

## **Form 5 INV**

### **INSTRUCTIONS FOR FILLING OF FORM 5 INV**

#### **[Form 5 INV]**

##### **Notes:**

- Refer rule 3 of the Investor Education and Protection Fund (Uploading of information regarding unpaid and unclaimed amounts lying with companies) Rules, 2012 on the MCA portal under the head 'Acts & Rules'.
  - The information to be provided in the eForm should be as on the date of AGM.
  - Companies are required to file the form annually within 90 days from the AGM date.
  - No fee is required for filing of this eForm.
  - After the eForm has been filled, click the Pre-scrutiny button to pre-scrutinize the eForm. If the eForm is not pre-scrutinized, it shall be rejected when you attempt to upload the form.
- After successful upload of form 5 INV, the Investor-wise details of unclaimed and unpaid amounts need to be uploaded on the IEPF portal using the excel template. The excel template can be downloaded from IEPF portal (<http://iepf.gov.in/>)

##### **Steps to be followed to upload the excel file containing investor-wise details of unclaimed and unpaid amounts during the year**

1. Install the pre-requisite softwares to proceed. The path for the same is as follows: ***MCA Portal >> Investor Services >> IEPF >> IEPF Application >> Prerequisite Software***
2. The excel file needs to be uploaded within 14 days of upload of eForm 5-INV.
3. Download the excel template from the IEPF portal.
4. Download and install the excel tool kit. It is mandatory to install the tool kit before filling the excel template.
5. Fill the required details in the excel file and save. Refer detailed instructions for filling the excel sheet below.
6. Ensure that the correct details are entered in the excel file. The eForm 5-INV shall be marked as defective in the following cases:
  - In case there is a mismatch in the CIN, company name/Bank entered in the excel vis-à-vis the information filed in the eForm;
  - In case there is a mismatch between the sum of amount due in respect of all investors as entered in the excel file(s) vis-à-vis the total unclaimed and unpaid amount as entered in the eForm. **It is suggested that the excel file should be prepared before filling the details in the eForm 5-INV.**
  - In case any excel file has not been uploaded within 14 days of upload of eForm 5-INV. In case the form is marked as defective, its filing shall be rejected and it shall have to be filed afresh.
7. Click on the link 'Upload investor-wise details of unclaimed and unpaid amounts' on the IEPF portal. The path for the same is as follows:  
***MCA Portal >> Investor Services >> IEPF >> IEPF Application >> Upload Investor details***
8. Enter the User ID, Password (provided in the acknowledgement at the time of upload of eForm 5-INV) along with SRN of Form 5-INV and CIN/CNBIN. Please ensure that the details entered are correct. Click on validate button. After the details are validated, upload the excel file containing investor-wise details of unclaimed and unpaid amounts.
9. Multiple excel files can be uploaded in respect of a particular Form 5-INV, if required. All the excel files should be uploaded within the aforesaid time period

<p><b>10. Total size of all the excel files uploaded in respect of a particular SRN cannot exceed 40 MB.</b></p> <p><b>11. Ensure that the correct details are uploaded as details once uploaded cannot be modified. To modify the details, the excel file with the same file name shall have to be uploaded which shall replace the earlier file.</b></p> <p><b>12. Once all the excel file(s) have been uploaded, you are required to confirm the upload of the details within 15 days of upload of the eForm 5-INV.</b></p> <p><b>13. Click on “Confirm Upload of unclaimed and unpaid amount details”. Path for the same is as follows:</b>  <b><i>MCA Portal &gt;&gt; Investor Services &gt;&gt; IEPF &gt;&gt; IEPF Application &gt;&gt; Confirm Uploaded files</i></b></p> <p><b>14. Enter the CIN /CNBIN and SRN details and clicks on “Confirm” button.</b></p> <p><b>15. On successful confirmation, status shall be changed to “Confirm Upload”. In case uploaded details are not confirmed within the aforesaid time period, then the same shall be automatically confirmed by the system.</b></p>	
S No.	Detailed Instructions to file Form 5 - INV
	<p><b>Note:</b></p> <ul style="list-style-type: none"> <li>Instructions are not provided for the fields which are self explanatory.</li> <li>Ensure that the total unclaimed and unpaid amount as entered in the eForm should be same as the sum of amount due in respect of all investors as entered in the excel file(s). In case of mismatch, the eForm shall be marked as defective. <b>It is suggested that the excel file should be prepared before filling the details in the eForm 5INV.</b></li> </ul>
1	(a)
<p>Enter the ‘Corporate Identity Number’ (CIN) of the company/Bank for which statement of unclaimed and unpaid amounts is filed</p> <ul style="list-style-type: none"> <li>You may find CIN of the company by entering existing registration number or name of the company in the ‘Find CIN/GLN’ service at the MCA21 portal</li> </ul>	
2	(a), (b), (c)
<p>Click the “Pre-fill” button.</p> <p>System will automatically display the name, address of the registered office and the email ID of the company/Bank. In case there is any change in the email ID, enter the new valid email ID.</p>	
3	(a)
<p>Enter the financial year end date. This eForm can be filed only in respect of financial years ending on or after March 31, 2011.</p>	
Verification	Enter the serial number and date of board resolution authorising the signatory to sign and submit the eForm.
Digital signature	The eForm should be digitally signed by the managing director, director, manager or secretary of the company duly authorised by the board of directors.
Designation	Select the designation of the person digitally signing the eForm. Enter the DIN in case the person digitally signing the eForm is a director or managing director. Enter income-tax PAN in case the person signing the eForm is a manager Enter membership number or income-tax PAN in case the person digitally signing the eForm is a secretary. In case of corresponding new bank, Income-tax PAN to be provided.

Certification	The eForm should be certified by a chartered accountant (in whole-time practice) or cost accountant (in whole-time practice) or company secretary (in whole-time practice) by digitally signing the eForm. Select the relevant category of the professional and whether he/ she is an associate or fellow. In case the professional is a chartered accountant (in whole-time practice) or cost accountant (in whole-time practice), enter the membership number. In case the practicing professional is a company secretary (in whole-time practice), enter the certificate of practice number.
Pre-scrutiny	After the check eForm is successful and required documents have been attached, pre-scrutinize the eForm. This is a mandatory step.

### Instructions for filling the excel sheet

Detailed Instructions
<p>The excel template is having three worksheets:</p> <ol style="list-style-type: none"> <li><b>ReadMe</b> – Worksheet having instructions to fill the investor details. The users should go through these instructions before filling the investor details so that minimal errors are occurred.</li> <li><b>Investor Details</b> – Worksheet in which users have to enter the details of unclaimed and unpaid amounts.</li> <li><b>Error</b> – Worksheet in which errors shall be displayed upon click of Validate button in Investor Details.</li> </ol> <p>In Investor Details worksheet –</p> <ol style="list-style-type: none"> <li>The user is required to enable the Macros in downloaded excel template so that offline validations can be performed through the <b>Validate button</b>. It is important that you Enable Macro using following instructions :             <ol style="list-style-type: none"> <li>Excel 2000, 2003: Tools--&gt;Macro--&gt;Security--&gt;Select 'Low'--&gt;OK</li> <li>Excel 2007: Office Button--&gt;Excel Options--&gt;Trust Center--&gt;Trust Center Settings--&gt;Macro Settings--&gt;Enable all Macros--&gt;OK Please note:                     <ul style="list-style-type: none"> <li>Close the Excel Sheet and re-open it after enabling Macro to start.</li> <li>For all other excel types please use the help functionality of the Excel.</li> </ul> </li> </ol> </li> <li>The users is required to enter the valid CIN against CIN text field</li> <li>On click of the <b>Prefill button</b>, the company/bank name against CIN of the company/bank filed shall be filled automatically.</li> <li>The user is required to enter the required details Columns A to O for Investor Details (row 15 onwards) like First Name, Middle Name, Last Name, Address, Country, State etc</li> <li>The user is required to select the Country, State, District and Investment Type.</li> <li>The date should be in DD-Mon-YYYY format. ('Mon' implies first three alphabets of month).</li> <li>The user can also copy the entire set of columns from other sources and paste into investor details Columns A to O for Investor Details (row 15 onwards) in downloaded excel template.</li> <li>Once the entire investor details are entered or copied, the user is required to press the <b>Validate button</b> for the below mentioned offline validations:             <ul style="list-style-type: none"> <li><b>Investor First Name</b> -&gt; Mandatory if Last Name is blank and Length should be less or equal to 35 characters.</li> </ul> </li> </ol>

Detailed Instructions	
	<ul style="list-style-type: none"> <li>• <b>Investor Middle Name</b> -&gt; Length should be less or equal to 35 characters.</li> <li>• <b>Investor Last Name</b> -&gt; Mandatory if First Name is blank and Length should be less or equal to 35 characters.</li> <li>• <b>Father/Husband First Name</b> -&gt; Mandatory if Father/Husband Last Name is blank and Length should be less or equal to 35 characters.</li> <li>• <b>Father/Husband Second Name</b> -&gt; Length should be less or equal to 35 characters.</li> <li>• <b>Father/Husband Last Name</b> -&gt; Mandatory if Father/Husband First Name is blank and Length should be less or equal to 35 characters</li> <li>• <b>Address</b> -&gt; Mandatory and Length should be less or equal to 300 characters</li> <li>• <b>Country</b> -&gt; Mandatory and List of all countries shall be there. If the Country is other than INDIA state will be "NA".</li> <li>• <b>State</b> -&gt; Mandatory and If the Country is "INDIA", the state should be Indian state</li> <li>• <b>District</b> -&gt; If the Country is "INDIA", the district should be Indian districts corresponding to the state selected in dropdown.</li> <li>• <b>Pincode</b> -&gt; Mandatory and Length should be less or equal to 35 characters.</li> <li>• <b>Folio Number</b> -&gt; Mandatory and Length should be equal to 20 characters.</li> <li>• <b>Investment Type</b> -&gt; Mandatory and Length should be less or equal to 35 characters.</li> </ul> <p>The errors identified shall be displayed in the '<b>Error</b>' worksheet. Once all the listed errors are removed, the user shall save the updated excel sheet.</p>

### Common Instruction Kit

Buttons	Particulars
Pre Fill	<p>When the user clicks the pre fill button after entering the corporate identity number in eForm (excepting eForm INC-1), the name and address is displayed by the system.</p> <p>This button may appear more than once in an eForm, and shall be required to be clicked for displaying the data pertaining to that field.</p> <p>You are required to be connected to the internet for pre-filling.</p>
Check Form	<p>Once the form is filled up. The user is required to press the Check Form button. When this button is pressed form level validation is done such as, Whether all the mandatory fields are filled up or not. If an error is displayed after pressing the button the user is required to correct the mistake and again press the "Check Form" button. When all the form level validation is done. A message is displayed that "Form level pre scrutiny is successful". The Check Form is done without being connected to the internet.</p>
Modify	<p>"Modify" button gets enabled after the check form is done. By pressing this button the user can make the changes in the filled in form. If the user makes any change in the form again the user is required to press the "Check Form" button.</p>

Pre scrutiny	Once the check form is done the user is required to Pre scrutinize the eForm. This requires being connected to the MCA21 site for uploading the form. On pre-scrutiny the system level check is performed and if there are any errors it is displayed to the user and once the error is corrected and again on Pre scrutiny if the message displayed is "No errors found. Click on the button below to "Get Form". Press the Get Form button and make the required corrections.
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After pre scrutiny is done the user is required to submit the form. This requires being connected to the MCA21 site for uploading the form.