

## **PROCEDURE FOR CLAIMING UNPAID AMOUNTS AND SHARES FROM THE INVESTOR EDUCATION AND PROTECTION FUND (IEPF) AUTHORITY**

Any shareholder of the Company, whose shares and/or unclaimed or unpaid dividend amount has been transferred by the Company to IEPF Authority, pursuant to Section 124 of the Companies Act, 2013 read with the Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016 (IEPF Rules), can claim shares or unclaimed dividend amount from IEPF Authority, by following the below mentioned procedure:

### **STEP 1: CLAIMANT TO OBTAIN ENTITLEMENT FROM THE COMPANY**

- Before filing with the IEPF Authority, the Claimant shall submit the list of documents including PAN details, Demat details, client ID, folio number, and identification documents to the Company's IEPF Nodal Officer.
- Upon verification of the details in consultation with the Company's RTA, the Company shall issue an entitlement letter, which confirms your unclaimed or unpaid dividend or shares transferred to IEPF.

### **STEP 2: FILE WEB FORM IEPF-5**

- The Claimant to visit the Ministry of Corporate Affairs (MCA) portal at <https://www.mca.gov.in>
- Register and log in using your PAN-based credentials at <https://www.mca.gov.in/content/mca/global/en/foportal/fologin.html> and navigate to MCA Services → IEPF related services → IEPF-5 Web Form – Claiming unpaid amounts and shares.
- Complete the e-Form IEPF-5 online by entering the required information, and upload the preliminary documents requested and submit the form.
- Upon submission, a Service Request Number (SRN) will get generated and an acknowledgement. Please note the SRN for future tracking of the form.

The draft Form IEPF-5 along with its Instruction kit, as a guiding tool for filing the said Form is available at the Company's website at <https://www.focuslightingandfixtures.com/investors/web-form-and-kit-from-mca/> and at the IEPFA website <https://www.iepf.gov.in/content/dam/iepf/pdf/iepf-forms/kit-IEPF-5-20251017.pdf>

### STEP 3: SUBMISSION OF FILED FORM IEPF-5 AND OTHER

- The Claimant to take print of the IEPF Form 5 and the acknowledgement (Service Request Number (SRN)).
- Submit the following documents at the Registered office of the Company situated at 1007-1010, Wing A, Corporate Avenue, Sonawala Lane, Goregoan (E) Mumbai-400063, addressing Mrs. Deepali Sheth, Nodal Officer of the Company, in an envelope marked as **“Claim for refund of dividend or transfer of shares from IEPF Authority”**, for verification:
  - a. Self-attested Form IEPF-5
  - b. Copy of acknowledgement containing SRN.
  - c. Original Indemnity Bond to be executed on Non judicial stamp paper
  - d. Self-attested copy of Aadhar Card of the claimant and if there are joint holders, the copy of Aadhar card of all the joint holders is required.
  - e. Self-attested copy of PAN Card of the claimant and if there are joint holders, the copy of PAN card of all the joint holders is required.
  - f. Original Cancelled Cheque leaf containing name of the claimant(s). If name of claimant not printed on cheque, provide self-attested copy of first page of passbook.
  - g. Client Master List (CML) of Demat Account of the claimant, duly self-attested by all the claimants and attested by the Depository Participant.
  - h. Original Share Certificate(s), if shares held in physical form are being claimed.
  - i. Transaction Statement of demat account (In case where shares are in demat form are being claimed), wherein showing debit/ transfer of shares to IEPF, duly self-attested by all the claimants and attested by the Depository Participant.
  - j. Entitlement letter issued by the Company/RTA.
  - k. Self-attested copy of Passport, OCI and PIO card in case of foreigners and NRI.
  - l. Proof of entitlement
  - m. In case any Joint holder/Shareholder is deceased, Self-attested copy of death

### STEP 4: COMPANY VERIFICATION AND FORWARDING DOCUMENTS

On receipt of all original documents complete in all respects and if found in order, the Company shall submit the online Verification Report to the IEPF Authority and on the basis of said Verification Report, IEPFA reviews the claim, and upon fulfilment of all the criteria, IEPFA may approve the claim, and the refund be released by the IEPF Authority in favour of claimants' Aadhaar linked bank account through electronic transfer in case of amount is being claimed and in case of shares are being claimed, the same may be credited to shareholder's Demat account by IEPF.