

FORM NAME	RULES	PURPOSE	PERSON RESPONSIBLE	COMPLIANCES
IEPF-1 & IEPF-7	Rule 5 (1) or Rule 6 of IEPF	Statement of amounts credited to Investor Education and Protection Fund or transfer of amounts on account of shares transferred to the fund.	Company	<p>Along with a copy of challan / acknowledgement (in case of NEFT) as required, furnish a statement containing details of such transfer to the Authority within 30 days of the submission of the challan.</p> <p>To attached in form "Investor wise details (in excel file)"</p>
IEPF-2	Rule 5 (8) and Rule 7 of IEPF	Statement of unclaimed and unpaid amounts	Company	<p>Intimate the Authority within a period of 90 days after the holding of Annual General Meeting (AGM) or the date on which AGM should have been held or in case of extension of AGM and every year thereafter till completion of 7 years period.</p> <p>To attached in form "Investor wise details (in excel file)"</p>
		Appointment/Update/Cessation of Nodal Officer and Deputy Nodal Officer.		The details of the Nodal Officer and Deputy Nodal Officer duly indicating his or her designation, postal address, telephone and mobile number and company authorized e-mail ID shall be communicated to the Investor Education and Protection Fund Authority in [Form No. IEPF-2] within fifteen days from the date of publication of these rules and the company shall display the name of Nodal Officer and his e-mail ID on its website:

IEPF-3 & IEPF-4	Rule 6 (5) or 6(8), 6A (5), 6A (8) and 6(3) of IEPF	Statement of shares transferred and information of shares & unclaimed or unpaid dividend not transferred to the Investor Education and Protection Fund	Company	After the completion of transfer of shares, furnish a statement to the Authority containing details of such transfer.  To attach in form "Investor wise details" (in excel file) and a Copy of Newspaper advertisement.
IEPF-5	Section 125 (3) of the Companies Act, 2013 and Rule 7 (1) of IEPF	Application to the authority for claiming unpaid amounts and shares out of Investor Education and Protection Fund (IEPF)	Person making application	Any person claiming shares, unclaimed dividend, matured deposits, matured debentures, application money due for refund or interest thereon, sale proceed of fractional shares, redemption proceeds of preference shares, etc. or has been transfer to the fund, make an application along with the fee with the Authority. Any person whose amount referred to in clause (a) to (d) of 205C (2) of the Companies Act, 1956 transferred to IEPF is also entitled to get refund as per proviso of sub section 3 of section 125 of the Companies Act, 2013 by filing Form No. IEPF-5 with the Authority. <b>Attachment to E-form:</b> 1) Client Master List of De-mat A/c of the claimant / Transaction statement for demat holding 2) 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,

				<p>documents for loss of original share certificates as per rules etc.</p> <p>3) Bank cheque copy.</p> <p>After filing of E-form (Investor to submit in physical to Company/Bank following):</p> <ol style="list-style-type: none"> <li>1) Print out of duly filled claim form with claimant signature.</li> <li>2) Copy of acknowledgement.</li> <li>3) Indemnity Bond (original) with claimant signature.</li> <li>4) In case of refund of matured deposit or debenture, original certificate thereto.</li> <li>5) Copy of Aadhaar Card.</li> <li>6) Proof of entitlement (certificate of share/Interest warrant Application No. etc.)</li> <li>7) Cancelled Cheque leaf.</li> <li>8) Copy of Passport, OCI and PI card in case of foreigners and NRI.</li> <li>9) Other optional document,(if any)</li> </ol>
<b>E- verification Report</b>	Rule 7 (9) of IEPF		Company	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 <b>through its e-verification report:</b>