

Procedure for claiming Shares / Dividend from Investor Education and Protection Fund Authority

Pursuant to the applicable provisions of the Companies Act, 2013 and the provisions of Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 (the “**Rules**”) notified by the Ministry of Corporate affairs effective September 7, 2016, all unpaid or unclaimed dividends are required to be transferred by the Company to the Investor Education and Protection Fund (“**IEPF**”) established by the Central Government, after completion of seven years.

The Rules, inter alia, also provide that, all shares in respect of which dividend(s) remain unpaid or unclaimed for a period of seven consecutive years shall be transferred to the DEMAT Account of the IEPF Authority (the “**IEPF DEMAT Account**”) within 30 days from the due date of transfer. The Rules can be accessed at <http://ebook.mca.gov.in/Default.aspx?page=rules>.

Both the unpaid / unclaimed dividend(s) and the corresponding shares transferred to the IEPF DEMAT Account including all benefits, if any, accruing on such shares after the date of transfer to the IEPF DEMAT Account **can be claimed from the IEPF Authority only.**

Guidelines for investors to file claim:

1. Submit an online application in Web based Form IEPF-5 available on the IEPF website <http://www.iepf.gov.in/IEPF/corporates.html> for refund. Read the instructions provided on the IEPF website / instruction kit along with the web-form carefully and attach the required documents in the e-form before filing the form to IEPF Authority.
2. While submitting web based form IEPF 5, the applicant shall enter his/her mobile number and email address. OPT shall be received for verification purpose. On completion of verification, the application may be submitted.
3. The system generated Indemnity bond, Advance Receipt, Acknowledgement of IEPF-5 and PDF version of the IEPF-5 web form submitted can be downloaded from ‘Track IEPF-5 SRN’ Service available on MCA website.
4. The Applicant shall send the following documents (duly signed) (physical copy) within 15 days from the date of filing the same to the Nodal Officer (IEPF) of the Company at the registered office of the Company at “**PETRONET LNG LTD., World Trade Centre, Babar Road, Barakhamba Lane, New Delhi - 110001**” in an envelope marked “**claim for a refund from IEPF Authority**” for initiating the verification for the claim (as the Company is also required 15 days to verify the claim) -

- i. Print out of duly filled claim form with claimant signature, and if there are joint holders than the Form should be signed by all the joint holders, along with annexures submitted along with form.
 - ii. Copy of acknowledgement generated after uploading the claim Form IEPF 5.
 - iii. Indemnity Bond (original) auto-generated after uploading the claim in Form IEPF 5 with claimant signature and proof of payment of applicable stamp duty.
 - iv. Advance Stamped receipt (original) auto-generated after uploading the claim in Form IEPF 5 with claimant signature and two witnesses (After Pasting Revenue Stamp).
 - v. In case of refund of shares (in physical form) are claimed, original share certificate (s) thereto.
 - vi. Original Cancelled Cheque leaf
 - vii. Self-attested copy of Client Master List of the Demat account (Source Account) from which the shares were debited / transferred to IEPF Authority. If the source account and the target account (demat account in which shares will be credited by IEPF Authority) are not same, then, it is mandatory to provide the Client Master List of the target account also.
 - viii. In case any Joint holder is deceased, Copy of Death certificate to be attached.
 - ix. Self-attested copy of Aadhaar Card, Copy of Passport, OCI and PIO card in case of foreigners and NRI duly apostilized. In case if joint holders, all such documents will be required for all the joint holders.
 - x. Self-attested copy of PAN card of all the joint holders of the shares.
 - xi. In cases of transmission, loss of original shares, mismatch in name and address etc., relevant documents as mentioned in -
Schedule II - with respect to documents to be submitted to the Authority to register transmission of securities and ;
Schedule III - with respect to documents to be submitted to the Authority in case of loss of securities held in physical mode
The details of which is annexed as **Annexure -A** and the same may also be accessed at this link <http://ebook.mca.gov.in/Default.aspx?page=rules>.
 - xii. Any other document relevant to prove entitlement of the claimant.
5. Claim forms completed in all respects will be verified by the Company and submit the e-verification report in this regard to IEPF Authority.
 6. Further, FAQs on claim procedure were issued by IEPF Authority which may be accessed at <https://www.iepfportal.in/faqs.html>.

The details of the Nodal officer(s) are available in nominated by the Company for the purpose of coordination with the IEPF Authority are as below::

1.	Nodal Officer	Mr. Rajan Kapur, CGM & Vice President – Company Secretary
2.	Dy. Nodal Officer	Ms. Ruchi Aggarwal, Senior Manager (Secretarial)
3.	Postal Address	Petronet LNG Limited, World Trade Centre, Babar Road, Barakhamba Lane, New Delhi – 110001
4.	Telephone No.	(011) 23472525
5.	E-mail ID	investors@petronetlng.com

Schedule II

Documents to be submitted to the Authority to register transmission of securities

A. Documentary requirement for securities held in physical mode

1. Where the shares are held singly with nomination:
 - 1.1. Duly signed transmission request form by the nominee.
 - 1.2. Original or copy of death certificate duly attested.
 - 1.3. Self-attested copy of PAN card.
 - 1.4. Original share certificate(s).
 - 1.5. Any other government ID proof of the nominee.
2. Where the shares are held singly without nomination, the following documents in addition to the documents specified at paragraph 1 are required:
 - 2.1 Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities:

Provided that in case the legal heir(s) or claimant(s) is named in the succession certificate or probate of will or Letter of Administration, an Affidavit from such legal heir(s) or claimant(s) alone would be sufficient.
 - 2.2 For value of securities up to Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents:
 - (a) Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.
 - (b) In the absence of the documents as mentioned at (a) above,
 - (i). No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed duly notarized
and
 - (ii). An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.
 - 2.3 For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.

3. Where the shares are held jointly with nomination:
 - 3.1 Duly signed transmission request form by the nominee.
 - 3.2 Original or copy of death certificate(s) of all the joint holders duly attested
 - 3.3 Self-attested copy of PAN card.
 - 3.4 Original share certificate(s).
 - 3.5 Any other government ID proof of the nominee.
4. Where the shares are held jointly without nomination, the following documents in addition to the documents specified at paragraph 3 are required:
 - 4.1 Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities.

Provided that in case the legal heir(s) or claimant(s) is named in the succession certificate or probate of will or Letter of Administration, an Affidavit from such legal heir(s) or claimant(s) alone would be sufficient.
 - 4.2 For value of securities upto Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents:
 - (a) Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.
 - (b) In the absence of the documents as mentioned at (a) above,
 - (i). No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder(s) not objecting to such transmission (or) copy of Family Settlement Deed duly notarized
and
 - (ii). An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.
 - 4.3 For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.

B. Documentary requirement for securities held in DEMAT mode

1. Where the shares are held singly with nomination:
 - 1.1. Duly signed transmission request form by the nominee.
 - 1.2. Original or copy of death certificate duly attested
 - 1.3. Self-attested copy of PAN card.
 - 1.4. Copy of transaction statement duly certified by Depository Participant.
 - 1.5. Any other government ID proof of the nominee.

2. Where the shares are held singly without nomination, the following documents in addition to the documents specified at paragraph 1 are required:
 - 2.1. Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities.

Provided that in case the legal heir(s) or claimant(s) is named in the succession certificate or probate of will or Letter of Administration, an Affidavit from such legal heir(s) or claimant(s) alone would be sufficient.
 - 2.2. For value of securities upto Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents:
 - (a) Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.
 - (b) In the absence of the documents as mentioned at (a) above,
 - (i) No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder not objecting to such transmission (or) copy of Family Settlement Deed duly notarized

and
 - (ii) An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.
 - 2.3 For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.

3. Where the shares are held jointly with nomination:
 - 3.1.1. Duly signed transmission request form by the nominee.
 - 3.1.2. Original or copy of death certificate(s) of all the joint holders duly attested
 - 3.1.3. Self-attested copy of PAN card.
 - 3.1.4. Copy of transaction statement duly certified by Depository Participant.
 - 3.1.5. Any other government ID proof of the nominee.

4. Where the shares are held jointly without nomination, the following documents in addition to the documents specified at paragraph 3 above are required:

4.1. Affidavit from all the legal heirs made on appropriate non-judicial stamp paper- to the effect of identification and claim of legal ownership to the securities:

Provided that in case the legal heir(s) or claimant(s) is named in the succession certificate or probate of will or Letter of Administration, an Affidavit from such legal heir(s) or claimant(s) alone would be sufficient.

4.2. For value of securities upto Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application, one or more of the following documents, namely:-

(a) Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.

(b) In the absence of the documents as mentioned at (a) above,

(i) No objection certificate from all legal heir(s) executed by all the legal heirs of the deceased holder(s) not objecting to such transmission (or) copy of Family Settlement Deed duly notarized

and

(ii) An Indemnity bond made on appropriate non-judicial stamp paper – indemnifying the STA or Issuer Company.

4.3. For value of securities more than Rs. 2,00,000 (Rupees Two lakh only) per issuer company as on date of application: Succession certificate or probate of will or letter of administration or court decree, as may be applicable in terms of Indian Succession Act, 1925.

Schedule III

Documents to be submitted to the Authority in case of loss of securities held in physical mode.

1. Notarised copy of FIR/ Police Compliant containing information of security holder, holding details, folio number and distinctive numbers of share certificate.
2. Surety Affidavit of value equal to market value that of shares as on date of execution along with his Proof of identity like Pan Card of sureties duly attested by Notary.
3. Indemnity bond by security holder on a non-judicial stamp paper of requisite value duly attested by Notary Public by the person, in whose name the original share certificate are being issued that he has not sold / disposed off the involved shares or acted in any manner by which any interest of third party would have been created.
4. Copy of advertisement issued in at least one English language national daily newspaper having nationwide circulation and in one regional language daily newspaper published in the place of registered office of company, if the market value of the shares is greater than Rs 10,000.