

Procedure for claim from Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016

Provisions under the Rules:

Rule 7 of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 as amended from time to time states the following:

- (1) Any person whose shares, unclaimed dividend, matured deposits, matured debentures, application money due for refund, or interest thereon, sale proceeds of fractional shares, redemption proceeds of preference shares etc., has been transferred to the Fund, may claim the shares under proviso to sub-section (6) of section 124 or apply for refund under clause (a) of sub-section (3) of section 125 or under proviso to sub-section (3) of section 125, as the case may be, to the Authority by submitting an online application in Form IEPF-5 available on the website www.iepf.gov.in along with fee specified by the Authority from time to time in consultation with the Central Government.
- (2) The claimant shall after making an application in Form IEPF-5 under rule (1), send the same duly signed by him along with, requisite documents as enumerated in Form IEPF-5 to the concerned company at its registered office for verification of his claim.
- (3) The company shall, within fifteen days from the date of receipt of claim, send a verification report to the Authority in the format specified by the Authority along with all the documents submitted by the claimant.
- (4) After verification of the entitlement of the claimant-
 - (a) to the amount claimed, the Authority and then Drawing and Disbursement Officer of the Authority shall present a bill to the Pay and Accounts Office for e- payment as per the guidelines,
 - (b) to the shares claimed, the Authority shall issue a refund sanction order with the approval of the Competent Authority and shall credit the shares to the DEMAT account of the claimant to the extent of the claimant's entitlement.
- (5) The Authority shall, in its records, cause a note to be made of all the payments made under sub-rule (4).
- (6) An application received for refund of any claim under this rule duly verified by the concerned company shall be disposed off by the Authority within sixty days from the date of receipt of the verification report from the company, complete in all respects and any delay beyond sixty days shall be recorded in writing specifying the reasons for the delay and the same shall be communicated to the claimant in writing or by electronic means.
- (7) In cases, where the application is incomplete or not approved, a communication shall be sent to the claimant and the concerned company by the Authority detailing deficiencies of the application.

- (8) In case, claimant is a legal heir or successor or administrator or nominee of the registered share holder, he has to ensure that the transmission process is completed by the company before filing any claim with the Authority.
- (9) In case, claimant is a legal heir or successor or administrator or nominee of any other registered security or in cases where request of transfer or transmission of shares is received after the transfer of shares by company to the Authority, the company shall verify all requisite documents required for registering transfer or transmission and shall issue letter to the claimant indicating his entitlement to the said security and furnish a copy of the same to the Authority while verifying the claim of such claimant.

(10) The claimant shall file only one consolidated claim in respect of a company in a financial year.

- (11) The company shall be liable under all circumstances whatsoever to indemnify the Authority in case of any dispute or lawsuit that may be initiated due to any incongruity or inconsistency or disparity in the verification report or otherwise and the Authority shall not be liable to indemnify the security holder or Company for any liability arising out of any discrepancy in verification report submitted etc., leading to any litigation or complaint arising thereof.

Procedure for claiming shares and dividend amounts from the Investor Education and Protection Fund Authority:

- 1) Applicant is required to Open a Demat Account with any of the depository as shares will be released by the IEPF Authority in favor of claimants only in the Demat Account of the claimant. (ignore if already opened)
- 2) Download Form IEPF-5 from the website of IEPF (<http://www.iepf.gov.in>).
Read the instructions provided on the website/instruction kit along with the e-form carefully before filling the form.
- 3) Fill the required fields and after filling the form, save it on your computer and submit the duly filled form by following the instructions given in the upload link on the website.
- 4) On successful uploading of Form on MCA Portal, an acknowledgement will be generated indicating the SRN. Please note the SRN for future tracking of the form.
- 5) Take a printout of the duly filled IEPF-5 and the acknowledgement issued after uploading the form.
- 6) Prepare the following documents on a plain paper:
 - i) Indemnity Bond (for format and stamp duty refer page 8 of instruction kit)
 - ii) Advance Stamped receipt (for format refer page 7 of instruction kit) with signature of claimant and two witnesses
- 7) Documents mentioned at point no. 4 and 6 along with a copy of acknowledgement, self-attested copy of e-form and other documents as mentioned in the Form IEPF-5 viz.
 - a) Copy of Aadhaar Card (for Indian Nationals),
 - b) Proof of entitlement (Original Security Certificates/ interest warrant application etc)
 - c) cancelled cheque leaf,

d) Copy of Passport/OCI/PIO card (for Foreigners/ NRI)
be sent to Mr. Joffy George, Company Secretary and Joint General Manager, the Nodal Officer of the Company at the corporate office of the Company in an envelope marked "**Claim for refund from IEPF Authority**".

The Address of the Company is:

TRANSFORMERS AND ELECTRICALS KERALA LIMITED
ANGAMALLY SOUTH, ERNAKULAM,
PIN 683 573
PH.: 0484 2454597

- 8) On receipt of documents, completed in all aspects will be verified by the Nodal officer of the Company and on the basis of company's verification report, refund will be processed by the IEPF Authority in favor of claimants' **Aadhaar linked bank account** through electronic transfer and shares in the Demat Account of the claimant.

After credit of shares in the demat account by the authority you may provide the following documents to INTEGRATED REGISTRY MANAGEMENT SERVICES PRIVATE LIMITED, Registrar and Transfer Agents of the Company at the below mentioned address to claim the other dividends which are still lying unpaid with the Company.

- 1) A request letter duly signed by shareholder
- 2) Copy of PAN CARD duly attested
- 3) Copy of Address Proof duly attested
- 4) Latest client master list in original.

INTEGRATED REGISTRY MANAGEMENT SERVICES PRIVATE LIMITED
2ND FLOOR, KENCES TOWERS
1, RAMAKRISHNA SREET,
T NAGAR,CHENNAI 600 017