

## **UNCLAIMED PRINCIPAL/INTEREST ON UPPCL BONDS**

All the bond holders of UPPCL Bonds, who have not redeemed their bonds or not received interest are requested to contact UPPCL Bond Cell as per details given below:

### **UPPCL Bonds Cell**

The Company Secretary/Compliance Officer  
U.P. Power Corporation Limited,  
14, Ashok Marg, Shakti Bhawan,  
Hazratganj, Lucknow-226001  
**Email ID : [companysecretary@uppcl.org](mailto:companysecretary@uppcl.org)**

DGM, Finance,  
U.P. Power Corporation Limited,  
14, Ashok Marg, Shakti Bhawan,  
Hazratganj, Lucknow-226001  
**Email ID : [bondinvestors@uppcl.org](mailto:bondinvestors@uppcl.org)**

**Amount lying unclaimed for 7 years would be transferred to Investor Education & Protection Fund as per statutory requirement in this regard.**

Investors shall send a duly signed request letter to the Company in the format and manner as prescribed in “*Annexure I*” requesting them to release the Unclaimed Amounts by attaching the following documents (Self-attested) to enable the Company to release the said amount:

- Copy of PAN;
- Copy of Address Proof;
- Copy of Cancelled Cheque/Bank Mandate (duly attested by Bank) – Same to be updated in their concerned DP;
- Copy of Updated Client Master Report attested by DP Representative;
- Copy of Passport/OCI card/ PIO card (for Foreigners/ NRI).
- Copy of Securities Holding Statement attested by DP Representative;
- Copy of Authorization Letter/Power of Attorney (if investor is non-individual) and
- Copy of LEI no. in case Unclaimed Amounts is more than Rs. 50 Crore.

***In case of Joint Applicants, the aforesaid documents need to be self-attested by both.***

In case claim is made by legal heir/ successor/ nominee, the aforementioned provisions in respect of the investor, shall apply, mutatis mutandis, to the legal heir/ successor/ nominee of the investor. The legal heir/ successor/ nominee shall satisfy the provisions specified under the SEBI Regulations and circulars issued thereunder, for the transmission of Non-

Convertible Securities and/ or the corresponding claim thereon, as applicable. In addition to above, legal heir / successor shall also submit following documents duly notarised by notary public:

- a. Copy of death certificate;
- b. Copy of the Succession Certificate or Legal Heir Certificate issued by a competent authority;
- c. Original No objection in form of an affidavit signed by other legal heirs relinquishing their rights in the format attached as **Annexure II**;
- d. Original Indemnity Bond duly signed by the Claimant in the format attached as **Annexure III**;
- e. Copy of PAN of sureties
- f. Copy of address proof of sureties
- g. Any other document, as required by UPPCL.

Upon receipt of a claim application, if the Company, upon examination, finds it necessary to call for further information or finds such application or document(s) to be defective or incomplete in any respect, it shall intimate the investor, of such defects or incompleteness. The Company shall advise / inform the investor to furnish such information or to rectify such defects or incompleteness or to resubmit such application or document(s) within 30 (thirty) days from the date of receipt of such communication, failing which the claim may be rejected. However, rejection of claims does not debar an investor from filing a fresh claim.

The Company shall within 30 (thirty) days of receipt of a claim application from an investor or complete information as called upon from the investor, remit the payment to the investor using electronic modes of funds transfer.

The details of the number of claims received, processed, pending etc. shall be displayed on the website of the Company.

**ANNEXURE I**

**Date:**

**To,**

**The Company Secretary/Compliance Officer,**

**U. P. Power Corporation Limited,**

**14, Ashok Marg, Shakti Bhawan,**

**Hazratganj, Lucknow-226001.**

**Sub: Request letter for release of unclaimed amount from escrow account**

**Name of Investor:**

**Name of Claimant:**

(in case of legal heir/ successor/ nominee)

**Date of Claim:**

**ISIN of Security:**

**Name of Security:**

**Category (Interest/Dividend/Redemption):**

**Date when amount became due:**

**No. of Bonds:**

**Amount unclaimed :**

**PAN of investor:**

**Address:**

**Contact No.:**

**Email Id:**

**Bank Name:**

(In case the Claimant is not the investor, please give bank details of Legal heir/successor/nominee)

**Bank Account no.:**

**Bank IFSC:**

**Name of Account Holder:**

**DP ID :**

**Client ID:**

**LEI No.** (in case unclaimed amount is more than Rs. 50 Crore):

I/We affirm that the claim is genuine, and the essential documents required for the processing of the claim, as stipulated in the policy, are enclosed herewith.

**(Signature of Claimant)**

## ANNEXURE II

### NO OBJECTION CERTIFICATE (IN THE FORM OF AN AFFIDAVIT)

*(To be executed by all the legal heirs of the deceased on a non-judicial stamp paper and notarised)*

To,

**The Company Secretary/Compliance Officer,**

**U. P. Power Corporation Limited,**

**14, Ashok Marg, Shakti Bhawan,**

**Hazratganj, Lucknow-226001.**

I/We, the legal heir(s) of late Mr. / Ms \_\_\_\_\_ (name of the deceased holder) declare as follows:

1. That Mr./ Mrs. \_\_\_\_\_ (Original Investor) died on \_\_\_\_\_ and was holding following securities with you:

<b>Name of the Claimant</b>	<b>Particulars of Securities</b>	<b>Units / Qty of Securities</b>
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2. The following are the surviving Legal heir(s) of the Original Investor:

<b>Name of all legal heirs</b>	<b>Relationship with deceased</b>	<b>Address</b>
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3. That \_\_\_\_\_ (hereinafter referred as "Claimant") has approached the UPPCL and requested to release the unclaimed interest/ redemption/ dividend amount (**strike out the options which are not applicable**) due to the Original Investor lying with the Company.

4. At the request of, and on the basis of the representations and warranties of the Legal heirs including that (i) there are no Legal Heirs other than those described in paragraph 2, and (ii) that I \_\_\_\_\_ son/ daughter of late \_\_\_\_\_ hereby agree to give **no objection** for release of the unclaimed interest/ dividend/ redemption amount for non-convertible securities of the deceased in favor of \_\_\_\_\_ (name of Claimant) and (iii) that there is no dispute or threatened or pending litigation on account of which the Company may not act as requested, and believing the same to be true.

5. I / we hereby declare that, I / we do not desire to make any claim in respect of the title to the aforesaid securities held by the deceased and I / we hereby wilfully relinquish and renounce all my /our rights in respect of the aforesaid securities and shall have no legal claim upon said securities in future.

6. That in the event the information / statements contained in above paragraphs is subsequently found to be incorrect, I/We agree/undertake to indemnify and keep indemnified the Company, its successors and assigns, and its directors, manager, secretary and shareholders from and against all actions, suits, proceedings, accounts, claims and demands of whatsoever nature for or on account of the said shares or dividends or any part thereof or otherwise in connection with the same, and from and against all losses, costs, claims, actions, demands, risks, charges, expenses, damages and losses of any nature whatsoever arising from or in relation to the act of payment of unclaimed interest/ dividend/ redemption amount for non-convertible securities to the Claimant by UPPCL.

7. I / We do hereby solemnly affirm and certify that the statements contained in above paragraphs are true to the best of my/our knowledge, information and belief and that nothing material has been concealed from being disclosed and binding on me / us.

**Signature of Legal Heir(s)  
(Deponent)**

**VERIFICATION**

I/We the above-named Deponent hereby solemnly affirm and state that what is stated herein above is true and correct to my/our knowledge.

Solemnly affirmed at \_\_\_\_\_

**Signature of Legal Heir(s)  
(Deponent)**

**ANNEXURE III**  
**INDEMNITY BOND**

*(To be executed by the Claimant on a non-judicial stamp paper and notarised)*

To,

**The Company Secretary/Compliance Officer,  
U. P. Power Corporation Limited,  
14, Ashok Marg, Shakti Bhawan,  
Hazratganj, Lucknow-226001.**

THIS DEED OF INDEMNITY is made at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_  
o \_\_\_\_\_ by Mr./Ms. \_\_\_\_\_ wife/son/daughter Mr./Ms. resident of  
\_\_\_\_\_ residing at \_\_\_\_\_ (which expression shall unless it be  
repugnant to the meaning or context thereof be deemed to mean and include them and  
their respective heirs, executors, administrators and legal representatives) of the First  
Part.

IN FAVOUR OF:

U. P. POWER CORPORATION LIMITED a company registered under the provisions of  
Companies Act, 1956 having its registered office 14, Ashok Marg, Shakti Bhawan,  
Hazratganj, Lucknow-226001 (hereinafter called as the "UPPCL/Company" which  
expression shall include unless repugnant to the subject or context be deemed to include  
their successors, permitted assigns, representatives) on the Other Part.

WHEREAS:

1. Mr./ Ms. \_\_\_\_\_ holds \_\_\_\_\_ (Non-Convertible Securities) in the UPPCL  
and the interest/ redemption/ dividend (strike out the options which are not applicable)  
remains unclaimed with respect to said security.
2. That Mr. \_\_\_\_\_ has passed away on \_\_\_\_\_.
3. That I \_\_\_\_\_ (hereinafter referred as "Claimant"), being the legal heir of the  
deceased have approached the UPPCL and requested for release of the unclaimed  
interest/ redemption/ dividend amount (hereinafter referred to as "Unclaimed  
amount") due to the \_\_\_\_\_ (name of original investor) lying with the  
Company.
4. That in support of the above said request, I have enclosed the following documents:
  - a .....
  - b .....



**NOW, THEREFORE, THIS INDEMNITY BOND WITNESSETH as under:**

1. In consideration of the above having agreed to comply with my request on my executing an indemnity bond in favour of the India UPPCL, I, the Claimant, hereunder for myself, my heirs, executors, administrators and assigns do hereby agree to indemnify and keep indemnified the Company, its successors, directors, manager and their heirs, executors and assigns from and against all actions, suits, proceedings, accounts, claims and demands whatsoever for or on account of the said securities or any part thereof or otherwise arising out of release of said unclaimed amount in my favor and from and against all losses, costs, claims, actions, demands, risks, charges, expenses, damages and losses arising in any manner whatsoever.
2. I hereby solemnly affirm and certify that the statements contained in above paragraphs are true to the best of my knowledge, information and belief and that nothing material has been concealed from being disclosed and are binding on me.
3. I hereby also confirm that all the documents submitted to Company are true and correct.

IN WITNESS whereof, this bond of indemnity is executed by my hand on this \_\_\_ day of \_\_\_, 20\_.

Signature: \_\_\_\_\_

Name of Claimant: \_\_\_\_\_

**SURETY**

We, the undersigned surety certify that the above facts are true to the best of our knowledge and bind ourselves as Surety to make good claims / charges, costs, damages, demands, expenses and losses which the company its successors and assigns may sustain, incur or be liable for in consequences of complying with the request contained above of the claimant herein and the said company, its successors, assignee will be entitled to claim and release all claims, charges, costs, damages, demands, expenses and losses from us or from our properties as the case may be.

<b>Sr.No.</b>	<b>Name and Address of Sureties</b>	<b>Signature of the Surety</b>

Signed before me

Official Stamp and Seal of the

Notary and Registration No.

(Signature of Notary)