



Procedures for claiming shares and dividends from 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, all shares in respect of which dividend has remained unpaid/unclaimed for seven consecutive years shall be transferred to the Investor Education Protection Fund ('IEPF').

In the event of transfer of shares and the unclaimed dividends to IEPF, members are entitled to claim the shares and unclaimed dividend amount from IEPF authority.

Given below are the steps that the Members are required to follow, in order to claim their shares and unclaimed dividends from IEPF:

STEP 1:

- a. Duly signed request letter to be furnished by the claimant for claiming the shares and dividends from IEPF.
- b. Upon the receipt of request letter, the signature of the claimant shall be verified by the Company/RTA.

STEP 2:

Upon due verification of signature, the following shall be called from the claimants for the purpose of issuing entitlement letter:

1. Indemnity Agreement as per IEPF Format.
2. Self Attested copy of the PAN Card.
3. Self Attested copy of the Aadhaar Card. For NRI'S Passport.
4. Original Cancelled Cheque with the name of Claimant appearing on the same.
5. Self Attested copy of Old Address Proof.
6. Original share certificates.
7. Self Attested copy of the Client Master List.
8. In case of Demat Account the self attested copy of the Client Master list from where the shares have been transferred.
9. Affidavit for Change in Signature along with the Supporting (if signature differs).
10. In case of transmission, documents specified as per Schedule-II of Investor Education and Protection Fund Authority (Accounting, audit, Transfer and Refund) Second Amendment Rules, 2019
11. In case of loss of securities held in physical mode, documents specified as per Schedule-III of Investor Education and Protection Fund Authority (Accounting, audit, Transfer and Refund) Second Amendment Rules, 2019
12. Any other document for due diligence (if required).

STEP 3:

Upon the receipt and scrutiny of the above mentioned documents:

- a. In case of any discrepancies in documents, the same shall be returned to the claimant

TATA ELXSI

Registered Office **Tata Elxsi Limited** ITPB Road Whitefield Bangalore 560 048 India

Tel +91 80 2297 9123 Fax +91 80 2841 1474

www.tataelxsi.com



- b. If the documents are in order; the original documents shall be forwarded to the company for the issuance of Entitlement Letter.

The Company shall provide the Entitlement Letter duly signed by the Nodal Officer/Deputy Nodal Officer to the Claimant along with the details of unpaid/unclaimed dividend and procedures to file Form IEPF -5

STEP 4:

Upon receipt of Entitlement letter, the claimant is required to file online Form IEPF -5 at the MCA portal <https://www.mca.gov.in/mcafoportal/run/iepf5> with the supporting documents and furnish hard copy of self-attested copy of Form IEPF-5 and challan generated along with supporting documents to the Company within a period of 15 days of uploading Form IEPF-5. Further the investor details provided in Form IEPF-5 should match with the details provided in the supporting documents submitted with RTA/Company.

STEP 5:

Upon the receipt of self-attested copy of Form IEPF -5 and challan, the Company / RTA shall verify the details of the claim and various documents submitted by the claimant and submit the original documents along with the enclosures received from the Shareholder/ Claimant with e-verification report to IEPF authority.

STEP 6:

On the basis of e-verification report and the documents submitted by Tata Elxsi Limited, IEPF Authority, would either

- i) Approve the claim, OR
- ii) Ask the shareholder to resubmit the required documents in case of any discrepancy.

STEP 7:

In case IEPF Authority request the shareholder to resubmit any documents, shareholders to forward the required documents to the Nodal Officer.

On receipt of the revised documents from the shareholder, Nodal Officer would forward the e-verification Report to IEPF Authority for settlement of the claim of the shareholder

Note:

1. The entire process of issue of entitlement letter/returning documents under objection for rectification to be completed within the timelines stipulated by IEPF.
2. No Claim shall lie against the Company in respect of unclaimed dividend and shares transferred to IEPF pursuant to the IEPF Rules.
3. In case any SRN has been generated prior to the Issue of Entitlement Letter the same shall be rejected.

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