

PROCEDURE FOR REFUND FROM IEPF AUTHORITY

Any person, whose unclaimed or unpaid amount has been transferred by the Company to IEPF Authority pursuant to Section 125 of the Companies Act, 2013 read with the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016, may claim their refunds from the IEPF authority by submitting an online application in Form No. IEPF-5 (Application to the Authority for claiming unpaid amounts and shares out of Investor Education and Protection Fund) along with other necessary documents.

Procedure of filing e-form IEPF-5 and intimation to the company:

1. Claimant(s)/ Shareholder(s) are advised to approach to the Company/ Company's Registrar and Transfer Agent, ("RTA") for issue of Entitlement letter along with all the required documents before filing of IEPF-5 claim form with IEPF Authority.
2. Once the Entitlement letter is received from the Company/RTA, then please access web form IEPF-5 available on the website mca.gov.in for filing the claim for refund. Read the instructions provided on the MCA website/instruction kit along with the web form carefully before filling the form.
3. Documents to be submitted to the Authority to register transmission of securities

i. Where the securities are held singly with nomination:

- Duly signed transmission request form by the claimant
- Copy of death certificate of security holder attested by claimant.
- Self-attested copy of PAN card.
- Copy of transaction statement duly certified by Depository Participant.
- Any other government ID proof of the nominee.

ii. Where the securities are held singly without nomination, the following documents in addition to the documents specified at paragraph i are required:

- Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities.

In case 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) or claimant(s) alone would be sufficient.

- For value of securities upto Rs. 15,00,000 (rupees fifteen lakhs only) per issuer company as on date of application, one or more of the following documents:
 - (a) Succession certificate or probate of will or will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. or any other Decree or Order of any Court or Tribunal or legal heir certificate issued by the revenue authority not below the rank of Tahsildar having jurisdiction.
 - (b) In the absence of the documents as mentioned at (a) above,
 - (i) No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed duly notarized
 - And**
 - (ii) An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.

For value of securities more than Rs. 15,00,000 (rupees fifteen lakhs only) per issuer company as on date of application:

Succession certificate or probate of will or will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925 or any other Decree or Order of any Court or Tribunal or legal heir certificate issued by the revenue authority not below the rank of Tahsildar having jurisdiction.

- In cases where a copy of Will is submitted as may be applicable in terms of the Indian Succession Act, 1925 the same shall be accompanied with a notarised indemnity bond from the claimant to whom the securities are transmitted.
- In cases where a copy of legal heir certificate issued by the revenue authority not below the rank of Tahsildar having jurisdiction is submitted, the same shall be accompanied with—
 - a notarised indemnity bond from the legal heir or claimant to whom the securities are transmitted; and
 - a no objection certificate from all legal heirs other than claimants, stating that they have relinquished their rights to the claim for transmission of securities, duly attested by a notary public or by a gazetted officer.

iii. Where the securities are held jointly with nomination:

- Duly signed transmission request form by the claimant.
- Copy of death certificate of security holder attested by claimant.
- Self-attested copy of PAN card.
- Copy of transaction statement duly attested by Claimant.
- Any other government ID proof of the nominee.

iv. Where the securities are held jointly without nomination, the following documents in addition to the documents specified at paragraph iii above are required:

- Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities:
- In case 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) or claimant(s) alone would be sufficient.
- For value of securities upto Rs. 15,00,000 (rupees fifteen lakhs only) per issuer company as on date of application, one or more of the following documents, namely:-

(a) Succession certificate or probate of will or will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. (39 of 1925) or any other Decree or Order of any Court or Tribunal 33[or legal heir certificate issued by the revenue authority not below the rank of Tahsildar having jurisdiction.

(b) In the absence of the documents as mentioned at (a) above,

- (i) No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed duly notarized
And
- (ii) An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.

For value of securities more than Rs. 15,00,000 (rupees fifteen lakhs only) per issuer company as on date of application:

Succession certificate or probate of will or will or letter of administration or Decree, as may be applicable in terms of Indian Succession Act, 1925. or any other Decree or Order of any Court or Tribunal or legal heir certificate issued by the revenue authority not below the rank of Tahsildar having jurisdiction.

- In cases where a copy of Will is submitted as may be applicable in terms of the Indian Succession Act, 1925, the same shall be accompanied with a notarised indemnity bond from the claimant to whom the securities are transmitted.
- In cases where a copy of legal heir certificate issued by the revenue authority not below the rank of Tahsildar having jurisdiction is submitted, the same shall be accompanied with:
 - a notarised indemnity bond from the legal heir or claimant to whom the securities are transmitted;
 - a no objection certificate from all non-claimants, stating that they have relinquished their rights to the claim for transmission of securities, duly attested by a notary public or by a gazetted officer.

4. After filling the form, submit the duly filled form (pending for 'Submit Postal Receipt Details'). A system generated Acknowledgement mail along with Indemnity Bond will be received indicating the Service Request Number ("SRN"). Please note the SRN for future tracking of the form.
5. After submitting the details of Postal Submission of documents. The web form will be submitted successfully.
6. Submit the following documents Nodal Officer (for IEPF purpose) of the Company, in an envelope marked Claim for refund from IEPF Authority" for initiating the verification for claim:
 - a. Print out of duly filled and uploaded claim form IEPF-5; with claimant signature and if joint holders are involved than the Form should be signed by all the joint holders (on all pages);
 - b. Copy of acknowledgement generated after uploading the claim Form IEPF-5;
 - c. Original Indemnity Bond (auto generated after uploading the claim Form IEPF-5 with IEPF Authority) with signature of all claimants and witnesses.

Please ensure to enter date, place and Signature of claimant(s) and witness with their addresses.

Requirement of nonjudicial 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 Rs. 10,000/- or more, non-judicial stamp paper of appropriate value as prescribed under Stamp Act according to State.

ii. In case of claim of shares and dividend both: -

non-judicial stamp paper of appropriate value as prescribed under Stamp Act according to State.

- d. Self-attested copy of Aadhar Card of the claimant and if there are joint holders, the copy of Aadhar card of all the joint holders is required.
- e. Self-attested copy of PAN Card of the claimant and if there are joint holders, the copy of PAN card of all the joint holders is required.
- f. Original Cancelled Cheque leaf containing name of the claimant(s). If name of claimant not printed on cheque, provide self-attested copy of first page of passbook.
- g. Client Master List (CML) of Demat Account of the claimant, duly self-attested by all the claimants and attested by the Depository Participant.
- h. Original Share Certificate(s) of face value of Re. 1 each, if shares held in physical form are being claimed.
- i. Transaction Statement of demat account (In case where shares are in demat form are being claimed), wherein showing debit/ transfer of shares to IEPF, duly self-attested by all the claimants and attested by the Depository Participant.
- j. Entitlement letter issued by the Company/RTA.
- k. Self-attested copy of Passport, OCI and PIO card in case of foreigners and NRI.
- l. Proof of entitlement (certificate of share/Interest warrant/dividend warrant, Application No. etc.)
- m. In case any Joint holder is deceased, certified true copy of Death certificate to be attached.
- n. Other additional documents, in case of:
 - (i) Address mismatch as per Company's records, please submit an Affidavit to this effect.
 - (ii) Change in name in KYC documents, please submit an Affidavit to this effect.
 - (iii) Any other additional documents related to claim, if any.

On receipt of all original documents complete in all respects and if found in order, the Company shall submit the online Verification Report to the IEPF Authority and on the basis of said Verification Report, refund may be released by the IEPF Authority in favour of claimants' Aadhaar linked bank account through electronic transfer in case of amount is being claimed and in case of shares are being claimed, the same may be credited to shareholder's demat account by IEPF.

Details of Nodal Officer appointed under Investor Education and Protection Fund Authority (IEPFA)
Rules, 2016

Name of the Company: Clix Capital Services Private Limited

Name	Designation	Address	Email ID
Vinu R Kalra	Company Secretary & Compliance Officer	6th Floor, Good Earth Business Bay- II, Sector - 58, Gurugram, Haryana- 122102	Vinu.Kalra@clix.capital