

PROCEDURE FOR CLAIMING UNCLAIMED DIVIDEND/ SHARES FROM INVESTOR EDUCATION PROTECTION FUND (IEPF)

Shareholders of the Company, whose shares along with unclaimed/ unpaid dividend amount has been transferred by the Company to IEPF Authority pursuant to Section 124 of the Companies Act, 2013 read with the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016, may claim their shares, unclaimed/ unpaid dividend amount from IEPF Authority by following procedure either by themselves or by their legal representatives in case of deceased shareholder.

I. CLAIM PROCESS FOR CLAIMANTS:

- (1) The claimant shall register themselves on MCA portal at <https://www.mca.gov.in/content/mca/global/en/foportal/fologin.html>
- (2) After registration, the claimant shall login and fill the web based IEPF-5 form available under MCA Services> IEPF Services> IEPF-5 Web Based Form.
- (3) The Claimant can refer to the Instructions kit by downloading the same from weblink <https://www.iepf.gov.in/content/dam/iepf/pdf/iepf-forms/Instruction-Kit-Form-No-IEPF-5-20240718.pdf> for filing on the online IEPF – 5 form.
- (4) The claimant after submitting web-based form IEPF-5, a unique Serial Reference Number (SRN) will be generated. Keep this number handy for future communication with the MCA/Company.
- (5) The system will generate an acknowledgement receipt for you to download. The Claimant shall send a physical set of the following documents to the Nodal Officer of the Company for verification:
 - a) A copy of duly filled IEPF-5 form to be duly self-attested (including Joint holder(s), if any) along with the annexures submitted with the form.
 - b) A copy of acknowledgement generated after uploading the claim Form IEPF 5.
 - c) Indemnity Bond in original with signature of claimant and witness and after affixing requisite stamp. Requirement of Non-judicial Stamp paper for Indemnity bond is as below:
 - i. In case of claim of only dividend amount:
 - If dividend amount is less than Rs. 10,000, indemnity bond can be executed on a plain paper.
 - If dividend amount is of Rs. 10,000 or more, indemnity bond shall be executed on non- judicial stamp paper of 3% of the dividend amount subject to a maximum of Rs. 500.
 - ii. In case of claim of shares as well as dividend, indemnity bond shall be executed on non-judicial stamp paper of 3% of the value of security subject to a maximum of Rs. 500.

- d) In case shares under claim are held in physical form, original certificate(s) shall be submitted. However, shares under claim are held in physical form and original share certificate is not available, the shareholders are required to submit additional set of documents as detailed in **Annexure-I**
- e) Original cancelled Cheque leaf with the name of shareholder printed on the leaf.
- f) Latest Client Master List copy duly attested by all the claimant(s) and attested by the Depository Participant.
- g) In case any Joint holder is deceased, notarized copy of Death certificate.
- h) KYC Documents:
 - 1. In case of Indian Citizen – to prove the identity of the claimant self- attested copy of Pan Card and Aadhar Card are required to be submitted. In case of non-availability of Aadhar Card for super senior citizens or some specific states, other ID Proofs issued by government clearly mentioning the address of the claimant needs to be submitted.
 - 2. In case of NRI – to prove the identity of the claimant, self-attested copy of Passport or self-attested copy of Overseas Indian Card (OIC) issued by MHA along with any of the documents available with him.
 - 3. In case of foreigners, instead of Aadhar Card, copy of Passport or PIO Card duly apostatized as per Hague Convention.
- i) In case there is mismatch in name mentioned in share certificate and the proofs that are being submitted, an affidavit explaining the such deviation along with marriage certificate or gazette notification, as may be applicable needs to be submitted.
- j) KYC details update with RTA: In case of any mismatch in address, bank details, email address, or contact number, the KYC details need to be updated with the Company/RTA. A duly filled and signed Form ISR-1 must be submitted to the RTA. The form can also be downloaded from the respective websites of the Company and the RTA.
- k) In case of transmission of shares, additional set of documents as mentioned in Annexure-II shall be submitted.

Further, in case of loss of share certificate as well transmission of shares both set of documents as mentioned in **Annexure I** and **Annexure II** shall be submitted.

For further details and formats please refer SEBI's Master Circular No SEBI/HO/MIRSD/POD- 1/P/CIR/2024/37 dated May 7, 2024.

All the documents which are required to be attached in the online IEPF -5 form needs to be provided in original in physical to the nodal officer of the company at the below address:

Ms. Nidhi Bisaria

Nodal Officer

6th Floor, Birla Tower, 25 Barakhamba Road,

New Delhi-110001

Email id: cs@birlanu.com

☎ +91 8977754645

Annexure-I**Additional documents to be submitted in case of loss of share certificates:**

The general norms for processing of documents and the list of documents required for issue of duplicate share certificates are as follows:

- a) Form ISR-4 (Request for issue of duplicate share certificate): It should contain the details of share certificate(s) lost, folio number, number of securities and other relevant information.
- b) Self-attested copy of identity and address proof
- c) Duly notarized indemnity bond and affidavit in the formats as prescribed in SEBI's Master Circular for RTAs SEBI/HO/MIRSD/POD-1/P/CIR/2024/37 dated May 7, 2024.
- d) If the market value of the securities is greater than Rs 5,00,000/- as on the date of submission of application: Copy of FIR including e-FIR/ acknowledged Police complaint, /Court Injunction order / Copy of plaint where the Suit filed has been accepted by the Court and Suit no. has been given, which shall necessarily have details of Date of Loss, Distinctive Number Range, Certificate number.
- e) If the market value of the securities is greater than Rs 15,00,000/- as on the date of submission of application- Issuance of advertisement in a widely circulated newspaper regarding loss of securities.

Note: The value of securities to be reckoned on the basis of the closing price of such securities at any one of the recognized stock exchanges a day prior to the date of such submission in the application.

An overseas securities holder, in lieu of the documents mentioned in (d) above, shall provide self-declaration of the security certificates lost/misplaced/stolen which shall be 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.

Annexure-II

Additional documents to be submitted in case of transmission

In case, the claimant is a legal heir/ representative of the deceased shareholder, he/she is required to submit the following additional documents:

➤ Where nomination is registered:

1.	Duly signed transmission request form ISR-5 by the nominee.
2.	Copy of death certificate attested by the nominee subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer;
3.	Self-attested copy of PAN card of nominee
4.	Any other government Id proof of nominee for address verification
5.	Original Share Certificate (if shares are in physical mode) or in case of loss of share certificate, additional documents as mentioned in Annexure I.
6.	Copy of transaction statement of demat account of legal heir showing credit of shares of the Company duly certified by depository participant
7.	<p>a notarized affidavit from all legal heir(s)/claimant(s) made on non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the securities.</p> <p>However, in case the legal heir(s)/claimant(s) are named in the Succession Certificate or Probate of Will or Will or Letters of Administration as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925) or Legal Heirship Certificate or its equivalent certificate issued by a competent Government Authority, an affidavit from such legal heir(s)/claimant(s) alone shall be sufficient.</p>
8.	<p>copy of Succession Certificate or Probate of Will or Will or Letters of Administration or Court Decree as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925) or Legal Heirship Certificate or its equivalent certificate issued by a competent Government Authority along with (i) a notarized indemnity bond from the legal heir o(s)/claimant(s) to whom the securities are transmitted, as per the format; and (ii) No Objection from all the non-claimants, as per the format.</p> <p>When submitting a copy of the Will, the claimant must provide a notarized indemnity bond instead of Legal heirship certificate issued by Competent Authority, NOC from all legal heirs, affidavit from a witness confirming the Will, affidavit stating it is the last Will with no pending court matters, and surety affidavits from two individuals with their PAN cards.</p> <p>The above 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.</p>
9.	For cases where the value of securities is up to rupees five lakh; in case of securities held in physical mode and up to rupees fifteen lakhs per beneficial owner in case of securities held in dematerialized mode, instead of and where the documents mentioned in point 8 above are not available, the following documents may be submitted;

	<ul style="list-style-type: none">➤ no objection certificate from all legal heirs(s), in as per the format provided in the SEBI Master circular dated May 7, 2024, or copy of family settlement deed executed by all the legal heirs, duly attested by a notary public or by a gazetted officer; and.➤ notarized indemnity bond made on non-judicial stamp paper of appropriate value, indemnifying the Share Transfer Agent/listed entity.
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Contact details:

In case you have any query or need assistance in this regard, please contact the Company or to the following address:

Nodal Officer**BirlaNu Limited**

6th Floor, Birla Tower, 25 Barakhamba Road,
New Delhi-110001

✉ cs@birlanu.com

☎ +91 8977754645

Registrar & Share Transfer Agents:**Venture Capital and Corporate Investments Pvt. Ltd.,**

“AURUM”, 4th & 5th Floors, Plot No.57,
Jayabheri Enclave Phase – II, Gachibowli,
Hyderabad – 500032

☎ +91-40-23818475/ 23818476/35164940

✉ investor.relations@vccipl.com

<https://www.vccipl.com/>