

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 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



- i. Claimant(s) to open a Demat Account in the same manner in which his / their name appears on Share Certificate (In case the shares are held physically).
- ii. Claimant to download the Form IEPF-5 for filing the claim for refund. (Link: <http://iepf.gov.in/IEPF/refund.html>.) Claimant(s) may refer to FAQ (Link: <http://iepf.gov.in/IEPF/pdf/FAQsIEPF5.pdf>) before uploading the Form.
- iii. After uploading the duly filled in Form the Claimant(s) to mail the uploaded Form and Service Request Number (SRN) of the Form to the Nodal Officer of the Company for verification of claim at Email ID: hitesh.kanani@alokind.com
- iv. Claimant(s) to send original physical share certificate(s) (in case of shares held in demat mode a copy of transaction statement duly certified by Depository Participant), #Indemnity Bond ([Click here](#)), any other document attached with the Form IEPF - 5 duly signed to the Nodal Officer of the Company at Registered Office Address: Alok Industries Limited, 17/5/1, 521/1, Village Rakholi/ Saily, Silvassa-396230, Union Territory of Dadra and Nagar Haveli, for verification of the claim in an envelope marked **“Claim for refund from IEPF Authority”**.

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- # Required on a non- judicial stamp paper of appropriate value as prescribed by respective State Stamp Act, if the claim is:
- for dividend amount exceeding Rs. 10,000 (for dividend amount less than Rs. 10,000 – on a plain paper)
 - 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 OR SUCCESSOR
OR ADMINISTRATOR OR NOMINEE OF THE REGISTERED
SHAREHOLDER OF THE COMPANY



B

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



Shares held Singly / Jointly held with Nomination

- i. Claimant(s) to open a Demat Account in consultation with Depository Participant, in case the shares are held physically.
- ii. Claimant(s) to download the Form IEPF-5 for filing the claim for refund. (Link: <http://iepf.gov.in/IEPF/refund.html>.) Claimant(s) may refer to FAQ (Link: <http://iepf.gov.in/IEPF/pdf/FAQsIEPF5.pdf>) before uploading the Form.
- iii. After uploading the duly filled in Form the claimant(s) to mail the uploaded Form and Service Request Number (SRN) of the Form along with self-attested scan copy of documents mentioned (in a to d) below to the Nodal Officer of the Company for verification of claim at Email ID: hitesh.kanani@alokind.com
- iv. Claimant to send original physical share certificate(s) (in case of shares held in demat mode a copy of transaction statement duly certified by Depository Participant), #Indemnity Bond ([Click here](#)), any other document attached with the Form IEPF - 5 duly signed to the Nodal Officer of the Company at Registered Office Address: Alok Industries Limited, 17/5/1, 521/1, Village Rakholi/ Saily, Silvassa-396230, Union Territory of Dadra and Nagar Haveli, for verification of the claim in an envelope marked **“Claim for refund from IEPF Authority”** along with:
 - a. Duly signed transmission request form by the claimant(s).
 - b. Copy of** death certificate of security holder attested by the claimant(s).
 - c. Self-attested copy of PAN card.
 - d. Any other government ID proof of the claimant(s).

** In case of Joint Shareholding, Copy of duly attested Death certificates of all Joint holders shall be submitted.

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- for dividend amount exceeding Rs. 10,000 (for dividend amount less than Rs. 10,000 – on a plain paper)
- 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 OR SUCCESSOR OR ADMINISTRATOR OR NOMINEE OF THE REGISTERED SHAREHOLDER OF THE COMPANY



Shares held Singly / Jointly held without Nomination

- i. Claimant(s) to open a Demat Account in consultation with Depository Participant, in case the shares are held physically.
- ii. Claimant(s) to download the Form IEPF-5 for filing the claim for refund. Link:<http://iepf.gov.in/IEPF/refund.html>.) Claimant(s) may refer to FAQ (Link: <http://iepf.gov.in/IEPF/pdf/FAQsIEPF5.pdf>) before uploading the Form
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 - a. Duly signed transmission request form by the claimant(s).
 - b. Copy of** death certificate of security holder attested by the claimant(s).
 - c. Self-attested copy of PAN card.
 - d. Any other government ID proof of the claimant(s)
 - e. *Indemnity Bond ([Click here](#)) and Affidavit from all legal heirs ([Click here](#)).
 - f. ***Succession Certificate / Probate of Will / @Will / Letter of Administration / Decree in terms of Indian Succession Act, 1925 or any other Decree or Order of any Court or Tribunal.

* If the legal heir(s) or claimant(s) is named in the Succession Certificate or Probate of Will or Letter of Administration, an Affidavit from such legal heir(s)/ claimant(s) alone would be sufficient.

** In case of Joint Shareholding, Copy of duly attested Death certificates of all Joint holders shall be submitted.

*** If the Market Value of the shares of Alok Industries Limited as on the date of Filing the Form is upto or less than Rs. 2 Lac and if Succession Certificate / Probate of Will / Will / Letter of Administration / Decree in terms of Indian Succession Act, 1925 or any other Decree or Order of any Court or Tribunal is not available then NOC ([Click here](#)) executed by all legal heir(s) of the deceased shareholder(s)/ copy of Family Settlement Deed duly notarized AND An Indemnity bond ([Click here](#)) shall be provided.

Required on a non- judicial stamp paper of appropriate value as prescribed by respective State Stamp Act, if the claim is:

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

@ Following documents shall be provided along with Will:

(a) Legal heirship certificate issued by Competent Authority; (b) NOC from all legal heirs in favour of the claimant; (c) Affidavit from witness about confirmation of will wherever alive or death certificate of such witness; (d) Affidavit with regard to the will as last will and no matter is pending before any court with regard to such will; (e) Surety affidavit by at least two sureties with their PAN Card.



C

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





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



Shares held Singly / Jointly held with Nomination

- i. Claimant(s) to open a Demat Account in consultation with Depository Participant, in case the shares are held physically.
- ii. Claimant(s) to download the Form IEPF-5 for filing the claim for refund. (Link: <http://iepf.gov.in/IEPF/refund.html>.) Claimant(s) may refer to FAQ (Link: <http://iepf.gov.in/IEPF/pdf/FAQsIEPF5.pdf>) before uploading the Form
- iii. After uploading the duly filled in Form the Claimant (s) to mail the uploaded Form and Service Request Number (SRN) of the Form along with self – attested scan copy of documents mentioned (in a to h) below to the Nodal Officer of the Company for verification of claim at Email ID: hitesh.kanani@alokind.com
- iv. Claimant to send #Indemnity Bond ([Click here](#)), any other document attached with the Form IEPF - 5 duly signed to the Nodal Officer of the Company at Registered Office Address: Alok Industries Limited, 17/5/1, 521/1, Village Rakholi/ Saily, Silvassa-396230, Union Territory of Dadra and Nagar Haveli, for verification of the claim in an envelope marked “**Claim for refund from IEPF Authority**” along with :
 - a. Duly signed transmission request form by the claimant(s).
 - b. Copy of** death certificate of security holder attested by the claimant(s).
 - c. Self-attested copy of PAN card.
 - d. Any other government ID proof of the claimant(s).
 - e. Letter requesting issue of Duplicate Shares along with self attested copy of FIR/ Police Compliant containing information of security holder, holding details, folio number and distinctive numbers of share certificate.
 - f. Surety Affidavit along with his Proof of identity like Pan Card of sureties duly attested by Notary. ([Click here](#)).
 - g. Indemnity bond ([Click here](#)) attested by Notary Public that he has not sold / disposed off the shares or acted in any manner by which any interest of third party would have been created.
 - h. ****Copy of advertisement ([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 Company.

** In case of Joint Shareholding, Copy of duly attested Death certificates of all Joint holders shall be submitted.

**** Only if the market value of the shares is greater than Rs. 5,00,000.

Required on a non- judicial stamp paper of appropriate value as prescribed by respective State Stamp Act, if the claim is:
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 - e. *Indemnity Bond ([Click here](#)) and Affidavit from all legal heirs. ([Click here](#)).
 - f. ***Succession Certificate / Probate of Will / @Will / Letter of Administration / Decree in terms of Indian Succession Act, 1925 or any other Decree or Order of any Court or Tribunal.
 - g. Letter requesting issue of Duplicate Shares along with self attested copy of FIR/ Police Complaint containing information of security holder, holding details, folio number and distinctive numbers of share certificate
 - h. Surety Affidavit ([Click here](#)) along with his Proof of identity like Pan Card of sureties duly attested by Notary.
 - i. Indemnity bond ([Click here](#)) attested by Notary Public that he has not sold / disposed off the shares or acted in any manner by which any interest of third party would have been created.
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* If the legal heir(s) or claimant(s) is named in the Succession Certificate or Probate of Will or Letter of Administration, an Affidavit from such legal heir(s)/ claimant(s) alone would be sufficient.

** In case of Joint Shareholding, Copy of duly attested Death certificates of all Joint holders shall be submitted.

*** If the Market Value of the shares of Alok Industries Limited Limited s as on the date of Filing the Form is upto or less than Rs. 2 Lac and if Succession Certificate / Probate of Will / Will / Letter of Administration / Decree in terms of Indian Succession Act, 1925 or any other Decree or Order of any Court or Tribunal is not available then NOC ([Click here](#)) executed by all legal heir(s) of the deceased shareholder(s)/ copy of Family Settlement Deed duly notarized AND An Indemnity bond ([Click here](#)) shall be provided.

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@ Following documents shall be provided along with Will:

- (a) Legal heirship certificate issued by Competent Authority;
- (b) NOC from all legal heirs in favour of the claimant;
- (c) Affidavit from witness about confirmation of will wherever alive or death certificate of such witness;
- (d) Affidavit with regard to the will as last will and no matter is pending before any court with regard to such will;
- (e) Surety affidavit by at least two sureties with their PAN Card.

