# Central Depository Services (India) Limited

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## COMMUNIQUÉ TO REGISTRAR & TRANSFER AGENTS

## OPERATIONAL GUIDELINES AND FILE FORMATS FOR TRANSFER OF SHARES TO THE DEMAT ACCOUNT OF INVESTOR EDUCATION AND PROTECTION FUND (IEPF) AUTHORITY

Issuers/RTAs are advised to refer to communiqué no CDSL/OPS/RTA/POLCY/2017/63 dated October 17, 2017 regarding notification and circular issued by Ministry of Corporate Affairs for transfer of shares to IEPF account.

We are happy to inform you that the IEPF Authority has opened a demat account with CDSL with Depository Participant SBI CAP Securities Ltd. The details are given below:

| Account Number | Account Name |
| --- | --- |
| 12047200  13676780 | Investor Education and Protection Fund Authority Ministry of Corporate Affairs |

As Issuers/ RTAs are aware, in terms of Section 124(6) of Companies Act, 2013 and the Rules notified there under, the shares in respect of which dividend has not been paid or claimed for a period of seven consecutive years or more, are required to be transferred by the Company to the IEPF Authority. As per the General Circular No. 12/2017 dated 16th October, 2017, pursuant to the second proviso to Rule 6 of Investor Education and Protection fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 as amended time to time, wherein the seven year period provided under sub section (5) of section 124 is completed for unpaid/unclaimed dividends during September7, 2016 to October 31, 2017, the due date for transfer of such shares by companies is October 31st, 2017. In terms of Rule 6 (1) of the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 the transfer of such shares to IEPF account is to be completed within a period of 30 days of such shares becoming due to be transferred to the IEPF Authority.

### Transfer of shares to IEPF demat account

1. If the shares of the Company are required to be transferred to the IEPF Authority in terms of Section 124 (6) of the Companies Act, 2013 and the notified Rules of Investor Education and Protection Fund Authority (Accounting , Audit, Transfer and Refund ) Rules, 2016 such shares can be transferred , whether held in dematerialized form (under NSDL or CDSL) or physical form, to the above mentioned demat account of IEPF

Authority by way of Corporate Action after following the procedure as mentioned under the Rules.

2. The information related to the shareholders whose shares are being transferred to IEPF's demat account with SBICAP (CDSL DP) shall have to be provided by the company as per the prescribed format (attached).

   a) **File format A** shall be used where shares are being transferred from investors holding demat account in CDSL Depository System. This format will enable Issuers/RTAs to perform debit/credit corporate action to debit the investors demat account with CDSL and credit the demat account of the IEPF Authority in CDSL. No separate corporate action file would need to be uploaded.**(Refer Annexure A)**

   b) **File format B** shall be used where shares are being transferred from investors holding demat account in NSDL. This format will enable Issuers/RTA to perform credit corporate action to credit the demat account of IEPF Authority in CDSL in respect of those shares which are successfully debited by executing debit corporate action in NSDL. No separate corporate action file would need to be uploaded. **(Refer Annexure B)**

   c) **File format C** shall be used where shares being transferred were held in physical form. This format will enable Issuers/RTA to credit such shares into the demat account of IEPF authority in CDSL. No separate corporate action file would need to be uploaded. **(Refer Annexure C)**

3. Two new CA types 68 ("**Trf of Shares to IEPF**") and 70("**Trf of Shs to IEPF Phy**") have been created in CDSL system. System will generate 1 debit file and 3 credit CA files using the above data files.

4. In case shares are being debited in CDSL and credit to NSDL IEPF account the current file format for Corporate Action will be applicable. A new CA type 69 ("**Trf of Shs - NSDL IEPF**") has been created for this purpose to enable RTA to upload the file for Debit Corporate Action using Corporate Actions Module.

5. Under rules (6)(3)(b) of the rules, where there is a specific order of Court or Tribunal or statutory Authority restraining any transfer of such shares and payment of dividend the company shall not transfer such shares to the Fund. Accordingly, if the source BO / BO-ISIN is frozen under freeze reason codes given below, the debit corporate action for

transfer to IEPF account in respect of that BOID shall be processed. For other freeze reason codes the record shall fail.

| Code | Description |
|------|-------------|
| 1 | Beneficial owner |
| 6 | PAN verification pending |
| 7 | Sole/First Holder Deceased |
| 8 | Second Holder Deceased |
| 9 | Third Holder Deceased |
| 13 | In Person Verification or KYC Pending |
| 14 | Assignment |
| 16 | Initiated By BO |
| 17 | Requested By BO |
| 19 | FATCA NonCompliance(under ITRule 114H(8) |
| 95 | RGESS Freeze |
| 97 | Minor Attained Majority |
| 98 | PAN not recorded. |

6. The companies will fill the attached CA form for transfer of shares to IEPF and submit the same to CDSL. The data files pertaining to detail records of investors will be uploaded through upload module by RTA. (Refer Annexure A, B, C, D for file format & upload id details.)

7. **Non-monetary CAs:** As the credit to IEPF account for any non monetary CA like bonus, merger, capital reduction, split etc., through auto corporate action will take place on the total number of shares held in the account which actually needs to be assigned to investor level whose shares were transferred to IEPF, CDSL System will exclude the IEPF account for credit at CDSL during CA processing. The issuer/RTA shall be required to provide a data file as per the format attached **(Annexure D)** through Upload Module in respect of all the holders whose shares have been transferred to the IEPF authority and who are entitled to the shares on account of the corporate action. Based on the data provided, the total number of shares under the entitlements shall be credited by way of file corporate action to the account of the IEPF authority and the respective BO-wise entitlements will be updated in the system. No separate corporate action file would need to be uploaded. A new CA type 71 ("**Trf of Shs to IEPF ACA**") has been created by CDSL system for the above purpose.

8. **Monetary CAs:** In case of monetary CA the company / RTA to necessarily set up the corporate action for the record date ( even if the record date is on a Friday / month end

wherein by default the BENPOS is generated) and update the dividend amount per share. This data will be used to update BO wise entitlement in depository system.

9. Along with the data files, the Company shall be required to submit the following documents
   a) Corporate Action form as per the format enclosed **(Annexure E)**
   b) Certified copy of the Board Resolution authorising the transfer of share to the IEPF
   c) RTA letter **(Annexure F)**
   d) Corporate Action charges @ Rs. 10/- per debit/credit, subject to a minimum of Rs. 1000/- plus 18% GST.

10. The charges for IEPF account maintenance will be informed separately after finalization of MOU with IEPF authority.

11. As you are aware that CDSL provides beneficiary positions (i.e. RT02 report) as on every Friday and every month end. Accordingly, with respect to IEPF Transfer, the beneficiary positions (benpos) as of Tuesday, October 31, 2017 will be provided to RTAs and available for download on Wednesday, November 01, 2017.

12. The detailed process for refund of securities to the claimant shall be shared shortly.

13. The date of release of this functionality will be informed separately.

**The updated files formats are as per annexures listed below**

| File Name | Corresponding response File Name | Annexure Number |
|---|---|---|
| **CDSL to IEPF transfer Data File** | **17RTI1** | **Annexure A** |
| **NSDL to IEPF transfer Data File** | **17RTI2** | **Annexure B** |
| **Physical to IEPF transfer Data File** | **17RTI3** | **Annexure C** |
| **AUTO CA to IEPF BIFURCATION transfer Data File** | **17RTI4** | **Annexure D** |
| **Corporate Action Form** | | **Annexure E** |
| **RTA Letter** | | **Annexure F** |

Issuers/RTAs are required to make necessary changes in their back office.

**CDSL – Operations** on telephone numbers (022) 2305-8507, 2305-8638, 2305-8685 or 2305-8630. Emails may be sent to: viniferk@cdslindia.com/priyankaa@cdslindia.com /gulzart@cdslindia.com / ashishb@cdslindia.com

Queries regarding this communiqué may be addressed to **CDSL – Helpdesk:** on telephone numbers (022) 2305-8624, 2305-8639, 2305-8642, 2305-8663, 2305-8640, 2300-2041 or 2300-2033.  Emails may be sent to: helpdesk@cdslindia.com.

**sd/-**

**Nayana Ovalekar**
**Chief Operating Officer**

## FILE FORMAT:  CDSL to IEPF transfer Data File

**File Name**      **:**  45<<RTA ID>>_CDSL_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

                  E.g.  45107_CDSL_IEPF_DTLS_26102017154100

**Input Type**      **:**  **M**andatory / **O**ptional

**Header Record:** This record will contain:

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| RECORD IDENTIFICATION | NUMBER | M | 2 | VALUE = 01 |
| RTA ID | NUMBER | M | 6 | RTA ID |
| RTA INTERNAL REFERENCE NUMBER | CHAR | O | 16 | |
| ISIN | CHAR | M | 12 | |
| CA TYPE | NUMBER | M | 4 | 68 – Trf of Shares to IEPF |
| BOARD APPROVAL DATE | DATE | M | 8 | DDMMYYYY |
| EXECUTION DATE | DATE | M | 8 | DDMMYYYY |
| TOTAL DEBIT QUANTITY | NUMBER | M | (16,3) | |
| TOTAL DEBIT LOCK-IN QUANTITY | NUMBER | O | (16,3) | |
| FILLER | | | (16,3) | |
| TOTAL CREDIT QUANTITY | NUMBER | M | (16,3) | |
| TOTAL CREDIT LOCK-IN QUANTITY | NUMBER | O | (16,3) | |
| TOTAL NUMBER OF (02) DETAIL RECORDS | NUMBER | M | 5 | |
| FILLER | NUMBER | O | 5 | |
| CIN /BCIN NUMBER | CHAR | M | 21 | CIN |
| EMAIL ID OF COMPANY | CHAR | M | 50 | Email ID Of Company/Company Secretary |
| FINANCIAL YEAR TO WHICH THE DIVIDEND RELATES | CHAR | M | 9 | YYYY-YYYY (E.g. 2008-2009 for the financial year 2008-2009) |
| TOTAL NOMINAL AMOUNT OF SHARES | NUMBER | M | (16,3) | Total Nominal Value Of Shares |

Ex: 01~000107~Int ref 123~INE016A01012~68~20102017~26102017~1000~0~10~1000~0~100~~L61212MH1995PLC123456~abc@abc.com~2008-2009~10000

**Details Records:** This record will contain following lines:

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | M | 2 | Value = 02 |
| RECORD LINE NUMBER | NUMBER | M | 5 | |
| CREDIT BO ID | CHAR | M | 16 | IEPF Demat Account Number |
| DEBIT BO ID | CHAR | M | 16 | |
| DEBIT QUANTITY | NUMBER | M | (16,3) | |
| DEBIT LOCKIN QUANTITY | NUMBER | O | (16,3) | |
| DEBIT LOCK-IN CODE | NUMBER | O | 2 | |
| DEBIT LOCK-IN EXPIRY DATE | DATE | O | 8 | Format "DDMMYYYY" |
| FILLER | | | (16,3) | |
| CREDIT QUANTITY | NUMBER | M | (16,3) | |
| CREDIT LOCKIN QUANTITY | NUMBER | O | (16,3) | |
| CREDIT LOCK-IN CODE | NUMBER | O | 2 | |
| CREDIT LOCK-IN EXPIRY DATE | DATE | O | 8 | Format "DDMMYYYY" Should be same as Debit Lock-in Expiry Date |
| FILLER | | | 100 | |

**NOTES:**

- Tilde ('~') should be used as field separators.
- Padding should not be used for any field. Only actual values to be entered.
- If any field does not have value, then 2 consecutive tildes should be entered.

# FILE FORMAT:  CDSL to IEPF transfer Response File

**File Name        :**   17RTI1_<<RTA ID>>_CDSL_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g.  17RTI1_107_CDSL_IEPF_DTLS_26102017154100

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | 2 | Value = 01 |
| ERROR CODE | CHAR | 8 | |
| ERROR DESCRIPTION | CHAR | 100 | |

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | 2 | Value = 02 |
| RECORD LINE NUMBER | NUMBER | 5 | |
| CREDIT BO ID | CHAR | 16 | |
| DEBIT BO ID | CHAR | 16 | |
| DEBIT QUANTITY | NUMBER | (16,3) | |
| DEBIT LOCKIN QUANTITY | NUMBER | (16,3) | |
| DEBIT LOCK-IN CODE | NUMBER | 2 | |
| DEBIT LOCK-IN EXPIRY DATE | DATE | 8 | |
| FILLER | | (16,3) | |
| CREDIT QUANTITY | NUMBER | (16,3) | |
| CREDIT LOCKIN QUANTITY | NUMBER | (16,3) | |
| CREDIT LOCK-IN CODE | NUMBER | 2 | |
| CREDIT LOCK-IN EXPIRY DATE | DATE | 8 | |
| FILLER | | 100 | |
| RECORD STATUS | CHAR | 1 | A - Accepted for Processing or R-Rejected |
| CA SEQUENCE NUMBER | NUMBER | 8 | File CA Sequence Number |
| COUNTER | NUMBER | 3 | Counter |
| ERROR CODE | CHAR | 8 | Applicable only in case of rejected records |
| ERROR DESCRIPTION | CHAR | 100 | Applicable only in case of rejected records |

**NOTES:**

▪ If the file fails in Header record syntax/functional validation then only Record Identification(01) along with Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Header record.

▪ If the file fails in Detail record syntax validation then only Record Identification(02) along with Line Number, Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Detail record.

## FILE FORMAT:  NSDL to IEPF transfer Data File

**File Name**          :   46<<RTA ID>>_NSDL_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g.  46107_NSDL_IEPF_DTLS_26102017154100

**Input Type**          :   **M**andatory / **O**ptional

**Header Record:** This record will contain:

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| RECORD IDENTIFICATION | NUMBER | M | 2 | VALUE = 01 |
| RTA ID | NUMBER | M | 6 | RTA ID |
| RTA INTERNAL REFERENCE NUMBER | CHAR | O | 16 | |
| ISIN | CHAR | M | 12 | |
| CA TYPE | NUMBER | M | 4 | 68 – Trf of Shares to IEPF |
| BOARD APPROVAL DATE | DATE | M | 8 | DDMMYYYY |
| EXECUTION DATE | DATE | M | 8 | DDMMYYYY |
| TOTAL DEBIT QUANTITY | NUMBER | M | (16,3) | |
| TOTAL DEBIT LOCK-IN QUANTITY | NUMBER | O | (16,3) | |
| FILLER | | | (16,3) | |
| TOTAL CREDIT QUANTITY | NUMBER | M | (16,3) | |
| TOTAL CREDIT LOCK-IN QUANTITY | NUMBER | O | (16,3) | |
| TOTAL NUMBER OF (02) DETAIL RECORDS | NUMBER | M | 5 | |
| FILLER | NUMBER | O | 5 | |
| CIN /BCIN NUMBER | CHAR | M | 21 | CIN |
| EMAIL ID OF COMPANY | CHAR | M | 50 | Email ID Of Company/Company Secretary |
| FINANCIAL YEAR TO WHICH THE DIVIDEND RELATES | CHAR | M | 9 | YYYY-YYYY (E.g. 2008-2009 for the financial year 2008-2009) |
| TOTAL NOMINAL AMOUNT OF SHARES | NUMBER | M | (16,3) | Total Nominal Value Of Shares |

Ex: 01~000107~Int ref
123~INE016A01012~68~20102017~26102017~1000~0~10~1000~0~100~~L61212MH1995PLC123456
~abc@abc.com~2008-2009~10000

**Details Records:** This record will contain following lines:

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | M | 2 | Value = 02 |
| RECORD LINE NUMBER | NUMBER | M | 5 | |
| CREDIT BO ID | CHAR | M | 16 | IEPF Demat Account Number |
| DEBIT DP ID | CHAR | M | 8 | 8 Digit NSDL DP ID |
| DEBIT CLIENT ID | CHAR | M | 8 | 8 Digit NSDL Client ID |
| DEBIT QUANTITY | NUMBER | M | (16,3) | |
| DEBIT LOCKIN QUANTITY | NUMBER | O | (16,3) | |
| DEBIT LOCK-IN CODE | NUMBER | O | 2 | |
| DEBIT LOCK-IN EXPIRY DATE | DATE | O | 8 | Format "DDMMYYYY" |
| FILLER 1 | | | (16,3) | |
| CREDIT QUANTITY | NUMBER | M | (16,3) | |
| CREDIT LOCKIN QUANTITY | NUMBER | O | (16,3) | |
| CREDIT LOCK-IN CODE | NUMBER | O | 2 | |
| CREDIT LOCK-IN EXPIRY DATE | DATE | O | 8 | Format "DDMMYYYY" Should be same as Debit Lock-in Expiry Date |
| FIRST HOLDER'S NAME | CHAR | M | 250 | |
| PAN OF SOLE/FIRST HOLDER | CHAR | O | 30 | |
| SECOND HOLDER'S NAME | CHAR | O | 45 | |
| PAN OF SECOND HOLDER | CHAR | O | 30 | |
| THIRD HOLDER'S NAME | CHAR | O | 45 | |
| PAN OF THIRD HOLDER | CHAR | O | 30 | |
| GUARDIAN'S NAME | CHAR | O | 45 | |
| FILLER 2 | | | 10 | |
| NOMINEE'S NAME | CHAR | O | 45 | |
| FILLER 3 | | | 10 | |
| FATHER/HUSBAND'S NAME | CHAR | O | 45 | |
| FILLER 4 | | | 1 | |
| BIRTH DATE | CHAR | O | 8 | DDMMYYYY |
| ACCOUNT TYPE DESCRIPTION | CHAR | M | 100 | |
| ACCOUNT SUB TYPE DESCRIPTION | CHAR | M | 100 | |
| OCCUPATION | CHAR | O | 100 | |
| FILLER 5 | | | 25 | |

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| CORRESPONDENCE ADDRESS LINE 1 | CHAR | O | 36 | |
| CORRESPONDENCE ADDRESS LINE 2 | CHAR | O | 36 | |
| CORRESPONDENCE ADDRESS LINE 3 | CHAR | O | 36 | |
| CORRESPONDENCE ADDRESS LINE 4 | CHAR | O | 36 | |
| CORRESPONDENCE ADDRESS PIN CODE | CHAR | O | 10 | |
| PERMANENT ADDRESS LINE 1 | CHAR | M | 36 | |
| PERMANENT ADDRESS LINE 2 | CHAR | O | 36 | |
| PERMANENT ADDRESS LINE 3 | CHAR | O | 36 | |
| PERMANENT ADDRESS LINE 4 | CHAR | M | 36 | |
| PERMANENT ADDRESS PIN CODE | CHAR | M | 10 | |
| TELEPHONE 1 | CHAR | O | 24 | |
| FILLER 6 | | | 20 | |
| FAX | CHAR | O | 24 | |
| E-MAIL ID | CHAR | O | 50 | |
| UID OF FIRST HOLDER | CHAR | O | 12 | |
| UID OF SECOND HOLDER | CHAR | O | 12 | |
| UID OF THIRD HOLDER | CHAR | O | 12 | |
| FILLER 7 | | | 12 | |
| FILLER 8 | | | 12 | |
| FILLER 9 | | | 100 | |

**NOTES:**

- Tilde ('~') should be used as field separators.
- Padding should not be used for any field. Only actual values to be entered.
- If any field does not have value, then 2 consecutive tildes should be entered.

# FILE FORMAT:  NSDL to IEPF transfer Response File

**File Name**          **:**   17RTI2_<<RTA ID>>_NSDL_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g.  17RTI2_107_NSDL_IEPF_DTLS_26102017154100

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | 2 | Value = 01 |
| ERROR CODE | CHAR | 8 | |
| ERROR DESCRIPTION | CHAR | 100 | |

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | 2 | Value = 02 |
| RECORD LINE NUMBER | NUMBER | 5 | |
| CREDIT BO ID | CHAR | 16 | |
| DEBIT DP ID | CHAR | 8 | |
| DEBIT CLIENT ID | CHAR | 8 | |
| DEBIT QUANTITY | NUMBER | (16,3) | |
| DEBIT LOCKIN QUANTITY | NUMBER | (16,3) | |
| DEBIT LOCK-IN CODE | NUMBER | 2 | |
| DEBIT LOCK-IN EXPIRY DATE | DATE | 8 | |
| FILLER 1 | | (16,3) | |
| CREDIT QUANTITY | NUMBER | (16,3) | |
| CREDIT LOCKIN QUANTITY | NUMBER | (16,3) | |
| CREDIT LOCK-IN CODE | NUMBER | 2 | |
| CREDIT LOCK-IN EXPIRY DATE | DATE | 8 | |
| FIRST HOLDER'S NAME | CHAR | 250 | |
| PAN OF SOLE/FIRST HOLDER | CHAR | 30 | |
| SECOND HOLDER'S NAME | CHAR | 45 | |
| PAN OF SECOND HOLDER | CHAR | 30 | |
| THIRD HOLDER'S NAME | CHAR | 45 | |
| PAN OF THIRD HOLDER | CHAR | 30 | |
| GUARDIAN'S NAME | CHAR | 45 | |
| FILLER 2 | | 10 | |
| NOMINEE'S NAME | CHAR | 45 | |
| FILLER 3 | | 10 | |
| FATHER/HUSBAND'S NAME | CHAR | 45 | |
| FILLER 4 | | 1 | |
| BIRTH DATE | CHAR | 8 | |
| ACCOUNT TYPE DESCRIPTION | CHAR | 100 | |
| ACCOUNT SUB TYPE DESCRIPTION | CHAR | 100 | |
| OCCUPATION | CHAR | 100 | |
| FILLER 5 | | 25 | |
| CORRESPONDENCE ADDRESS LINE 1 | CHAR | 36 | |
| CORRESPONDENCE ADDRESS LINE 2 | CHAR | 36 | |
| CORRESPONDENCE ADDRESS LINE 3 | CHAR | 36 | |
| CORRESPONDENCE ADDRESS LINE 4 | CHAR | 36 | |

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| CORRESPONDENCE ADDRESS PIN CODE | CHAR | 10 | |
| PERMANENT ADDRESS LINE 1 | CHAR | 36 | |
| PERMANENT ADDRESS LINE 2 | CHAR | 36 | |
| PERMANENT ADDRESS LINE 3 | CHAR | 36 | |
| PERMANENT ADDRESS LINE 4 | CHAR | 36 | |
| PERMANENT ADDRESS PIN CODE | CHAR | 10 | |
| TELEPHONE 1 | CHAR | 24 | |
| FILLER 6 | | 20 | |
| FAX | CHAR | 24 | |
| E-MAIL ID | CHAR | 50 | |
| UID OF FIRST HOLDER | CHAR | 12 | |
| UID OF SECOND HOLDER | CHAR | 12 | |
| UID OF THIRD HOLDER | CHAR | 12 | |
| FILLER 7 | CHAR | 12 | |
| FILLER 8 | CHAR | 12 | |
| FILLER 9 | | 100 | |
| RECORD STATUS | CHAR | 1 | A - Accepted for Processing or R-Rejected |
| CA SEQUENCE NUMBER | NUMBER | 8 | File CA Sequence Number |
| COUNTER | NUMBER | 3 | Counter |
| ERROR CODE | CHAR | 8 | Applicable only in case of rejected records |
| ERROR DESCRIPTION | CHAR | 100 | Applicable only in case of rejected records |

**NOTES:**

- If the file fails in Header record syntax/functional validation then only Record Identification(01) along with Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Header record.

- If the file fails in Detail record syntax validation then only Record Identification(02) along with Line Number, Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Detail record.

# FILE FORMAT:  Physical to IEPF transfer Data File

**File Name**          :   47<<RTA ID>>_PHY_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

                         E.g.  47107_PHY_IEPF_DTLS_26102017154100

**Input Type**          :   **M**andatory / **O**ptional

**Header Record:** This record will contain:

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| RECORD IDENTIFICATION | NUMBER | M | 2 | VALUE = 01 |
| RTA ID | NUMBER | M | 6 | RTA ID |
| RTA INTERNAL REFERENCE NUMBER | CHAR | O | 16 | |
| ISIN | CHAR | M | 12 | |
| CA TYPE | NUMBER | M | 4 | 70 – Trf of Shs to IEPF Phy |
| BOARD APPROVAL DATE | DATE | M | 8 | DDMMYYYY |
| EXECUTION DATE | DATE | M | 8 | DDMMYYYY |
| TOTAL DEBIT QUANTITY | NUMBER | M | (16,3) | |
| TOTAL DEBIT LOCK-IN QUANTITY | NUMBER | O | (16,3) | |
| FILLER | | | NA | NA |
| TOTAL CREDIT QUANTITY | NUMBER | M | (16,3) | |
| TOTAL CREDIT LOCK-IN QUANTITY | NUMBER | O | (16,3) | |
| TOTAL NUMBER OF (02) DETAIL RECORDS | NUMBER | M | 5 | |
| TOTAL NUMBER OF (03) DETAIL RECORDS OF DNR | NUMBER | O | 5 | |
| CIN /BCIN NUMBER | CHAR | M | 21 | CIN |
| EMAIL ID OF COMPANY | CHAR | M | 50 | Email ID Of Company/Company Secretary |
| FINANCIAL YEAR TO WHICH THE DIVIDEND RELATES | CHAR | M | 9 | YYYY-YYYY (E.g. 2008-2009 for the financial year 2008-2009) |
| TOTAL NOMINAL AMOUNT OF SHARES | NUMBER | M | (16,3) | Total Nominal Value Of Shares |

**Ex:** 01~000107~Int ref 123~INE016A01012~68~20102017~26102017~1000~0~~1000~0~100~150~L61212MH1995PLC123456~abc@abc.com~2008-2009~10000

**Details Records:** This record will contain following lines:

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | M | 2 | Value = 02 |
| RECORD LINE NUMBER | NUMBER | M | 5 | |
| CREDIT BO ID | CHAR | M | 16 | IEPF Demat Account Number |
| FOLIO NUMBER | CHAR | M | 16 | Folio number for physical certificates. |
| DEBIT QUANTITY | NUMBER | M | (16,3) | |
| DEBIT LOCKIN QUANTITY | NUMBER | O | (16,3) | |
| DEBIT LOCK-IN REASON CODE | NUMBER | O | 2 | 1 - Directors/Relative Quota<br>2 - Employee Quota<br>3 - Preferential Quota<br>4 - Promoters Quota<br>5 - Underwriters Quota<br>6 - Private Placement<br>7 - Others |
| DEBIT LOCK-IN EXPIRY DATE | DATE | O | 8 | Format "DDMMYYYY" |
| CREDIT QUANTITY | NUMBER | M | (16,3) | |
| CREDIT LOCKIN QUANTITY | NUMBER | O | (16,3) | Lock-in Qty to be credited to IEPF Authority Account |
| CREDIT LOCK-IN REASON CODE | NUMBER | O | 2 | 1 - Directors/Relative Quota<br>2 - Employee Quota<br>3 - Preferential Quota<br>4 - Promoters Quota<br>5 - Underwriters Quota<br>6 - Private Placement<br>7 - Others |
| CREDIT LOCK-IN EXPIRY DATE | DATE | O | 8 | Format "DDMMYYYY" Should be same as Debit Lock-in Expiry Date |
| FIRST HOLDER'S NAME | CHAR | M | 164 | |
| PAN OF SOLE/FIRST HOLDER | CHAR | O | 10 | |
| SECOND HOLDER'S NAME | CHAR | O | 164 | |
| PAN OF SECOND HOLDER | CHAR | O | 10 | |

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| THIRD HOLDER'S NAME | CHAR | O | 164 | |
| PAN OF THIRD HOLDER | CHAR | O | 10 | |
| FOURTH HOLDER'S NAME | CHAR | O | 164 | |
| PAN OF FOURTH HOLDER | CHAR | O | 10 | |
| GUARDIAN'S NAME | CHAR | O | 164 | |
| PAN OF GUARDIAN | CHAR | O | 10 | |
| NOMINEE'S NAME | CHAR | O | 164 | |
| PAN OF NOMINEE | CHAR | O | 10 | |
| FATHER/HUSBAND'S NAME | CHAR | O | 50 | |
| SEX OF SOLE/FIRST HOLDER | CHAR | O | 1 | M- Male/ F-Female |
| BIRTH DATE | CHAR | O | 8 | DDMMYYYY |
| OCCUPATION | CHAR | O | 4 | B – BUSINESS<br>F – FARMER<br>GS – GOVERNMENT SERVICES<br>H – HOUSEWIFE<br>O – OTHERS<br>P – PROFESSIONAL<br>PS – PUBLIC SECTOR<br>PV – PRIVATE SECTOR<br>R – RETIRED<br>S – SERVICE<br>ST – STUDENT |
| NATIONALITY | CHAR | O | 25 | |
| INVESTOR CATEGORY | CHAR | M | 25 | |
| CORRESPONDENCE ADDRESS LINE 1 | CHAR | M | 50 | |
| CORRESPONDENCE ADDRESS LINE 2 | CHAR | O | 50 | |
| CORRESPONDENCE ADDRESS LINE 3 | CHAR | O | 50 | |
| CORRESPONDENCE ADDRESS CITY | CHAR | O | 25 | |
| CORRESPONDENCE ADDRESS STATE | CHAR | O | 25 | |
| CORRESPONDENCE ADDRESS COUNTRY | CHAR | O | 25 | |
| CORRESPONDENCE ADDRESS PIN CODE | CHAR | O | 10 | |
| PERMANENT ADDRESS LINE 1 | CHAR | O | 50 | |
| PERMANENT ADDRESS LINE 2 | CHAR | O | 50 | |
| PERMANENT ADDRESS LINE 3 | CHAR | O | 50 | |
| PERMANENT ADDRESS CITY | CHAR | O | 25 | |
| PERMANENT ADDRESS STATE | CHAR | O | 25 | |

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| PERMANENT ADDRESS COUNTRY | CHAR | O | 25 | |
| PERMANENT ADDRESS PIN CODE | CHAR | O | 10 | |
| TELEPHONE 1 | CHAR | O | 17 | |
| TELEPHONE 2 | CHAR | O | 17 | |
| BO FAX | CHAR | O | 17 | |
| E-MAIL ID | CHAR | O | 50 | |
| UID OF FIRST HOLDER | CHAR | O | 12 | |
| UID OF SECOND HOLDER | CHAR | O | 12 | |
| UID OF THIRD HOLDER | CHAR | O | 12 | |
| UID OF FOURTH HOLDER | CHAR | O | 12 | |
| UID OF GUARDIAN | CHAR | O | 12 | |
| UID OF NOMINEE | CHAR | O | 12 | |
| FILLER | | | 100 | |

**DNR Records:** This record will contain following lines:

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| RECORD IDENTIFICATION | CHARACTER | M | 2 | "03" |
| RECORD LINE NUMBER | INTEGER | M | 5 | |
| ISIN | CHARACTER | M | 12 | |
| DEBIT/CREDIT INDICATOR | CHARACTER | M | 1 | D-Debit<br>C-Credit |
| DISTINCTIVE NUMBERS FROM | INTEGER | M | 18 | |
| DISTINCTIVE NUMBERS TO | INTEGER | M | 18 | |
| QUANTITY | INTEGER | M | 18 | To DNR - From DNR + 1 |

**NOTES:**

- Tilde ('~') should be used as field separators.
- Padding should not be used for any field. Only actual values to be entered.
- If any field does not have value, then 2 consecutive tildes should be entered.
- Multiple lines for DNR records line "03" is allowed.
- DNR records will be mandatory only in case of listed companies.

## FILE FORMAT:  Physical to IEPF transfer Response File

**File Name**        :   17RTI3_<<RTA ID>>_PHY_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g.  17RTI3_107_PHY_IEPF_DTLS_26102017154100

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | 2 | Value = 01 |
| ERROR CODE | CHAR | 8 | |
| ERROR DESCRIPTION | CHAR | 100 | |

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | 2 | Value = 02 |
| RECORD LINE NUMBER | NUMBER | 5 | |
| CREDIT BO ID | CHAR | 16 | |
| FOLIO NUMBER | CHAR | 16 | |
| DEBIT QUANTITY | NUMBER | (16,3) | |
| DEBIT LOCKIN QUANTITY | NUMBER | (16,3) | |
| DEBIT LOCK-IN REASON CODE | NUMBER | 2 | |
| DEBIT LOCK-IN EXPIRY DATE | DATE | 8 | |
| CREDIT QUANTITY | NUMBER | (16,3) | |
| CREDIT LOCKIN QUANTITY | NUMBER | (16,3) | |
| CREDIT LOCK-IN REASON CODE | NUMBER | 2 | |
| CREDIT LOCK-IN EXPIRY DATE | DATE | 8 | |
| FIRST HOLDER'S NAME | CHAR | 164 | |
| PAN OF SOLE/FIRST HOLDER | CHAR | 10 | |
| SECOND HOLDER'S NAME | CHAR | 164 | |
| PAN OF SECOND HOLDER | CHAR | 10 | |
| THIRD HOLDER'S NAME | CHAR | 164 | |
| PAN OF THIRD HOLDER | CHAR | 10 | |
| FOURTH HOLDER'S NAME | CHAR | 164 | |
| PAN OF FOURTH HOLDER | CHAR | 10 | |
| GUARDIAN'S NAME | CHAR | 164 | |
| PAN OF GUARDIAN | CHAR | 10 | |
| NOMINEE'S NAME | CHAR | 164 | |
| PAN OF NOMINEE | CHAR | 10 | |
| FATHER/HUSBAND'S NAME | CHAR | 50 | |
| SEX OF SOLE/FIRST HOLDER | CHAR | 1 | |
| BIRTH DATE | CHAR | 8 | |
| OCCUPATION | CHAR | 4 | |
| NATIONALITY | CHAR | 25 | |
| INVESTOR CATEGORY | CHAR | 25 | |

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| CORRESPONDENCE ADDRESS LINE 1 | CHAR | 50 | |
| CORRESPONDENCE ADDRESS LINE 2 | CHAR | 50 | |
| CORRESPONDENCE ADDRESS LINE 3 | CHAR | 50 | |
| CORRESPONDENCE ADDRESS CITY | CHAR | 25 | |
| CORRESPONDENCE ADDRESS STATE | CHAR | 25 | |
| CORRESPONDENCE ADDRESS COUNTRY | CHAR | 25 | |
| CORRESPONDENCE ADDRESS PIN CODE | CHAR | 10 | |
| PERMANENT ADDRESS LINE 1 | CHAR | 50 | |
| PERMANENT ADDRESS LINE 2 | CHAR | 50 | |
| PERMANENT ADDRESS LINE 3 | CHAR | 50 | |
| PERMANENT ADDRESS CITY | CHAR | 25 | |
| PERMANENT ADDRESS STATE | CHAR | 25 | |
| PERMANENT ADDRESS COUNTRY | CHAR | 25 | |
| PERMANENT ADDRESS PIN CODE | CHAR | 10 | |
| TELEPHONE 1 | CHAR | 17 | |
| TELEPHONE 2 | CHAR | 17 | |
| BO FAX | CHAR | 17 | |
| E-MAIL ID | CHAR | 50 | |
| UID OF FIRST HOLDER | CHAR | 12 | |
| UID OF SECOND HOLDER | CHAR | 12 | |
| UID OF THIRD HOLDER | CHAR | 12 | |
| UID OF FOURTH HOLDER | CHAR | 12 | |
| UID OF GUARDIAN | CHAR | 12 | |
| UID OF NOMINEE | CHAR | 12 | |
| FILLER | | 100 | |
| RECORD STATUS | CHAR | 1 | A - Accepted for Processing or R-Rejected |
| CA SEQUENCE NUMBER | NUMBER | 8 | File CA Sequence Number |
| COUNTER | NUMBER | 3 | Counter |
| ERROR CODE | CHAR | 8 | Applicable only in case of rejected records |
| ERROR DESCRIPTION | CHAR | 100 | Applicable only in case of rejected records |

**DNR Records:** This record will contain following lines:

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| RECORD IDENTIFICATION | CHARACTER | 2 | "03" |
| RECORD LINE NUMBER | INTEGER | 5 | |
| ISIN | CHARACTER | 12 | |
| DEBIT/CREDIT INDICATOR | CHARACTER | 1 | |
| DISTINCTIVE NUMBERS FROM | INTEGER | 18 | |
| DISTINCTIVE NUMBERS TO | INTEGER | 18 | |
| QUANTITY | INTEGER | 18 | |
| RECORD STATUS | CHAR | 1 | A - Accepted for Processing or R-Rejected |
| ERROR CODE | CHAR | 8 | Applicable only in case of rejected records |
| ERROR DESCRIPTION | CHAR | 100 | Applicable only in case of rejected records |

**NOTES:**

- If the file fails in Header record syntax/functional validation then only Record Identification(01) along with Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Header record.

- If the file fails in Detail record syntax validation then only Record Identification(02/03) along with Line Number, Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Detail record.

# FILE FORMAT:  AUTO CA to IEPF BIFURCATION transfer Data File

**File Name** : 48<<RTA ID>>_ACA_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

             E.g.  48107_ACA_IEPF_DTLS_26102017154100

**Input Type** : **M**andatory / **O**ptional

**Header Record:** This record will contain:

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| RECORD IDENTIFICATION | NUMBER | M | 2 | VALUE = 01 |
| FILE TYPE | CHAR | M | 1 | S – SETUP<br>U – UPDATE |
| RTA ID | NUMBER | M | 6 | RTA ID |
| RTA INTERNAL REFERENCE NUMBER | CHAR | O | 16 | |
| CA TYPE | NUMBER | M | 4 | 71 – Trf of shs to IEPF ACA |
| EXECUTION DATE | DATE | M | 8 | DDMMYYYY |
| CA SEQUENCE NUMBER | NUMBER | M | 8 | Original Auto CA Sequence Number |
| TOTAL DEBIT QUANTITY | NUMBER | M | (16,3) | |
| TOTAL DEBIT LOCK-IN QUANTITY | NUMBER | O | (16,3) | |
| TOTAL CREDIT QUANTITY | NUMBER | M | (16,3) | |
| TOTAL CREDIT LOCK-IN QUANTITY | NUMBER | O | (16,3) | |
| TOTAL NUMBER OF (02) DETAIL RECORDS | NUMBER | M | 5 | |
| CIN /BCIN NUMBER | CHAR | M | 21 | CIN |
| EMAIL ID OF COMPANY | CHAR | M | 50 | Email ID Of Company/Company Secretary |

**Details Records:** This record will contain following lines:

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | M | 2 | VALUE = 02 |
| RECORD LINE NUMBER | NUMBER | M | 5 | |
| DEBIT ISIN | CHAR | M | 12 | |
| CREDIT ISIN | CHAR | M | 12 | |
| CREDIT BO ID | CHAR | M | 16 | IEPF DEMAT ACCOUNT NUMBER |
| CDSL CLIENT ID | CHAR | O | 16 | CDSL BO ID |
| NSDL DP ID | CHAR | O | 8 | NSDL DP ID |

| FIELD DESCRIPTION | FIELD TYPE | INPUT TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|---|
| NSDL CLIENT ID | CHAR | O | 8 | NSDL CLIENT ID |
| FOLIO NO | CHAR | O | 16 | FOLIO NO |
| DEBIT QUANTITY | NUMBER | M | (16,3) | |
| DEBIT LOCKIN QUANTITY | NUMBER | O | (16,3) | |
| DEBIT LOCK-IN CODE | NUMBER | O | 2 | |
| DEBIT LOCK-IN EXPIRY DATE | DATE | O | 8 | Format "DDMMYYYY" |
| CREDIT QUANTITY | NUMBER | M | (16,3) | |
| CREDIT LOCKIN QUANTITY | NUMBER | O | (16,3) | |
| CREDIT LOCK-IN CODE | NUMBER | O | 2 | |
| CREDIT LOCK-IN EXPIRY DATE | DATE | O | 8 | Format "DDMMYYYY" Should Be Same As Debit Lock-In Expiry Date |
| FRACTIONAL CREDIT TYPE | CHAR | M | 1 | Q – QUANTITY M – MONEY N – NOT APPLICABLE |
| FRACTIONAL AMOUNT | NUMBER | O | (16,2) | Fractional Amount Paid Per Bo / Folio |
| FILLER | | | 100 | |

**NOTES:**

- Tilde ('~') should be used as field separators.

- Padding should not be used for any field. Only actual values to be entered.

- If any field does not have value, then 2 consecutive tildes should be entered.

- Initial file should have file type as "S" (Setup).

- File for updating fraction amount against each BO / Folio should have file type as "U" (Update).

- Any one of the following fields **CDSL BO / NSDL DP ID + Client ID / Folio No** is mandatory.

- Folio No will accept only "/" (forward slash) and "-" (hyphen) special characters along with numbers.

- In case of multiple benefit ISINs, 02 line should be repeated for each benefit ISIN, debit qty should be given only once.

## FILE FORMAT:  AUTO CA TO IEPF BIFURCATION RESPONSE FILE

**File Name**          :   17RTI4_<<RTA ID>>_ACA_IEPF_DTLS_<<DDMMYYYYHH24MISS>>

E.g.  17RTI4_107_ACA_IEPF_DTLS_26102017154100

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | 2 | Value = 01 |
| ERROR CODE | CHAR | 8 | |
| ERROR DESCRIPTION | CHAR | 100 | |

| FIELD DESCRIPTION | FIELD TYPE | FIELD SIZE | REMARKS |
|---|---|---|---|
| RECORD IDENTIFICATION | CHAR | 2 | VALUE = 02 |
| RECORD LINE NUMBER | NUMBER | 7 | |
| FILE TYPE | CHAR | 1 | S – SETUP<br>U – UPDATE |
| DEBIT ISIN | CHAR | 12 | |
| CREDIT ISIN | CHAR | 12 | |
| CREDIT BO ID | CHAR | 16 | |
| CDSL CLIENT ID | CHAR | 16 | |
| NSDL DP ID | CHAR | 8 | |
| NSDL CLIENT ID | CHAR | 8 | |
| FOLIO NO | CHAR | 16 | |
| DEBIT QUANTITY | NUMBER | (16,3) | |
| DEBIT LOCKIN QUANTITY | NUMBER | (16,3) | |
| DEBIT LOCK-IN CODE | NUMBER | 2 | |
| DEBIT LOCK-IN EXPIRY DATE | DATE | 8 | |
| CREDIT QUANTITY | NUMBER | (16,3) | |
| CREDIT LOCKIN QUANTITY | NUMBER | (16,3) | |
| CREDIT LOCK-IN CODE | NUMBER | 2 | |
| CREDIT LOCK-IN EXPIRY DATE | DATE | 8 | |
| FRACTIONAL CREDIT TYPE | CHAR | 1 | |
| FRACTIONAL AMOUNT | NUMBER | (16,2) | |
| FILLER | | 100 | |
| RECORD STATUS | CHAR | 1 | A - Accepted for Processing or R-Rejected |
| CA SEQUENCE NUMBER | NUMBER | 8 | File CA Sequence Number |
| COUNTER | NUMBER | 3 | Counter |
| ERROR CODE | CHAR | 8 | Applicable only in case of rejected records |
| ERROR DESCRIPTION | CHAR | 100 | Applicable only in case of rejected records |

**NOTES:**

- If the file fails in Header record syntax/functional validation then only Record Identification(01) along with Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Header record.

- If the file fails in Detail record syntax validation then only Record Identification(02) along with Line Number, Error code and Error description will be printed. Multiple Reasons for failure may be printed in case of Syntax Validation for Detail record.

**For Providing Details of Corporate Action to transfer shares to IEPF Authority**

**Note:**

1.  This Form is to be forwarded on the letterhead of the Company duly signed by the Company Secretary /Managing Director/Person authorized by the Board.

2.  Write N.A wherever not applicable.

**To,**
**Operations Department**
**Central Depository Services (India) Limited**
**Marathon Futurex, Unit No. 2501**
**25<sup>th</sup> Floor, A-Wing, Mafatlal Mills Compound,**
**N M Joshi Marg, Lower Parel,**
**Mumbai – 400 013.**

Dear Sir,

We wish to execute debit/credit Corporate Action to Transfer the shares to the Investor Education and Protection Fund (IEPF) Authority as per the IEPF (Accounting,Audit,Transfer and Refund) Amendment Rules, 2017.

| ISIN | | | | |
|---|---|---|---|---|
| Security Description | | | | |
|  | | | | |
| No. of Records for debit | | | | |
| No. of shares for debit | | | | |
|  | Physical | NSDL | CDSL | Total |
| No. of Records for credit | | | | |
| No. of Shares for credit | | | | |

The Details of the Transferor is/are as follows:

| Sr. No. | Name of the Transferor | BO ID | Quantity |
|---|---|---|---|
|  |  |  |  |
| Total Quantity | | | |

The Details of the IEPF Account to be credited is as follows:

| Name of the Applicant | BO ID | Quantity |
|---|---|---|
| Investor Education and Protection Fund Authority Ministry of Corporate Affairs. | | |

DECLARATION

I, ………………………….., state and confirm that :

- All the requirements of the Companies Act, 2013 and the rules made thereunder in respect of the subject matter and matters incidental thereto have been complied with. I further declare that all the information given herein above is true and correct and complete.

- The Transfer of shares is being effected only in respect of the shares where the BO has not encashed any dividend warrant during the last seven years as per the IEPF (Accounting,Audit,Transfer and Refund) Amendment Rules, 2017.
  .
- The Company has informed, at the latest available address, the shareholder concerned regarding the transfer of shares three months before the due date of transfer of shares and has also published a notice in the leading newspaper in English and Regional language informing the concerned that the names of such shareholders and their folio no.  or DP ID-Client ID are available on their website duly mentioning the website address.

- In respect of physical shares, the duplicate certificates issued have been duly transferred in favour of the IEPF Authority.

**Name          :**

**Designation   :**

**Signature     :**

**(Company Stamp)**

## RTA Letter

**To be provided on the letterhead of the RTA.**

Date:

To
Central Depository Servies (India) Ltd.
Marathon Futurex, Unit No. 2501
25<sup>th</sup> Floor, A-Wing, Mafatlal Mills Compound,
N M Joshi Marg, Lower Parel,
Mumbai – 400 013.

Dear Sir,

We have uploaded the data files (CDSL/NSDL/Physical) / debit corporate action file for transfer of shares to the IEPF Account.

The details of the file is as under:

| File Name | ISIN | Issuer Name | No. of Records | Quantity | Debit/ Credit | Execution Date |
|-----------|------|-------------|----------------|----------|---------------|----------------|
|           |      |             |                |          |               |                |

You are requested to process the Corporate Action as per details provided above.

Thanking you,

Yours faithfully,