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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 Instruction Kit for form No. IEPF-5 E-Verification Report



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.

1 PART I – LAW(S) GOVERNING THE WEBFORM

Pursuant to Rule [7\(3\)](#) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016

1.1 Purpose of the webform

IEPF-5 E- Verification Report aims to simplify the process for filing an e-verification report with The Investor Education and Protection Fund Authority ('IEPFA') by the company/bank.

The company/bank within thirty days from the date of submission of claim, send an online verification report to the Authority after verification of details in Form No. IEPF-5 in the format specified by the Authority along with all the documents submitted by the claimant and shall attach the scanned copy of all the original documents submitted by the claimant in physical form duly certified by its Nodal Officer.

1.2 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 the company/bank is registered with MCA and have a valid and approved Corporate Identity Number (CIN) or Bank corporation Identification Number (BCIN).
- ✓ Please ensure that the person(s) signing the webform has a valid and non-expired / revoked DSC.
- ✓ Please ensure that the DSC of the signatory is registered on MCA portal against the PAN as provided in the webform.
- ✓ Please ensure that the PAN entered is valid.
- ✓ Please ensure that the Profile of Nodal officer and Deputy Nodal Officer should be updated under Business category of Nodal officer and Deputy Nodal Officer to access the IEPF-5 form to file E-Verification Report.
- ✓ Please ensure that SRN entered of webform IEPF-5 is valid and the status of the SRN is 'Pending for e-verification Report '.
- ✓ Please ensure that the affixed DSC is registered against the DIN/PAN/Membership number entered.
- ✓ Please ensure that the PAN number entered in the company/bank signatory field is associated with the company/bank (CIN/BCIN) under Nodal Officer /Deputy Nodal Officer designation as on the date of filing.
- ✓ Please ensure that the SRN of webform IEPF-1/INV-1/IEPF-1A/ /IEPF-4 entered in the webform is valid and approved .

- ✓ *Please ensure that no other IEPF-5 webform has been filed (all pending statuses) /approved, with same folio number or demat account number as entered in the webform by the claimant against the CIN/BCIN during the previous financial years.*
- ✓ *Please note that the one more claim type is added 'Shares' in "Type of Claim".*
- ✓ *Please ensure that the correct Depository should be selected in field no. 9 of the form, if applicable.*
- ✓ *Please ensure that the correct source folio no./ Demat Id is entered in field no. 11 of the form to validate the details with NSDL/CDSL depositories.*
- ✓ *After click on 'Validate' button the 'Free Balance' will get auto-prefilled in the IEPF-5 EVR form.*
- ✓ *Please ensure that the correct source folio/Demat ID details is entered as per the depository records available at the time of corporate action by the Company.*
- ✓ *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.*

2 PART II – ACCESSING FORM NO. IEPF-5 E-VERIFICATION REPORT APPLICATION

2.1 Application Process for Form No. IEPF-5 E-Verification Report

2.1.1 Initial Submission

2.1.1.1 Option 1

STEP 1: Access MCA homepage

STEP 2: Login to MCA portal with valid credentials of Nodal/Deputy Nodal officer role¹

STEP 3: Login role should be Nodal/Deputy Nodal Officer

STEP 4: Check under ‘Pending for Action Tab’ post login.”

STEP 5: Click on ‘File E-Verification button against SRN of IEPF-5’

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 11: Affix the DSC

STEP 12: Upload the DSC affixed pdf document on MCA portal

STEP 13: Pay Fees (In case the user does not successfully upload the DSC affixed PDF within 15 days of SRN generation and complete the payment within 7 days of successful upload of DSC affixed document or due date of filing of the webform + 2 days, whichever is earlier, the SRN will be cancelled)

STEP 14: Acknowledgement is generated

3 PART III – INSTRUCTIONS TO FILL THE WEBFORM

3.1 Specific Instructions to fill ‘Form No. IEPF-5 E- Verification Report’ at Field Level

Instructions to fill ‘IEPF-5 E- Verification Report’ 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	SRN of IEPF-5	The SRN entered in this field shall be valid and in ‘Pending for e-Verification Report’ Status.
2(d)	CIN / BCIN of the amalgamated company / bank	This field shall be enabled and mandatory if ‘Yes’ is selected in field number 2(c) i.e. “Whether the company / bank is amalgamated”.

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 “IEPF-5 E- Verification Report” 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.

Field No.	Field Name	Instructions
5	Claim filed for – Shares/Amount/Amount and Shares	User needs to select the correct claim type. Shares/Amount/Amount and Shares
6	Recommendation	If the Nodal officer recommends to reject the claim, the claim will be auto rejected through system and email will be sent to the Claimant.
6(a)	Date of receipt of original documents by the company / bank	This field shall be displayed and mandatory if 'Approved' is selected in field number 8 i.e. "Recommendation".
(b)	Proposed refund amount	
(c)	Amount in figures	
(d)	Proposed number of shares	
(e)	Number of Shares from Physical/Demat Folios	i. This field shall be displayed and mandatory if 'Approved' is selected in field number 6 i.e. "Recommendation". ii. Value entered in this field shall be equal to sum of values entered in field number 6(e) i.e. "Number of Shares from Physical/Demat Folios" and field number 6(f) i.e. "Number of shares from unclaimed suspense account".
(f)	Number of shares from unclaimed suspense account	
7	(a) Destination Demat Account (b) Bank Account	These fields are prefilled from the IEPF-5 form based on SRN entered in field no.1 as per claim type.
9	Depository through which corporate action to IEPFA executed	Company needs to select the correct Depository as NSDL/CDSL of Source Account from which the corporate action has been done for said Folio no./Demat ID.
(a)	Data Base of company/ bank does not find the name of the applicant as security holder	These fields from 9(a) to 9(l) shall be displayed and mandatory if 'Rejected' is selected in field number 6 i.e. "Recommendation".
(b)	Mismatch in Folio No. / DP ID / Client ID	
(c)	Signature Mismatch	
(d)	Mismatch in nature of Security	
(e)	Any litigation is pending	

Field No.	Field Name	Instructions
(f)(i)	Give Details	This field shall be displayed and mandatory if 'Yes' is selected in field number (e) i.e. “Any litigation is pending”.
(g)	Incomplete documents	This field shall be displayed and mandatory if 'Rejected' is selected in field number 6 i.e. “Recommendation”.
(h))	Give Details	This data field shall be displayed and mandatory if 'Yes' is selected in field number 6(g) i.e. “Incomplete Documents”.
(i)	Dummy / wrong / duplicate claim made by applicant	This field shall be displayed and mandatory if 'Rejected' is selected in field number 6 i.e. “Recommendation”.
(j)	Give details of earlier claim allowed	This field shall be displayed and mandatory if 'Yes' is selected in field number (i) i.e. “Dummy / wrong / Duplicate claim made by applicant”.
(k)	Non receipt of original documents from the claimant	This field shall be displayed and mandatory if 'Rejected' is selected in field number 6 i.e. “Recommendation”.
(l)	Any other reason	This field shall be displayed and optional if 'Rejected' is selected in field number 6 i.e. “Recommendation”.
10(a)	No of Challans	i. This field shall be enabled and mandatory in case of claim type selected as “Amount and ‘Amount and Shares’ ii. The number entered shall be greater than 0 and less than or equal to 15. iii. Basis the number entered in field no. 10(a) the no. of rows shall be regenerated from “Folio Number/Demat ID” to “Amount of Refund”.
10(b)	Folio Number/Demat ID	Number entered shall be unique in all the regenerated rows.
10(c)	SRN of form IEPF-1/ INV-1/IEPF-1A/IEPF-7	i. SRN shall be unique in all the regenerated rows. ii. Please ensure SRN is of webform IEPF-1/ INV-1/IEPF-1A/IEPF-7 filed for the company / bank whose CIN / BCIN is mentioned in field number 2(a) i.e. “Corporate Identity Number (CIN) or Bank corporation Identification Number (BCIN)” iii. SRN of webform IEPF-1 in case of amalgamated companies/banks is allowed if ‘Yes’ is selected in field number 2(c) i.e. “Whether the company / bank is amalgamated” and this SRN should be as per CIN/BCIN mentioned in field number 2(d) i.e. “CIN / BCIN of the amalgamated company / bank”.

Field No.	Field Name	Instructions
11	Details of Securities	i. This field shall be displayed and mandatory if Type of Claim selected in IEPF-5 is 'Amount and shares' or 'Shares' for the SRN provided in field number 1 i.e. "Verification Report of claim made vide SRN". ii. Basis the number entered in this field the Number of rows shall be generated under the table from field number "Folio No./Demat ID" to field number "Type of share". iii. The number entered shall be greater than 0 and less than or equal to 15.
11(b)	Folio No./Demat ID	This field shall be displayed and mandatory if number entered in field number 11(a) i.e. "Detail of shares transferred with verified copy of year wise details" is greater than zero.
11	ISIN of the Security	This field shall be displayed mandatory in case of 'Shares or 'Amount and Shares' selected in the field no. 5 IEPF-5 EVR
11	Type of Securities Physical Demat	Users need to select the correct type of securities as per claim type
11	Account Type	Users need to select the Source Account Type as NSDL/CDSL/Physical to validate the information with the depositories.
11	SRN of form IEPF-4	i. This field shall be displayed and mandatory if number entered in field number 10(a) i.e. "Detail of shares transferred with verified copy of year wise details" is greater than zero. ii. Number entered shall be a valid SRN of webform IEPF-4 application as per the CIN/BCIN mentioned in field number 2(a) i.e. "Corporate Identity Number (CIN) or Bank corporation Identification Number (BCIN)". iii. SRN of webform IEPF-4 in case of amalgamated companies/banks is allowed if 'Yes' is selected in field number 2(c) i.e. "Whether the company / bank is amalgamated" and this SRN should be as per CIN/BCIN mentioned in field number 2(d) i.e. "CIN / BCIN of the amalgamated company / bank".

Field No.	Field Name	Instructions
		iv. SRN no. should be unique in every generated row if more than one.
11	Date of transfer (DD/MM/YYYY)	This field shall be displayed and mandatory if number entered in field number 11(a) i.e. "Detail of shares transferred with verified copy of year wise details" is greater than zero.
11	Purpose of filling (Transfer of shares/ Transfer of Shares as benefit accruing on Shares Transferred to IEPF)	User needs to select the correct purpose as per the case
11	No. of shares to be refunded	User needs to enter the correct no. of shares to be refunded against source folio no./demat ID of the claim.
11	Validation as per CDSL/NSDL	Click on Validate button to get the Free Balance prefilled from the NSDL/CDSL depositories.
12	Whether claimant's bank details tally with the cancelled cheque leaf	User need to select the option as per the applicability
13(a)	Whether the claimants Demat account details tally with Company's/ bank's records/CML	User need to select the option as per the applicability
(b)	(b) If No/NA is selected, give any other reason	This field shall be displayed and mandatory in case the user selects 'No' in field number 13(a) i.e. "Whether the claimants Demat account details tally with Company's/bank's records/CML"
14(a)	Whether the case filed for transfer covered under rule 7 (8) & 7(9) of IEPF Rules, 2016	Users need to select the option 'Yes' or 'No' as per the applicability of the claim.
14(b)	Whether the case filed for transmission covered under rule 7 (8) & 7(9) of IEPF Rules, 2016	Users need to select the option 'Yes' or 'No' as per the applicability of the claim.
14(c)	Name of original security holder as per company/bank records	This field shall be displayed and mandatory if 'Yes' is selected in field number 14(a) and (b) i.e Whether the case filed for transfer covered under rule 7 (8) & 7(9) of IEPF Rules, 2016 or Whether the case filed for transmission covered under rule 7 (8) & 7(9) of IEPF Rules, 2016

Field No.	Field Name	Instructions
14(d)	Whether the case filed involves Loss of Share Certificates of investors	Users need to select the option 'Yes' or 'No' as per the applicability of the claim.
14(e)	Whether the source demat account and target account are same	Users need to select the option 'Yes' or 'No' as per the applicability of the claim.
14(f)	Whether there is a change in the name of Investor(s)	Users need to select the option 'Yes' or 'No' as per the applicability, if there is a change in the name of Investor(s)/Claimant who is filing the claim.
14(g)	Whether the shares/part of it, that are proposed to be refund has been transferred from unclaimed suspense account of the company/bank	User need to select the option 'Yes' or 'No' as per the applicability, if select Yes, so please provide Demat A/c no. of the unclaimed suspense account
	If yes, then please specify the Demat account number of the unclaimed suspense account	if select Yes in field no. 14(g), please provide Demat A/c no. of the unclaimed suspense account
15	Valuation of Claim	User has to provide the total claim value basis the market value of the share as on the date of filling of the form.
16	Whether the shares and amount refunded by the company in Online E-Verification Report is same as that shown in Company Search functionality for the folio no./Demat ID	Users can select 'Yes' if the details are available in the Search Functionality otherwise, they can select 'No' and provide reasons if any.
	If Yes, Provide Unique Document Identification Number (UDIN) If No, Please Provide Reasons	This is optional field, enabled if User selects 'Yes' in field no. 16. If users have generated UDIN against the claim filed from FO Search functionality they have to provide the details accordingly.
	Attachments	The attachments shall be either in pdf or .jpg format.
(1)	Client Master list of unclaimed suspense account	i. This attachment shall be mandatory in case 'Yes' is selected in field number 14(a) i.e. "Whether the shares/part of it, that are proposed to be refund has been transferred from unclaimed suspense account of the company/bank". ii. The attachment shall be either in pdf or .jpg format.

Field No.	Field Name	Instructions
		iii. The maximum size allowed for the attachment shall be 10 MB.
(2)	Copy of UDIN generated from Search Functionality	i. This field will be displayed and mandatory when user selects 'Yes' in field no. 16.
(3)	Optional attachments, if any	ii. This field can be used to provide any other information. iii. The attachment shall be either in pdf or .jpg format. iv. Please note that the user has an option to upload up to five optional attachments. v. The maximum size allowed for the attachment shall be 10 MB.
	To be digitally signed by	Nodal Officer/Deputy Nodal Officer of the Company / bank shall be signatory.
	PAN of the Nodal Officer/Deputy Nodal Officer of the Company / bank	A 10-digit alphanumeric number shall be entered where first five characters are alphabet, the next four characters are numbers and the last character is also an alphabet.

3.2 Other instructions to fill ‘Form No. IEPF-5 E- Verification Report’

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 IEPF-5 E-Verification Report. ii. All attachments should be uploaded in <i>pdf or .jpg format</i>. The size of each individual attachment can be up to 10 MB. iii. 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.

4 PART IV – KEY POINTS FOR SUCCESSFUL SUBMISSION

4.1 Fee rules

S#	Purpose of webform	Normal Fee	Additional (Delay Fee)	Logic for Additional Fees	
				Event Date	Time limit (days) for filing
1	Filing online e-verification Report	NA	Rs. 50 per day. Maximum up to Rs 2500/-	30 days from date of submission of following mentioned details to IEPFA: 1. SRN of IEPF 5 2. Date of post of original documents 3. Mandatory attachment - Scanned copy of postal receipt and duly stamped indemnity bond	30 days

4.2 Processing Type

IEPF-5 E- Verification Report shall be processed in Conditional-STP mode.

4.3 Useful links

1. Link to access IEPF-5 E- Verification Report: NA
2. FAQs 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>