



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection
Fund)

Table of Contents

1	PART I – LAW(S) GOVERNING THE WEBFORM.....	3
1.1	Purpose of the webform	3
1.2	Important Check Points while filling up the webform.....	3
2	PART II – ACCESSING FORM NO. IEPF-1A APPLICATION	4
2.1	Application Process for Form No. IEPF-1A	4
3	PART III – INSTRUCTIONS TO FILL THE WEBFORM.....	5
3.1	Specific Instructions to fill ‘Form No. IEPF-1A’ at Field Level	5
3.2	Other instructions to fill ‘Form No. IEPF-1A’	8
4	PART IV – KEY POINTS FOR SUCCESSFUL SUBMISSION.....	9
4.1	Fee rules.....	9
4.2	Processing Type.....	9
4.3	Useful links.....	9
5	PART V – Annexures	10
5.1	Annexure A – Template - Investor wise details.....	10



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection
Fund)

ABOUT THIS DOCUMENT

This Instruction Kit is designed as a step-by-step guide to assist the user in filling up the webform. This document provides references to law(s) governing the webform, guidelines to access the application, instructions to fill the webform at field level and important check points while filling up the webform along with other instructions to fill the webform.

User is advised to refer to the respective instruction kit for filing of each webform.

This document is divided into following sections:



Part I – Law(s) governing the webform



Part II– Accessing Form No. IEPF-1A application



Part III – Instructions to fill the webform



Part IV – Key points for successful submission

Click on any section link to refer to the particular section.



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection Fund)

PART I – LAW(S) GOVERNING THE WEBFORM

Pursuant to rule [5\(4A\)](#) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016]

Purpose of the webform

Form No. IEPF-1A aims to simplify the process for filing ‘statement of amounts credited to IEPF’ by a company/bank with IEPFA.

The companies/banks which have transferred any amount referred to in clauses (a) to (d) of sub-section (2) of section 205C of the Companies Act, 1956 (1 of 1956) to Investor Education and Protection Fund, shall submit details mentioned in Rule 5(4) in Form IEPF-1A. The statement to be furnished under sub-rule (1) shall be in spread Sheet called IEPF-1A information sheet.

1.1 Important Check Points while filling up the webform

- ✓ Please read instructions and guidelines carefully before filling online application webforms.
- ✓ Please attach the required mandatory supporting documents in the specified format only.
- ✓ Please ensure that applicant of the webform is registered at the MCA portal before filing the webform.
- ✓ Please note that the company / bank for which the webform is being filed shall be registered with MCA and shall have a valid and approved CIN / BCIN.
- ✓ Please ensure the signatories to the webform shall have an approved DIN or valid PAN/ Membership number as applicable.
- ✓ Please ensure that the DIN entered is not flagged for disqualification.
- ✓ Please note that the signing authority of the webform shall have valid and non-expired/non-revoked DSC.
- ✓ Please ensure that the DSC of the signatory attached in the webform is registered on MCA portal against the DIN/PAN/Membership number as provided in the webform.
- ✓ If the space within any of the fields is not sufficient to provide all the information, then additional details can be provided as an optional attachment to the webform.
- ✓ Please ensure that amount entered in field number 3(c) i.e. “Amount credited to the fund (in Rs.)” and field number 4 i.e. “Details of the amount credited to the fund” shall match with the amount earlier transferred through the SRN entered in field number 2(a) i.e. “SRN of Form IEPF-1/ Form -1 INV”.
- ✓ Please ensure that the Approved SRN of Form No. IEPF-1 entered in field number 2(a) i.e. “SRN of Form IEPF-1/ Form -1 INV” was filed before notification of the second amendment rules i.e. 19 August 2019.
- ✓ Please note that SRN number of Form No. IEPF-1 / Form -1 INV is required in Form No. IEPF-1A
- ✓ Please ensure that Form No. IEPF-1A application is not already filed for the SRN of Form No. IEPF-1/1-INV entered in field number 2(a) i.e. “SRN of Form IEPF-1/ Form -1 INV”.
- ✓ Please note that the total amount captured in table for each financial year and in-total (field 4[a, b, c, d, e, f, g, and i]) matches with the total amount entered in investor-wise details excel attachment.



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection
Fund)

- ✓ Please ensure that the size of the each excel template uploaded showing the investor wise details does not exceed 20 MB.

2 PART II – ACCESSING FORM NO. IEPF-1A APPLICATION

2.1 Application Process for Form No. IEPF-1A

2.1.1 Initial Submission

2.1.1.1 Option 1

STEP 1: Access MCA homepage

STEP 2: Login to MCA portal with valid credentials¹

STEP 3: Select “MCA services”

STEP 4: Select “IEPF related Services”

STEP 5: Navigate to the form “IEPF-1A”

STEP 6: Fill up the application.

STEP 7: Save the webform as a draft (optional)²

STEP 8: Submit the webform.

STEP 9: SRN is generated upon submission of webform (The SRN can be used by the user for any future correspondence with MCA)

STEP 10: Pending for Investor details validation

STEP 10: Download PDF

STEP 11: Affix the DSC

STEP 12: Upload the DSC affixed pdf document

STEP 13: Pay Fees (zero fee)

STEP 14: Acknowledgement is Generated

2.1.1.2 Option 2

STEP 1: Access MCA homepage

STEP 2: Access Form No. IEPF-1A through search bar on MCA homepage (website search)⁶

STEP 3: Login to MCA portal with valid credentials

Follow Steps 6 to 14 as mentioned in Option 1

¹ In case Option 1 is selected, the user will have an option to either login immediately after accessing the MCA homepage, or login after selecting “Statement of amounts credited to IEPF or transfer of amounts on account of shares transferred to the fund” in case the user is not already logged in.

² The option to save the webform as a draft shall be enabled once the user enters the CIN / BCIN.

⁶ In case Option 2 is selected, the user will have an option to either login immediately after accessing the MCA homepage or login after performing the website search.



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection Fund)

3 PART III – INSTRUCTIONS TO FILL THE WEBFORM

3.1 Specific Instructions to fill ‘Form No. IEPF-1A’ at Field Level

Instructions to fill ‘Form No. IEPF-1A’ are tabulated below at field level. Only important fields that require detailed instructions are explained. Self-explanatory fields are not explained.

Field No.	Field Name	Instructions
1 (a)	Corporate identity number (CIN) / Bank Corporate Identification number (BCIN)	i. In case of company/bank users, CIN/BCIN of company/bank shall be pre-filled based on the user id. ii. In case of professional users, a search option shall be provided to search the CIN/BCIN basis the company/bank name. Either full name of the company/bank or partial name can be used to search the company/bank. iii. In case of other business users, a dropdown option is provided containing the list of CIN/BCIN with which the user is associated. iv. In all the other cases, wherein the details are not being prefilled, then the user shall have to manually enter CIN/BCIN of the company/bank in this field.
2 (a)	SRN of Form IEPF-1/ Form -1 INV	i. SRN entered in this field shall be valid SRN of Form No. IEPF-1/1-INV of the company/bank whose CIN/BCIN is entered in field number 1(a) i.e. “Corporate identity number (CIN) / Bank Corporate Identification number (BCIN)”. ii. This field shall be displayed and enabled in case ‘Payment made through form IEPF 1’ or ‘Payment made through form 1-INV’ is selected in field number 2 i.e. “Form through which payment was made”.
3(a)	Challan No/Service Request number (SRN) in respect of payment made to the fund	i. Challan No/Service Request number (SRN) in respect of payment made to the fund shall be prefilled based on the SRN entered in field number 2(a) i.e. “SRN of Form IEPF-1/ Form -1 INV”. ii. In all the other cases, wherein the details are not being prefilled, then the user shall have to manually enter details in this field. iii. The user shall not be allowed to enter Z series SRN.
3(c)	Amount credited to the fund (in Rs.)	i. Amount credited to the fund shall be prefilled based on the SRN entered in field number 2(a) i.e. “SRN of Form IEPF-1/ Form -1 INV”. ii. In all the other cases, wherein the details are not being prefilled then, the user shall have to manually enter details in this field.



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection Fund)

Field No.	Field Name	Instructions
3(d)	Mode of payment	i. Amount credited to the fund shall be prefilled based on the SRN entered in field number 2(a) i.e. “SRN of Form IEPF-1/ Form -1 INV”. ii. In all the other cases, wherein the details are not being prefilled, then the user shall have to manually enter details in this field.
4	Total	i. This field shall be prefilled based on the sum of total amount of all field numbers from 5(a) to 5(k) i.e. from “Amount in the unpaid dividend accounts of companies/banks” to “Others”. ii. The amount entered in this field by the user shall be greater than zero and shall be equal to the amount mentioned in field number 3(c) i.e. “Amount credited to the fund (in Rs.)”.
5	Financial year to which the amount relates	This field shall be prefilled based on the SRN entered in field number 2(a) i.e. “SRN of Form IEPF-1/ Form -1 INV”.
	Attachments	All the attachments shall be either in pdf or.jpg or excel format.
(a)	Investor wise details (excel file)	i. The attachment shall be in excel format. ii. The maximum size allowed for each excel attachment is 20 MB and total 40 excel files are allowed. iii. System will take 15 minutes (approx) on a standard laptop, with the configuration i.e. Intel i5 system and 16 GB RAM (with no other programs active and connected to power), to perform all validations and compute the total amount across all “Investor Types on 1 excel file of 20 MB file with approximately 3 Lac rows of data
(b)	Copy of Challan	i. The attachment shall be either in pdf or .jpg format. ii. The maximum size allowed for the attachment shall be 2 MB.
(c)	Optional attachment(s), (if any)	i. This field can be used to provide any other information. ii. The attachment shall be either in pdf or .jpg format. iii. Please note that the user has an option to upload up to five optional attachments. iv. The maximum size allowed for the attachment shall be 2 MB.
	To be digitally signed by	In case wherein BCIN is entered in field number 1(a) i.e. ‘Corporate identity number (CIN)/ Bank Corporate Identification number (BCIN)’, authorised person of the bank shall be signatory.
	Designation (Director/Manager/Company Secretary/CEO/CFO/Managing	



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection
Fund)

Field No.	Field Name	Instructions
	Director/Authorised representative of the bank)	
	DIN of the director or Managing Director or Income tax PAN of the manager or CEO or CFO or Membership number of the company secretary or PAN of Authorised person of the bank	- In case 'Director' or 'Managing Director' is selected in field "Designation" then DIN shall be enquired. - In case 'Manager' or 'CEO' or 'CFO' or 'Authorised person of the bank' is selected in field "Designation" then PAN shall be enquired. - In case 'company secretary' is selected in field "Designation" then membership number shall be enquired.



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection
Fund)

3.2 Other instructions to fill 'Form No. IEPF-1A'

Buttons	Particulars
Choose File	i. Click the "Choose File" button to browse and select a document that is required to be attached as a supporting to Form No. IEPF-1A. ii. The investor wise details should be uploaded in excel format and maximum 40 excel files with total file size up to 800MB iii. All other attachments should be uploaded in pdf or .jpg format. The size of each individual attachment can be up to 2MB. iv. The user has an option to attach multiple files as attachments within the webform.
Remove	The user has an option to remove files from the attachment section using the "Remove" option provided against each attachment.
Download	The user has an option to download the attached file(s) using the "Download" option provided against each attachment.
Save	i. Click on "Save" button for saving the application in a draft webform at any given point in time prior to submitting the webform. ii. The 'Save' option will be enabled only after entering the CIN / BCIN. iii. This is an optional field. iv. On saving the webform, all the information filled in the webform will be saved and can be edited/updated till the time webform is submitted. v. The previously saved drafts can also be accessed (at a later point in time) using the application history functionality.
Submit	i. This is a mandatory field. ii. When the user clicks on the "submit" button the details filled in the webform are auto saved and the system verifies the webform. Incase errors are detected the user will be taken back to webform and all the relevant error messages shall be displayed. iii. In case at the submission of webform no errors are detected by the system the submission will be successful.



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection
Fund)

4 PART IV – KEY POINTS FOR SUCCESSFUL SUBMISSION

4.1 Fee rules

This section is not applicable.

4.2 Processing Type

Form No. IEPF-1A shall be processed in STP mode and shall be taken on record through electronic mode without any further processing. Ensure that all particulars in the webform are correct. There is no provision for resubmission of this webform.

4.3 Useful links

1. Link to access Form No. IEPF-1A: <https://mca.gov.in/content/mca/global/en/mca/e-filing/IEPF-Services/IEPF-1A.html>
2. FAQ's related to e-filing: <https://www.iepf.gov.in/content/iepf/global/master/Home/HelpAndFAQs/faqs-for-company.html>
3. Payment and Fee related services: <https://www.mca.gov.in/MinistryV2/paymentservices.html>.



Instruction Kit for Form No. IEPF-1A
(Statement of amounts credited to Investor Education and Protection
Fund)

5 PART V – Annexures

5.1 Annexure A – Template - Investor wise details



MCA_V3_IEPF-1A
_v2.7.xlsm