 2016". (These are for transmission cases) i. The attachment shall be either in pdf or .jpg format. ii. The maximum size allowed for the attachment shall be 2 MB.
3(g)	Succession certificate/Probate/Will	
3(h)	No Objection Certificate from other holder	
3(i)	Indemnity Bond and surety affidavit	
3(j)	Any other document required under rules	
7(a)	Number of Folio	i. Value entered by user shall be greater than zero in this field.

Field No.	Field Name	Instructions
		ii. Basis the no. entered in field no. 7(a) the number of rows shall be regenerated from field “Type of Holding” to “Number of shares” . iii. Maximum 15 entries are allowed to enter. iv. This field shall be displayed and mandatory when user selects “Amount and Shares” and ‘Shares’ option in Type of Claim.
	Folio No. from which transfer has been made to IEPF	This field shall be displayed and mandatory in case the user selects 'Physical' in field “Type of Holding”.
	Complete Demat account number from which transfer has been made to IEPF	This field shall be displayed and mandatory in case the user selects 'Demat' in field “Type of Holding”.
8(a)	Number of claims	1. Basis the no. entered in field no. 8(a) the number of rows shall be regenerated under this field from “Year wise details of securities/deposits for which the amount is claimed” to “Reason for non-receipt/non-encashment of the instrument of payment”. 2. Maximum 15 entries are allowed to enter.
(b)	**Year wise details of securities/deposits for which the amount is claimed**	This field shall be enabled and mandatory when ‘Amount’ and ‘Amount and Shares’ will be selected
	Folio No. from which transfer has been made to IEPF	This field shall be displayed and mandatory in case the user selects 'Physical' in field “Type of Holding”.
	Complete Demat account number from which transfer has been made to IEPF	This field shall be displayed and mandatory in case the user selects 'Demat' in field “Type of Holding”.
	Amount of the claim	i. Amount entered by user shall be greater than zero in this field.
	Financial year to which claim relates (YYYY-YYYY)	i. User shall be able to select year from the list in the dropdown option. ii. Year selected by user shall be equal to or greater than year of incorporation of company/bank. iii. Date entered by user shall be equal to or less than the system date.
	Reason for non-receipt/ non-encashment of the instrument of payment	User has to select a option from dropdown: A. Change in address B. Death of original investor

Field No.	Field Name	Instructions
		C. Loss of original documents D. Others
9(A)	Name of Depository NSLD CDSL Demat account number in which shares to be credited by company/bank	i. User has to enter active demat no. of 16 digits having both DPID and CLIENT ID in case of claim type 'Shares and Amount and Shares'. ii. If the Demat no. is incomplete, the bank details will not be prefilled. iii. After entering the correct Demat no. and User should click on Validate button to get the bank details prefilled in 9(B).
9(B)	Demat account number in which shares shall be credited	This field shall be displayed and mandatory in case the user selects 'Shares' and 'Amount and Shares' in field number 6 i.e. "Type of claim".
	Attachments	
(a)	Client Master List of De-mat A/c of the claimant / Transaction statement for demat holding	i. The attachments shall be either in pdf or .jpg format. ii. The maximum size allowed for the attachment shall be 2MB.
(b)	Securities Certificate such as 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.)	
(c)	Bank cheque copy	
(d)	Optional Attachments - if any	i. The attachment shall be either in pdf or .jpg format. ii. The maximum size allowed for the attachment shall be 2MB. iii. The user can attach maximum of 5 files in this field.

3.2 Other instructions to fill 'Form No. IEPF-5'

Buttons	Particulars
Choose File	i. Click the "Choose File" button to browse and select a document that is required to be attached as a supporting to Form No. IEPF-5. ii. All attachments should be uploaded in ***pdf or .jpg format.*** The size of each individual attachment can be up to **2MB.** iii. The user has an option to attach multiple files as attachments within the webform.
Remove	The user has an option to remove files from the attachment section using the "Remove" option provided against each attachment.
Download	The user has an option to download the attached file(s) using the "Download" option provided against each attachment.
Save	i. Click on "Save" button for saving the application in a draft webform at any given point in time prior to submitting the webform. ii. The "Save" option will be enabled only after entering the ***CIN / BCIN.*** iii. This is an optional field. iv. On saving the webform, all the information filled in the webform will be saved and can be edited/updated till the time webform is submitted. v. The previously saved drafts can also be accessed (at a later point in time) using the application history functionality.
Submit	i. This is a mandatory field. ii. When the user clicks on the "submit" button the details filled in the webform are auto saved and the system verifies the webform. Incase errors are detected the user will be taken back to webform and all the relevant error messages shall be displayed. iii. In case at the submission of webform no errors are detected by the system the submission will be successful.

4 PART IV – KEY POINTS FOR SUCCESSFUL SUBMISSION

4.1 Fee rules

This section is not applicable.

4.2 Processing Type

Form No. IEPF-5 shall be processed in Conditional-STP mode.

4.3 Useful links

1. Link to access Form No. IEPF-5: *https://www.mca.gov.in/content/mca/global/en/mca/iepf-related-services/IEPF-5.html*
2. FAQ's related to e-filing: *https://www.iepf.gov.in/content/iepf/global/master/Home/HelpAndFAQs/faqs-for-company.html*
3. Payment and Fee related services: *Not Applicable*