POLICY FOR UNCLAIMED DISTRIBUTIONS OF POWERGRID INFRASTRUCTURE INVESTMENT TRUST
(Effective from March 01, 2024- Last Amended on August 05, 2025)

# POLICY FOR UNCLAIMED DISTRIBUTIONS OF POWERGRID INFRASTRUCTURE INVESTMENT TRUST

#### 1. PREAMBLE

The board of directors of POWERGRID Unchahar Transmission Limited (the "Board"), the investment manager (the "Investment Manager" or "IM") of POWERGRID Infrastructure Investment Trust (the "Trust" or "PGInvIT"), has adopted the following policy to formulate a claims process to be followed by the unitholders of PGInvIT ("Unitholders")/Claimants (as defined below) in relation to unclaimed or unpaid amounts from distributions made to them by PGInvIT, and transferred to the Unpaid Distribution Account, and subsequently, to the Investor Protection and Education Fund ("IPEF") in accordance with the Securities and Exchange Board of India (Infrastructure Investment Trust) Regulations, 2014. (the "Policy").

#### 2. APPLICABILITY

This Policy is applicable to PGInvIT and shall be adopted and implemented through the Investment Manager.

## 3. OBJECTIVE AND PURPOSE

The Policy lays down the framework and process to be followed by a Claimant (as defined below) for claiming their unclaimed or unpaid distribution amount, lying in the Unpaid Distribution Account (as defined below) or the IPEF, in accordance with Regulations 18(6)(e) and 18(6)(f) of the Securities and Exchange Board of India (Infrastructure Investment Trust) Regulations, 2014, as amended or supplemented, (the "SEBI InvIT Regulations"), read with the Securities and Exchange Board of India ("SEBI") circular no. SEBI/HO/DDHS/DDHS-RAC-1/P/CIR/2023/178 on 'Procedural framework for dealing with unclaimed amounts lying with Infrastructure Investment Trusts (InvITs) and manner of claiming such amounts by unitholders' dated November 8, 2023 as amended or supplemented, from time to time (hereinafter referred to as "SEBI Circular").

# 4. **DEFINITIONS**

"Applicable Law" means any statute, law, regulation, ordinance, rule, judgement, order, decree, bye- law, approval of any governmental agency, directive, guideline, policy, requirement or other government restriction or any similar form of decision of or determination by, or any interpretation having the force of law of any of the foregoing governmental agency having jurisdiction, applicable to any party, in force from time to time, including but not limited to the SEBI InvIT Regulations.

"Board" shall mean the board of directors of POWERGRID Unchahar Transmission Limited. "Claimant" shall mean without limitation, the following:

- a) Unitholder; or
- b) Legal Heir(s); or
- c) Nominee(s); or
- d) Surviving joint Unitholder(s) in case of demise of first joint Unitholder, where the unit(s) of PGInvIT is held in joint demat account; or
- e) Co-parceners of HUF in case of demise of Karta, where the unit(s) of PGInvIT is held in the name of Hindu Undivided Family (HUF),

who has filed a claim with PGInvIT in accordance with this Policy.

"Distribution" shall mean distribution made by PGInvIT to its Unitholders from time to time, in accordance with the SEBI InvIT Regulations and the Distribution Policy of PGInvIT ("Distribution Policy"),

"Distribution Account" means an account opened by PGInvIT with a scheduled bank, for making distribution to the Unitholders, in accordance with the SEBI InvIT Regulations and the Distribution Policy.

"**IPEF**" shall mean the Investor Protection and Education Fund, created by SEBI under the Securities and Exchange Board of India Act, 1992 and regulated under Securities and Exchange Board of India (Investor Protection and Education Fund) Regulations, 2009.

"Legal Heir(s)" shall mean the legal heir(s) or successor(s) of a Unitholder who satisfies the provisions specified under the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and circulars issued thereunder, for the transmission of Units and/or the corresponding claim, as applicable.

"Nodal Officer" shall mean the chief financial officer or company secretary and/or compliance officer or any director of the Investment Manager who is designated as nodal officer in accordance with the SEBI Circular.

"Nominee" shall mean nominee of an individual Unitholder as specified in his respective demat account with depository participant, who satisfies the provisions specified under the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and circulars issued thereunder, for the transmission of Units and/ or the corresponding claim, as applicable.

<sup>1</sup>["**Record Date**" for the payment of distribution shall be two working days from the date of the declaration of distribution, excluding the date of declaration and the record date.]

"RTA / RTA Agent" shall mean the Registrar and Transfer Agent appointed by PGInvIT.

"Unit" shall mean an undivided beneficial interest in PGInvIT, and such Units together represent the entire beneficial interest in PGInvIT.

"Unitholder" shall mean any person who holds any Unit of PGInvIT.

"Unclaimed or Unpaid Amount" means an amount which remains unclaimed by the Unitholders or unpaid to the Unitholder and subsequently transferred to the Unpaid Distribution Account or IPEF, as the case may be, in accordance with the SEBI InvIT Regulations, SEBI Circular or any circular(s) or notification(s) or guidelines issued by the SEBI, from time to time.

"Unpaid Distribution Account" shall mean the Bank Account, for each period respectively for which distribution is made, opened with a scheduled bank including Escrow account or existing Distribution Account re-designated to unpaid distribution account.

"Working Day" shall mean working days of the stock exchange(s) where the securities of PGInvIT are listed.

## 5. TRANSFER OF UNCLAIMED OR UNPAID AMOUNT TO UNPAID DISTRIBUTION ACCOUNT

- a) Where a distribution has been made by PGInvIT, through its Investment Manager, but the payment to Unitholders has remained unpaid or unclaimed for a period of up to <sup>2</sup>[5 working days from the Record Date], the Investment Manager shall, within 7 Working Days from the date of expiry of such period of <sup>2</sup>[5 working] days, transfer such unclaimed or unpaid amount to an Unpaid Distribution Account; and
- b) In the event that any amount transferred to the Unpaid Distribution Account in accordance with the above, remains unpaid or unclaimed for a period of 7 years from the due date of such transfer, such amount, along with interest accrued, if any, wherein such interest shall be accrued in case of default and for the period of default, as given in para 6 (a) below shall be transferred by the Investment Manager to the IPEF, within 30 days from the date of expiry of 7 years. Such transfer shall be made in the manner prescribed under SEBI circular no. SEBI/HO/GSD/TAD/P/CIR/2023/149 dated September 4, 2023, as amended or supplemented.

<sup>&</sup>lt;sup>1</sup> Inserted pursuant to the Securities and Exchange Board of India (Infrastructure Investment Trusts) (Third Amendment) Regulations, 2024.

<sup>&</sup>lt;sup>2</sup>Amended pursuant to the Securities and Exchange Board of India (Infrastructure Investment Trusts) (Third Amendment) Regulations, 2024.

# 6. CONSEQUENCES IN CASE OF DEFAULT

- a) In case any default is made in transferring the Unclaimed or Unpaid Amount to the Unpaid Distribution Account, IM shall pay an interest on the amount that has not been transferred to the Unpaid Distribution Account, for the period of default, being, from the date of default till the date of transfer of the Unclaimed or Unpaid Amount to the Unpaid Distribution Account, at the rate of interest as may be specified by SEBI from time to time. The said interest amount shall accrue to the Unitholder in proportion to the amount remaining unclaimed. The Investment Manager shall not recover such interest in the form of fees or any other form payable to the Investment Manager by PGInvIT.
- b) In case any default is made in transferring the Unclaimed or Unpaid Amount from the Unpaid Distribution Account to the IPEF by the Investment Manager, the Investment Manager shall be liable to a penalty in accordance with SEBI InvIT Regulations, SEBI Master Circular and any circular(s) or notification(s) or guidelines issued by the SEBI, from time to time. The Investment Manager shall not recover such a penalty in the form of fees or any other form, payable to the Investment Manager by the PGInvIT.

#### 7. NODAL OFFICER

The Investment Manager shall designate a Nodal Officer. Such Nodal Officer shall be the point of contact for the Unitholders entitled to claim their Unclaimed or Unpaid Amount, SEBI, Stock Exchanges and depositories. The details of the Nodal Officer are as follows:

Mr. Gaurav Malik, Chief Financial Officer, POWERGRID Unchahar Transmission Limited (IM to PGInvIT) Email id: unclaimed@pginvit.in, Contact details: +91 124 282 3170.

Principal Place of Business: Plot No. 2, Sector 29, Gurugram - 122001

In the event that there is any change in the Nodal Officer appointed by the Investment Manager, the Investment Manager on behalf of PGInvIT shall designate another person as a Nodal Officer within 15 days or within such timelines as may be specified by SEBI from time to time, of such change.

## 8. SEARCH FACILITY FOR THE UNITHOLDERS

The Investment Manager shall provide a search facility on the website of Trust for the Unitholders to verify if there is any Unclaimed or Unpaid Amount due to them and lying in the Unpaid Distribution Account of the Trust or the IPEF based on a search criteria as prescribed under the SEBI InvIT Regulations and the circulars, guidelines, rules issued thereunder.

# 9. PROCEDURE AND DOCUMENTATION REQUIRED FOR MAKING A CLAIM

Any Claimant claiming their Unclaimed or Unpaid Amount which (a) is lying in the Unpaid Distribution Account or (b) has been transferred to the IPEF by the Investment Manager, shall submit details for such claim alongwith the specified documents and / or such other documents required under the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and the circulars issued thereunder, each as amended in the following manner:

# I. Procedure and documentation for making a claim by Unitholder or Karta of HUF:

- (a) Claimant being a Unitholder or Karta of an HUF shall submit the following documents, duly certified by him/ her, to the Nodal Officer for claiming the Unclaimed or Unpaid Amount lying in the Unpaid Distribution Account or an amount which has been transferred from the Unpaid Distribution Account to the IPEF:
  - (i) Information in the format of the letter provided herein as **Annexure-I**, for submitting the claim, containing the details of the unclaimed distributions for the respective quarter(s) (for e.g. If distribution is not received for the April June quarter of FY 2021-22, then it should be mentioned as Q1-FY 2021-22).

- (ii) Self-attested latest Client Master Ledger ("CML") stating the current bank account details from Depository Participants.
- (iii) Copy of cancelled cheque of bank account where payment is to be remitted, as mentioned in CML.
- (iv) Original Distribution Warrant/Demand Draft ("**DD**") (if the validity period of the DD is not expired)
- (v) Self-attested copy of Permanent Account Number ("PAN") of the Unitholder issued by the Income Tax Department of India.
- (vi) Self-attested copy of Address Proof (for e.g. Driving License, Aadhaar card, passport) of the Unitholder. In case of foreigners and Non-Resident Indian ("NRI"), copy of Passport, Overseas Citizen of India ("OCI") and Person of Indian Origin ("PIO") card to be provided.
- (vii) In the case of non-individual unitholders, requisite documents evidencing the authorization to the person who is claiming the Unclaimed amount on behalf of such unitholder for example power of attorney, board resolution or letter of authority.
- (b) Upon the receipt of the documents, the Nodal Officer or the concerned department or the RTA will verify the particulars of the claim submitted by the Claimant and will process the claim in accordance with the internal policy adopted by PGInvIT for remitting payment of Unclaimed or Unpaid Amount through electronic mode into the bank account of the Claimant within the timelines as specified in the Policy. Nodal Officer/ concerned department/ RTA, at its discretion, may call for further information/ clarification with respect to the claim submitted by the Claimant.
- (c) After verifying and processing the request by the Nodal Officer or concerned department or RTA, a confirmation will be sent to the Claimant to the effect that the claim submitted by the Claimant is processed and payment of Unclaimed or Unpaid Amount has been remitted.

# II. Procedure and Documentation for making a claim by the Legal Heir(s) or Nominee(s) of the deceased sole Unitholder:

(a) In the event nomination is provided in the demat account held withdepository participants

In the event of death of the Unitholder, the Legal Heir(s)/ Nominee(s) of the deceased Unitholder shall submit the following documents to the Nodal Officer:

Request letter (in the format prescribed under **Annexure-II**), for claiming the Unclaimed or Unpaid Amount, along with following details shall be submitted by the Nominee:

- (i) Copy of PAN of the deceased Unitholder issued by the Income Tax Department of India.
- (ii) Address proof of the deceased Unitholder (for e.g. Driving License, Aadhaar card, passport).
- (iii) Depository Participant ("DP") and Client ID of the deceased Unitholder.
- (iv) Copy of the CML of the deceased Unitholder
- (v) Copy of death certificate attested by the Nominee(s), subject to verification with the original or copy of death certificate duly attested by a notary public or by a Gazetted Officer.

- (vi) Self-attested copy of -
  - Permanent Account Number of the Nominee(s) issued by the Income Tax Department of India
  - 2. Bank account details of Nominee(s) where the Unclaimed or Unpaid Amount is to be transferred along with the cancelled cheque.
  - 3. Identity proof of the Nominee(s) i.e. copy of Aadhaar card, passport or driving license.
  - 4. Address Proof of the Nominee(s) (for e.g. Driving License, Aadhaar card, passport). In case of foreigners and NRI, copy of Passport, OCI and PIO card to be provided.

# (b) In the event no nomination is provided in the demat account held with depository participants.

Request letter (in the format prescribed under **Annexure-II**), for claiming the Unclaimed or Unpaid Amount along with following details shall be submitted by the Legal Heir(s):

- (i) Copy of PAN of the deceased Unitholder issued by the Income Tax Department of India
- (ii) Address proof of deceased Unitholder (for e.g. Driving License, Aadhaar card, passport).
- (iii) DP and Client ID of deceased Unitholder
- (iv) Copy of the CML of the deceased Unitholder
- (v) Copy of death certificate attested by the Legal Heir(s), subject to verification with the original or copy of death certificate duly attested by a notary public or by a Gazetted Officer.
- (vi) Self-attested copy of
  - 1. the PAN card of the Legal Heir(s), issued by the Income Tax Department of India.
  - 2. Bank account details of Legal heir(s) where the Unclaimed or Unpaid Amount is to be transferred along with the cancelled cheque.
  - 3. Identity proof of the Legal heir(s) i.e. copy of Aadhaar card, passport or driving license.
  - 4. Address Proof of the Legal heir(s) (for e.g. Driving License, Aadhaar card, passport). In case of foreigners and NRI, copy of Passport, OCI and PIO card to be provided.
- (vii) Notarized Affidavit (in the format prescribed under **Annexure-IIA**) from the Legal Heir(s) made on the non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the Units.
  - (However, in case the Legal Heir(s) are named in succession certificate or probate of will or will or letter of administration as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925) or legal heirship certificate or its equivalent certificate issued by a competent government authority, instead of affidavit from all Legal Heir(s), an affidavit from such Legal Heir(s)/Claimant(s) alone shall be sufficient.)
- (viii) a copy of the succession certificate or probate of will or letter of administration or court decree as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925) or legal heirship certificate or its equivalent certificate issued by a competent government authority, attested by the Legal Heir(s)/Claimant(s) subject to verification with the original or copy of such document duly attested by a notary public or by a Gazetted Officer.

- (ix) In cases where a copy of will is submitted as may be applicable in terms of Indian Succession Act, 1925 (39 of 1925), then the same shall be accompanied with the following additional documents:
  - 1. a notarized indemnity bond (in the format prescribed under **Annexure- IIB**) made on the non-judicial stamp paper of appropriate value from the Legal Heir(s)/Claimant
  - 2. No Objection Certificate from all Legal Heir(s) in favour of Claimant
  - 3. Affidavit from witness about confirmation of will wherever alive or otherwise death certificate of such witness
  - 4. Affidavit confirming the will as the last will and that no litigation is pending before any court with regard to such will
  - 5. Surety Affidavit by at least two sureties with their PAN Card
  - (x) In cases where a copy of the legal heirship certificate or its equivalent certificate issued by a competent government authority is submitted, the same shall be accompanied with the following additional documents:
    - 1. a notarized indemnity bond from the Legal Heir(s)/Claimant (in the format prescribed under **Annexure-IIB**) made on non-judicial stamp paper of appropriate value
    - 2. No Objection (in the format prescribed under **Annexure-IIC**) from all non-claimants (including remaining legal heirs), stating that they have relinquished their rights to the claim for Unclaimed or Unpaid Amount, duly attested by a notary public or by a Gazetted Officer or copy of duly executed family settlement deed by all legal heirs and duly attested by a notary public or by a Gazetted Officer.
- (c) Upon the receipt of the documents as stated above, the Nodal Officer or concerned department or RTA will verify the particulars of the claim submitted by the Legal Heir(s)/ Nominee(s), as the case may be and will be processed in accordance with the internal policy adopted by PGInvIT for crediting the Unclaimed or Unpaid Amount into the bank account of such Claimant within the timelines as specified in the Policy. However, Nodal Officer or concerned department or RTA at its discretion, may call for further information/clarification with respect to the claim submitted by the Legal Heir(s)/ Nominee(s).
- (d) After verifying and processing the documents and information requested by the Nodal Officer or concerned department or RTA, a confirmation will be sent to the Claimant confirming that the claim submitted by the Legal Heir(s)/ Nominee(s) is processed and payment of the Unclaimed or Unpaid Amount has been initiated.
- (e) **Transmission of Securities:** The legal heir/ successor/ nominee shall satisfy the provisions specified under the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and circulars issued thereunder, for the transmission of units of PGInvIT.

# III. When units are held in the name of joint holder(s)

(a) In the event of the death of the first holder, the surviving holders shall submit following documents to the Nodal Officer:

Request letter as stipulated in Annexure-III, along with the following details:

(i) Copy of PAN of the deceased Unitholder issued by the Income Tax Department

- (ii) Address proof of deceased Unitholder (for e.g. Driving License, Aadhaar card, passport). In case of foreigners and NRI, copy of Passport, OCI and PIO card to be provided.
- (iii) DP and Client ID of deceased Unitholder.
- (iv) Copy of death certificate of the deceased unitholder, duly attested by the surviving holders(s), which shall be subject to the verification with the original or copy of death certificate duly attested by the notary public or Gazetted Officer.
- (v) Original Distribution Warrant/Demand Draft (if the validity period of the DD is not expired)
- (vi) Client Master Report ("CML") of the demat account in the name of the surviving holder(s)
- (vii) Copy of cancelled cheque for remittance of payment.
- (viii) Self-attested copy of
  - 1. the PAN card of the Claimant, issued by the Income Tax Department of India.
  - 2. Address Proof of the Claimant (for e.g. Driving License, Aadhaar card, passport). In case of foreigners and NRI, copy of passport, OCI and PIO card to be provided.
- (b) Upon the receipt of the documents as stated above, completed in all aspects, the Nodal Officer/or concerned department or RTA will verify the particulars of the claim submitted by the surviving holder(s) and will process the claim to initiate the crediting of the unclaimed amount into the bank account of such Claimant within the timelines as specified in this Policy. However, the Nodal Officer or concerned department or RTA at its discretion may call for further information/clarification with respect to the claim submitted by the Claimant.
- (c) After verifying and processing the request received by the Nodal Officer or concerned department or RTA, a confirmation will be sent to the Claimant confirming that the claim submitted by the surviving holder(s) is processed and payment of Unclaimed or Unpaid amount has been initiated.

#### 10. MANNER OF SUBMISSION OF CLAIM BY THE CLAIMANT

Claimant(s) can submit their claims along with requisite documents duly certified by them, as mentioned above, to the Nodal Officer, at the email addresses, being, <u>unclaimed@pginvit.in</u>

The manner and formats for filing the documents, execution, and instructions in relation to signing are included in the formats annexed with this Policy. While submitting the claim, Claimant(s) need to submit the complete documents as per the format.

## 11. TIMELINES:

## I. <u>Timelines for the Claimant</u>.

Upon the receipt of claim from Claimant, if Nodal Officer or concerned department or RTA, upon examination, finds it necessary to call for further information or finds that the claim or documents submitted by Claimant to be defective or incomplete, in any respect, then Nodal Officer or concerned department or RTA shall intimate the Claimant, to furnish such other information or to rectify such defects or incompleteness of documents through email or written communication within 30 days from the date of receipt of communication sent by the Nodal Officer or concerned department or RTA to the Claimant, failing which the claim may be rejected. However, rejection of claim does not debar a Claimant from filing a fresh claim after rectifying the deficiencies.

# II. <u>Timelines within which the claim shall be processed by the Investment Manager.</u>

The claim submitted by the Claimant shall be processed by the Nodal Officer or concerned department or RTA and the payment of unclaimed amount will be processed through electronic mode into the bank account of claimant, within the 30 days from the date of receipt of Claim complete in all respects or within 30 days from the date when complete information (including additional documents, if requested) as called upon is provided by the Claimant. The claim shall be processed only subject to the documents being submitted by the claimant are in accordance with the requirements mentioned in this Policy or any other statutory requirement.

## 12. CONDITION OF REJECTION OF CLAIM

If the documents/clarification sought on the claim submitted by the Claimant, is not received within the timelines as specified in the Policy or the same are incorrect/incomplete/inadequate or cannot be verified in accordance with the requirements specified in this Policy, then the Nodal Officer or concerned department or RTA, may reject the claim by citing the reasons for rejection, in writing (through email or written communication) to the Claimant. However, such rejection of claim does not debar a Claimant from filing a fresh claim.

#### 13. PRESERVATION OF INFORMATION

PGInvIT, through its IM, shall preserve the information pertaining to the unclaimed amounts of the Unitholders including relevant documentation for such period as prescribed under the SEBI InvIT Regulations and the circulars, guidelines, rules or notifications issued thereunder.

## 14. CONFLICT WITH APPLICABLE LAW

This Policy shall not contradict with the provisions of any Applicable Law. In case of any discrepancy, the provisions of Applicable Law shall prevail over the provisions of this Policy.

#### 15. AMENDMENT

Notwithstanding the above, this Policy will stand amended to the extent of any change in Applicable Law, without any action from the Investment Manager or approval of the Board or unitholders of the Trust. The Board reserves the right to amend or modify this Policy, in whole or in part, from time to time, in accordance with Applicable Law, as may be required.

Adopted by the board of directors of POWERGRID Unchahar Transmission Limited on behalf of the Trust on 28th February, 2024 and last amended on August 05, 2025.

# Annexure-I Format for claiming Unpaid or Unclaimed Amount by Unitholder or Karta of HUF

	Format for claiming Un	paid or Unclaimed Amo	ount by Unitholder	or Karta of HUF	
Date:					
То,					
Nodal Officer		a			
	O Unchahar Transmission Limited	(Investment Manager to			
PGInvIT)					
	ector 29 Gurgaon				
Haryana – 12					
Email: <u>unclai</u>	med@pginvit.in powergrid.invit@l	cfintech.com			
Dear Sir,					
Sub: Requ	est for payment of Unclaimed or	r Unpaid Amount			
I/We	(name of unitholo	der), aged years, son/dau	ghter of	residing at	
	, [acting as karta o	of (retain	as applicable)] of	do solemnly declare	and confiri
that I/we hav	ve not received the distribution	for the period/quarter as	mentioned below 1	In this regard I/we am/s	are providin
	information and enclosing the				
	Unpaid Amount from the;	copies of the document	5 required to chao	ie you to process the	Payment (
	•				
00 Amount(s	s) lying under the Unpaid Distrib	ution Account of POWI	ERGRID Infrastructi	ure Investment Trust ("1	PGInvIT").
		OR			
		OR			
00 Amount(s	) which has been transferred to Inv	estor Protection and Educ	cation Fund (" <b>IPEF</b> "	") (Please tick appropri	ately 🗸 )
	,			) ( III I	, , , , , , , , , , , , , , , , , , ,
	Name of the Unitholder				$\neg$
	DP Id				
	Client Id				
		Period for which	No. of units held	Amount unpaid	
		distribution is unpaid or		Amount unpara	
		unclaimed			
	Amount of distribution unpaid or				
	unclaimed				=
					_
					-
	PAN No. (Self-attested)				_
	Mobile No				-
	Email Id of the Unitholder				-
	Reason of Unclaimed Amount				$\dashv$
	Reason of Chefanned Amount				
I request you	to credit the above distribution	amount in my bank aga	ount as nor dotails r	mantioned halow in lie	u of origin
demand draft		amount in my bank acco	ount as per details i	mentioned below, in he	u or origin
demand draft	(s) issued.				
	Bank Name				7
	Account Number				4
					-
	Account Type*				4
	IFSC Code				4
	MICR No.				4
	Name of Bank Branch				_
	City				_
	PIN				

In consideration of you having agreed to credit the distribution amount in the bank account as per the details mentioned above in my name, I/We hereby agree to undertake that upon having agreed to credit the above distribution amount in the bank account, I/we the undersigned applicant hereunder on behalf of myself/ ourself, my/our heirs, executors, administrators and assigns shall jointly and severally, indemnify and keep indemnified PGInvIT and PUTL, the Investment Manager of PGInvIT, its successors, assigns, its directors, officers, employees and unitholders and their heirs, executors and assigns, at all times, from and against any and all actions, suits, proceedings, accounts, claims and demands made, suffered or incurred, including any legal or other fees and expenses actually incurred in connection with investigating, disputing, preparing or defending any actions, claims, suits or proceedings, to which such entities/individuals may become subject to under any applicable law or otherwise consequent upon or arising, directly or indirectly, out of or on account of the said distribution amount or any part thereof or otherwise in connection with the same.

I/ We am/ are enclosing the following documents along with the Claim format for remitting the payments:

- 1. Self-attested latest Client Master Ledger (CML) stating the current bank account details from Depository Participants.
- 2. Copy of cancelled cheque of bank account where payment to be remitted, as mentioned in CML.
- 3. Original Distribution Warrant/Demand Draft (<u>if the validity period of the DD is not expired</u>)
- 4. Self-attested copy of PAN Card of the Unitholder.
- Self-attested copy of Address Proof (for e.g. Driving License, Aadhaar card, passport) of the Unitholder.
   In case of foreigners and Non-Resident Indian (NRI), copy of Passport, Overseas Citizen of India (OCI) and Person of Indian Origin (PIO) card to be provided.
- 6. In case of non-individual unitholders, requisite documents evidencing the authorization to the person who is claiming the Unclaimed amount on behalf of such unitholder for example Power of Attorney, Board Resolution or Letter of Authority.

Signature of Unitholder:

Email: Contact No.: Date:

# Copy to:

**KFin Technologies Limited (Unit:** InvIT & ReIT Operations)1<sup>st</sup> Floor, Selenium Tower B Plot 31 & 32, Gachibowli Financial District, Nanakramguda, Serilingampally Hyderabad 500 032 Telangana, India Tel: +91 040 79615205; Email: powergrid.invit@kfintech.com

## Annexure-II

Request letter in respect of claiming Unclaimed or Unpaid Amount by Legal Heir(s)/Successor(s)/Nominee(s)/Administrator(s) of the deceased Unitholder.

Date:	
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To,

Nodal Officer,

POWERGRID Unchahar Transmission Limited (Investment Manager to

PGInvIT)

Plot No. 2, Sector 29 Gurgaon

Haryana - 122001

Email: <a href="mailto:unclaimed@pginvit.in">unclaimed@pginvit.in</a> powergrid.invit@kfintech.com

Dear Sir/Madam,

# Sub: Submission of Claim by the Legal Heir(s)/Successor(s)/Nominee(s) of the Deceased Unitholder.

Name of Claimant#
Mr./Ms.
Name of the Guardian (in case of Claimant is Minor) Mr./Ms.
in case the claimant is a minor → Date of Birth of the minor* Relationship with Minor: (Please tick appropriately ✓)  00 Father 00 Mother 00 Court Appointed Guardian*:
PAN (Claimant(s)/Guardian): (Please tick
appropriately $\checkmark$ )
00 KYC Acknowledgment attached or 00 KYC form attached
Tax Status: 00 Resident Individual 00 Resident Minor (through Guardian) 00 NRI
00 PIO 00 Other (Please tick appropriately ✓)
# in case of multiple claimants, separate form duly signed by each claimant shall be provided to the Investment Manager of POWERGRID Infrastructure
Investment Trust ("PGInvIT").
*Please attach relevant proof
I/We, the claimant(s) named hereinabove, hereby inform you about the demise of the below mentioned Unitholder(s) and request
you to remit the unclaimed or unpaid distribution amount held by the deceased holder(s) in my/our favor in my/our capacity as –
00 Nominee 00 Legal Heir
00 Successor to the Estate of the deceased 00 Administrator of the Estate of the deceased
00 Co-parceners of HUF (in case demise of Karta) (Please tick appropriately ✔)
Name of deceased holder(s)  Date of Demise**

<sup>\*\*</sup> Please attach certified copy of Death Certificate.

Details of Uncla	imed or Unpaid Amount	:			
Name of Deceased Unitholder	DP and Client ID of Deceased Unitholder	Period for which distribution is unpaid or unclaimed	No. of Units held by Deceased Person	Amount unpaid or unclaimed	% of Claim <sup>@</sup>

<sup>@</sup> As per Nomination OR as per the Will/Probate/Succession Certificate/Letter of Administration/ Legal Heirship Certificate (or its equivalent certificate)/ Court Decree, if applicable. If no such information is provided, then the claim will be processed amongst all claimants in equal proportionate.

	ant:	
Iobile Number		
Celephone Number	_	
Email ID	_	
Address^		
	City:State:	PIN Code
Please note that the address will	be updated as per the address on KYC form / KYC	Registration Agency records.
Bank Account Details of	the Claimant:	
Bank Name		
Account Number		
Account Type*	_	
IFSC Code		
MICR No.		
Name of Bank Branch		
City PIN		
= == ',	  celled cheque with claimant name printed or clain	
Occupation: 00 Private 00 Business 00 Professio Others	on: (Please tick appropriately  ✓) Sector Service 00 Public Sector Service onal 00Agriculturist 00 Retired 00 Home	Maker OOStudent OOForex Dealer OO
	olitically Exposed Person 00 Related to le)	a Politically Exposed Person
00 Neither (Not applicabl	T) 00 D 1 1 1 T 00 1 T T	00 5 10 5
Gross Annual Income (		00 5-10 Lacs 00 10-25 Lacs >1Crore
Gross Annual Income (i	00 25Lacs-1 Crore 00>	
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FATCA and CRS Inform Country of Birth: Place of Birth: Nationality: Are you a tax resident If Yes, please mention all	00 25Lacs-1 Crore 00> nation:  of any country other than India? 00? If the countries in which you are resident	Yes 00 No for tax purposes and the associated
FATCA and CRS Inform Country of Birth: Place of Birth: Nationality: Are you a tax resident If Yes, please mention all Taxpayer Identification	00 25Lacs-1 Crore 00> nation:  of any country other than India? 00 il the countries in which you are resident Number and its identification type in	Yes 00 No for tax purposes and the associated the column below.
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FATCA and CRS Inform Country of Birth: Place of Birth: Nationality: Are you a tax resident If Yes, please mention all Taxpayer Identification	00 25Lacs-1 Crore 00> nation:  of any country other than India? 00 il the countries in which you are resident Number and its identification type in	Yes 00 No for tax purposes and the associated the column below.
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FATCA and CRS Inform Country of Birth: Place of Birth: Nationality: Are you a tax resident If Yes, please mention all Taxpayer Identification	00 25Lacs-1 Crore 00> nation:  of any country other than India? 00 il the countries in which you are resident Number and its identification type in	Yes 00 No for tax purposes and the associated the column below.

# Declaration and Signature of the Claimant(s)

I have attached herewith all the relevant / required documents as indicated in the Policy with respect to the claim submitted by the Legal Heir/Successor/Nominee.

I confirm that the information provided above is true and correct to the best of my knowledge and belief.

I/We undertake to keep PGInvIT, its Investment Manager and its Registrar and Transfer Agent informed about any changes/modification to the above information in future and undertake to provide any other additional information as may be required by them.

I/We hereby authorize PGInvIT, its Investment Manager and its Registrar and Transfer Agent to provide/ share any of the information provided by me/us including my holdings, if any in PGInvIT to any governmental or statutory or judicial authorities/agencies as required by law without any obligation of informing me of the same. In consideration of you having agreed to credit the distribution amount in the bank account as per the details mentioned above in my name, I/We hereby agree to undertake that upon having agreed to credit the above distribution amount in the bank account, I/we the undersigned applicant hereunder for myself/ ourself, my/our heirs, executors, administrators and assigns shall jointly and severally, indemnify and keep indemnified PGInvIT and PUTL, the Investment Manager of PGInvIT, its successors, assigns, its directors, officers, employees and unitholders and their heirs, executors and assigns, at all times, from and against any and all actions, suits, proceedings, accounts, claims and demands made, suffered or incurred, including any legal or other fees and expenses actually incurred in connection with investigating, disputing, preparing or defending any actions, claims, suits or proceedings, to which such entities/individuals may become subject to under any applicable law or otherwise consequent upon or arising, directly or indirectly, out of or on account of the said distribution amount or any part thereof or otherwise in connection with the

Place:	
Date:	Signature of Claimant

#### Encl:

- 1. Copy of Permanent Account Number (PAN) of the deceased Unitholder
- 2. Address proof of the deceased Unitholder
- 2. Copy of Death Certificate of the deceased holder.
- 4. Copy of the Client Master Ledger (CML) of the deceased Unitholder.
- 5. Copy of Birth Certificate (in case the Claimant is a minor).
- 6. Copy of PAN Card of Claimant / Guardian.
- 7. Address proof of Claimant
- 8. Identity proof of Claimant
- 9. KYC Acknowledgment OR KYC form of Claimant pursuant to SEBI Circular SEBI/HO/MIRSD/SECFATF/P/CIR/2023/169 dated October 12, 2023
- 10. Cancelled cheque with claimant's name printed OR Claimant's Bank Statement/Passbook.
- 11. Affidavits as per Annexure-IIA (if no nomination)
- 12. Bond of Indemnity as per Annexure-IIB (if no nomination)
- 13. NOC as per Annexure-IIC (if no nomination)

## Copy to:

**KFin Technologies Limited** (**Unit:** InvIT & ReIT Operations)1<sup>st</sup> Floor, Selenium Tower B Plot 31 & 32, Gachibowli Financial District, Nanakramguda, Serilingampally Hyderabad 500 032 Telangana, India Tel: +91 040 79615205; Email: powergrid.invit@kfintech.com

## Annexure-II A

Affidavits to be given by all the Legal Heirs or Legal Heirs named in Succession Certificate/ Probate of Will/ Will/ Letter of Administration/ Legal Heirship Certificate (or its equivalent certificate)/Court Decree.

For claiming of Unclaimed or Unpaid Distribution, on death of Sole Unitholder where no nomination has been registered

Each Deponent (legal heir) shall sign separate Affidavits.

# (To be executed on a Non-Judicial Stamp of appropriate Value and Notarized)

	sis/her name as single l	_(Name of Deceased holder:	Unitholder) has the	following unclaim	ned or unpaid Distr	ibution
	Name of Deceased Unitholder	DP and Client ID of Deceased Unitholder	Period for which distribution is unpaid or unclaimed	No. of Units held by Deceased Person	Amount unpaid or unclaimed	
surviving he dated	irs as per the Succes	Unitholder died intest sion Certificate/Legal ling to the Law of Inting any nominee.*	Heirship Certificate	(or its equivalent of	certificate)/Court De	ecree
surviving he datedhis/her death	irs as per the Succes/ accord and without registering aforesaid deceased	sion Certificate/Legal ling to the Law of Integration of Integrati	Heirship Certificate estate Succession by  OR behind the following	(or its equivalent of which he/she was persons as the le	certificate)/Court De governed at the tin	ecree ne of
surviving he datedhis/her death	irs as per the Succes / accord and without registering aforesaid deceased	sion Certificate/Legal ling to the Law of Intendence.*  holder died leaving ration dated and without	Heirship Certificate estate Succession by  OR behind the following tregistering any nom	(or its equivalent of which he/she was persons as the lefinee. *	certificate)/Court De governed at the tin egatees as per the	ecree ne of
surviving he datedhis/her death  OO That the Probated Wi	irs as per the Succes/ accord and without registering aforesaid deceased	sion Certificate/Legal ling to the Law of Intendence.*  holder died leaving ration dated and without	Heirship Certificate estate Succession by  OR behind the following	(or its equivalent of which he/she was persons as the lefinee. *	certificate)/Court De governed at the tin	ecree ne of
surviving he datedhis/her death  OO That the Probated Will  A copy of the	irs as per the Succes  / accord and without registering aforesaid deceased // Letter of Administr  Name of the Legal Hort  2) 3)  Succession Certificate	sion Certificate/Legal ling to the Law of Intendence.*  holder died leaving ration dated and without	OR behind the following tregistering any nome to the contact details	(or its equivalent of which he/she was a persons as the letinee. *    Age   Relation	certificate)/Court Degoverned at the time egatees as per the	ecree ne of Will/

# Verification

I hereby solemnly affirm and state that what is stated herein above is true and correct and nothing has been concealed therein and that we I am competent to contract and entitled to rights and benefits of the above mentioned unclaimed or unpaid distribution amount of the deceased.

Solemnly affirmed at:	Signature of Deponent:

Signed before me

Place: Date: Signature of Notary with Official Seal of Notary & Regn. No.

\* Strikethrough whichever is not applicable.

# Annexure-II B

# Indemnity Bond given by all Legal Heir(s) of the deceased Unitholder including Claimant(s)

For claiming of Unclaimed or Unpaid Distribution, on death of Sole Unitholder where no nomination has been registered

	(To be execu	ited on a	Non-Judicia	d Stamp of appropria	te Value and N	<u>Notarized)</u>			
I/We do herel	by solemnly affirm an	d state or	oath as follo	ws:					
That Mr./Mrs				(Name of Deceas	sed Unitholder)	has the following			
	unpaid Distribution	Amount	in his/her nar		,				
							No. of Units h by Deceased Person		
				, without registe					
				cording to the laws o	of intestate succ	cession applicable t	o him/her by		
wnich ne/sne	Name of the Legal			ess and contact details	Age	Relation with the Deceased			
	1)					December			
	2)								
		viving leg	al heirs, acco	without registering ording to the laws of teress and contact details					
	1)						$\Box$		
	2)								
Infrastructure I refund of claim heir(s)/claimar Administration	Investment Trust/ Invest submitted for Unclaiment(s)], on my/our beha	ment Man ed or Unpa alf, without for which	ager of POW aid Amount in out insisting o	deponent(s) herein /ERGRID Infrastructure the name of the undersig on production of a Su indemnity as is herein	Investment Trust gned Mr. /Ms ccession Certific	/RTA) with a request Name cate/ Probate of Wil	to process the (s) of the legal ll / Letter of		
In consideration legal heir(s)/cla		quest to pr	rocess the abov	e claim, to the name of the	he undersigned M	r. /Ms[1	Name(s) of the		
Manager of PC expenses, dam herein above in	GInvIT and its successonages, etc., whatsoever wentioned, at my/our re-	rs and ass which they equest to	igns for all tim may suffer ar the undersign	mnify and keep indemnifulation hereafter against all load/or incur by reason of the dearth. Mr./Ms.  f a Succession Certificate	osses, costs, clair transferring the sa	ns, actions, demands, aid Unclaimed or Unp	risks, charges, aid Amount, as [Name(s) of		

IN WITNESS WHERE	OF the said				
Mr. /Ms(Name and signature of the witness) And					
2) Mr. /Ms	(Name and	signature of the witness),			
have hereunto set their re	espective hands and seals this day of	Signed and delivered by the said legal heir/s.			
	Name the Legal Heirs	Signature of the Legal Heirs			
1					
2					
3					
	Signed befo	ore me			
Place:					
Date: Signature of Notary wi	th				
Official Seal of Notary					

# Annexure-II C

No Objection given by all Legal Heir(s)/Successor(s)/Nominee(s)/Administrator(s) of the deceased Unitholder in favour Claimant(s) for transfer of unclaimed or unpaid distribution in his/her name.

Format of NOC from all other Legal Heir(s) for Claimant claiming of Unclaimed or Unpaid Distribution, on death of Sole Unitholder where no nomination has been registered

# [To be submitted in non-judicial stamp paper of appropriate value]

			<u>DEC</u>	<u>LARATION</u>			
I/We, the lega	al heir(s) of late Mr. /	Ms	(	Name of the Decease	d Unitholder	) declare as follows –	
(i) That the single ho		l holder	has the followi	ing unclaimed or unpa	aid distributio	on amount in his / her nam	ne as
C	Name of Deceased Unitholder		nd Client ID of sed Unitholder	Period for which distribution is unpaid or unclaimed	No. of Units by Decea Person	sed unpaid or	
(ii) That the o	deceased had died inte	state on	[D D / M M / Y	Y Y Y Y] and without	registering ar	ny nominee.	
	Following Claimant(s) l						
(iii) That the I	Name of the Claima			and contact details	Age	Relation with the Deceased	
	1) 2)						
	3)						
	We are the legal heir(s) I or unpaid distribution					s/ have applied for claiming	the
uncianne	Name of the Legal Ho			and contact details	Age	Relation with the Deceased	
	1)						
	2) 3)						
unpaid di in respec unclaime (vi) Accordin Investmen	istribution amount hele of the aforesaid u d or unpaid distribution gly, I / we declare the of Trust, processing the	d by the nclaime on amound that I / ne afores	e deceased and ed or unpaid d unt, in future.  we have NO (	I / we hereby wilfull istribution amount a DBJECTION WHAT	y relinquish and shall ha SOEVER in	to the aforesaid unclaimed to the aforesaid unclaimed to renounce all my /our rigory or no legal claim upon a POWERGRID Infrastruction of the Claimant(s) Marketing and the claimant (s) Marketing and the second control of the claimant (s) Marketing and the claimant (s) Marketing	ghts said
	•		ted herein abov	e are true to the best	of my/our kr	nowledge and nothing has b	been

	1)
	2)
	3)
	<u>VERIFICATION</u>
1	We hereby solemnly affirm and state that what is stated herein above is true to our knowledge and nothing has
ŀ	been concealed therein and that we are competent to contract and entitled to rights and benefits of the above
r	mentioned unclaimed or unpaid distribution amount.
S	Solemnly affirmed at
Ι	Deponents (1), (2), (3)

Name(s) and Signature(s) of Legal Heir(s) who are Non-Claimant(s):

## Annexure-III

# Request letter by surviving unitholder in case of demise of first holder, with which units of POWERGRID Infrastructure Investment Trust were held jointly

To,

Nodal Officer,

POWERGRID Unchahar Transmission Limited (Investment Manager to

PGInvIT)

Plot No. 2, Sector 29 Gurgaon

Haryana - 122001

Email: <u>unclaimed@pginvit.in</u> powergrid.invit@kfintech.com

Dear Sir,

I/We, undersigned, being the surviving holder(s), in the joint demat account, hereby request you to remit the unclaimed distribution amount in the name of second holder, due to the death of first holder on DD/MM/YYY.

We, hereby enclosed a copy of Death Certificate of demised first holder, duly attested by the Notary Public or Gazetted Officer.

Account Holder details						
Details of the Holder	etails of the Holder Name of Joint Account Holder(s)					
First Holder						
Second Holder						
Third Holder						
DP Id						
Client Id						
Amount of distribution Unpaid or Unclaimed	Period for which distribution is unpaid or unclaimed	No. of units held	Amount unpaid			
Mobile No						

I, request you to credit the above distribution amount in my bank account as per details mentioned below.

Bank Name	
Account Number	
Account Type*	
IFSC Code	
MICR No.	
Name of Bank Branch	
City	
PIN	

In consideration of you having agreed to credit the distribution amount in the bank account as per the details mentioned above in my name, I/We hereby agree to undertake that upon having agreed to credit the above distribution amount in the bank account, I/we the undersigned applicant hereunder for myself/ ourself, my/our heirs, executors, administrators and assigns shall jointly and severally, indemnify and keep indemnified PGInvIT and PUTL, the Investment Manager of PGInvIT, its successors, assigns, its directors, officers, employees and unitholders and their heirs, executors and assigns, at all times, from and against any and all actions, suits, proceedings, accounts, claims and demands made, suffered or incurred, including any legal or other fees and expenses actually incurred in connection with investigating, disputing, preparing or defending any actions, claims, suits or proceedings, to which such entities/individuals may become subject to under any applicable law or otherwise consequent upon or arising, directly or indirectly, out of or on account of the said distribution amount or any part thereof or otherwise in connection with the same.

I/ We am/ are enclosing the following documents along with the Claim format for remitting the payments:

- 1. Copy of Permanent Account Number (PAN) of the deceased Unitholder issued by the Income Tax Department
- 2. Address proof of deceased Unitholder
- 3. DP and Client ID of deceased Unitholder
- 4. Self-attested copy of PAN of the Claimant
- 5. Copy of cancelled cheque of the Claimant
- 6. Latest Client Master Ledger stating the current bank details.
- 7. Original Distribution Warrant/Demand Draft (if the validity period of the DD is not expired)
- 8. Self-attested copy of Address Proof of the Claimant
- 9. Death Certificate of First Joint Holder duly attested by the surviving holders(s), which shall be subject to the verification with the original or copy of death certificate duly attested by the notary public or Gazetted Officer

#### Signature of Surviving Unitholder:

Name of Surviving holder(s)	
Signature	
Email:	
Contact No	
Date	
Place	

Copy to:

**KFin Technologies Limited (Unit:** InvIT & ReIT Operations)1<sup>st</sup> Floor, Selenium Tower B Plot 31 & 32, Gachibowli Financial District, Nanakramguda, Serilingampally Hyderabad 500 032 Telangana, India Tel: +91 040 79615205; Email: powergrid.invit@kfintech.com