

# SWARNSARITA GEMS LIMITED

**CIN: L36911MH1992PLC068283**

17/19, GROUND FLOOR, DHANJI STREET, MUMBAI - 400003

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## **Procedure for Claiming Refund by Investors From IEPF Under IEPF Rules, 2016.**

As per the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 that came into effect from 5<sup>th</sup> September, 2016, the IEPF authority constituted under Section 125 (5) of the Companies Act, 2013 shall administer the fund (IEPF).

The person, in respect of whom any unclaimed amount of dividend is transferred to the IEPF, can make an application by filing Form **IEPF-5** with the IEPF authority set up by MCA that shall further process the application.

Any person, whose shares, unclaimed dividend, matured deposits, application money due for refund, or interest thereon, sale proceeds of fractional shares, etc. has been transferred to the Fund, may claim the shares under provision to sub-section (6) of section 124 or apply for refund of unclaimed dividend, under clause (a) of sub-section (3) of section 125 as the case may be, to the Authority by making an application in **Form IEPF-5** which is available online on the website of IEPF i.e. [www.iepf.gov.in](http://www.iepf.gov.in), the requisites fees payable for this Form.

The claimant is required to download the **Form IEPF-5** and fill it form, after pre scrutiny of the e-form it is required to be uploaded on the MCA website (link is given below).

The user must have MCA Login ID and Password before uploading the e-form, if not registered then first register on MCA and generate a Login ID and Password.

After filing of the Form online the claimant is required to send the duly filled e-form with his signature along with other required Annexures to the Nodal Officer of the Company at its registered office address at 17/19, Ground Floor, Dhanji Street, Mumbai – 400003 in an envelope marked as “claim for refund from IEPF Authority” for initiating the verification for claim.

The Nodal officer of the Company is required to verify the documents within a period of 15 days from the date of receipt and send its report to the IEPF authority.

**Process for filing the Form Online with IEPF (MCA):**

1. Download the **Form IEPF 5** online available on website [iepf.gov.in](http://iepf.gov.in) and fill it.
2. Fill all the required fields; the investor has to fill the details about him/her as well as details of the Company from which the amount is due (by giving CIN of the Company or search the Company), bank account no., details of amount claimed, details of demat account no. etc.
3. After pre-scrutiny is done the user is required to upload the form at <http://www.mca.gov.in/mcafoportal/showEformUpload.do>
4. Login using your ID and Password and click on normal upload.
5. Click on Browse and attach the form then Click on Submit.
6. SRN will be generated and you will be asked for payment option (Pay Now or Pay later).
7. Though Fee will be zero for the time being, hence click on Pay now option to generate the acknowledgement.

**Process of filing form with the Company:**

The claimant has to send the filed **Form IEPF-5** with signature along with the acknowledgement receipt and other annexures to the Nodal Officer (IEPF) of the Company at its registered office in an envelope marked “claim for refund from IEPF Authority” for initiating the verification for claim.

The claimant has to send the following documents to the Company for verification:

1. Print out of duly filled claim form with claimant signature along with copy of acknowledgement.
2. Indemnity Bond (original) with claimant signature (As per format given in **Annexure II**) to be executed.
3. On a non-judicial Stamp Paper of the value as prescribed under the Stamp Act if the amount of the claim is Rs.10, 000 or more.
  - a. On a plain paper if the amount claimed does not exceed Rs.10,000.
  - b. In case of refund of shares, on a non-judicial Stamp Paper of the value as prescribed under the Stamp Act.
  - c. Advance Stamped receipt (original) with signature of claimant and two witnesses. (Format is given at **Annexure I**)
4. In case of refund of matured deposit or debenture, original certificate thereto
5. Copy of Aadhaar Card (For Indian Nationals)
6. Proof of entitlement (certificate of share/Interest warrant Application No. etc.)
7. Cancelled Cheque leaf
8. Copy of Passport, OCI and PIO card in case of foreigners and NRI
9. Other optional document,(if any)

## IMPORTANT LINK

1. Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 dated 05.09.2016 -  
<http://www.iepf.gov.in/IEPFA/notification.html>
2. Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Amendment Rules, 2017 -  
<http://www.iepf.gov.in/IEPFA/notification.html>
3. Issue of Refund process Guidelines & Verification Report format for claims filed by investors with the concerned company dated 27.10.2016 -  
<http://www.iepf.gov.in/IEPFA/notification.html>
4. For Refund Webpage of IEPF Authority –  
<http://www.iepf.gov.in/IEPFA/refund.html>

**Annexure I**

**Format of Advance Receipt**

Received from the Investor Education and Protection Fund Authority the sum of Rs..... being the amount payable to me from the Investor Education and Protection Fund as ..... (Dividend on Equity / Preference shares / matured deposits / matured debentures / application money due for refund / interest accrued on...../Dividend credited to IEPF under Companies Act, 1956 or Companies Act, 2013/ Dividend credited to General Revenue Account under Companies Act, 1956 / others, specify.....) which was originally due from Swarnsarita Gems Limited.

\_\_\_\_\_  
Signature of claimant

Stamp

Signature of witness:

1. Signature with date

Name:

Address:

2. Signature with date

Name:

Address:

**Annexure II**  
**Indemnity bond**

To

The Investor Education and Protection Fund Authority

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In consideration of the payment of Rs. .... being the amount due to me as ..... (Dividend on Equity / Preference shares / matured deposits / matured debentures / application money due for refund / interest accrued on...../Dividend credited to IEPF under Companies Act, 1956 or Companies Act, 2013/ Dividend credited to General Revenue Account under Companies Act, 1956 / others, specify.....) for the Financial Year..... from Swarnsarita Gems Limited out of the Investor Education and Protection Fund by the Authority, I .....son /daughter /wife of ..... do hereby agree and undertake to indemnify the Investor Education and Protection Fund Authority to the extent of any claim not exceeding the amount herein before mentioned which may be preferred against the Investor Education and Protection Fund Authority, and which it has to lawfully discharge.

**Signature of the claimant.**

Date:

Place:

Witnesses:

1. Signature with date

Name

Address

2. Signature with date

Name

Address