

# ENERGY INFRASTRUCTURE TRUST

## POLICY FOR PROCESSING AND CLAIMING OF UNCLAIMED AMOUNTS

### 1. Preamble

EnCap Investment Manager Private Limited (Formerly known as “Brookfield India Infrastructure Manager Private Limited”) is a Private Limited Company incorporated under the provisions of the Companies Act, 2013, acting as the Investment Manager (“**Investment Manager/ Company**”) of Energy Infrastructure Trust (Formerly known as India Infrastructure Trust) (“**InvIT/Trust**”), an Infrastructure Investment Trust registered under the Securities and Exchange Board of India (Infrastructure Investment Trusts) Regulations, 2014 (“**SEBI InvIT Regulations**”).

SEBI InvIT Regulations and SEBI Circular No. SEBI/HO/DDHS/DDHS-RAC-1/P/CIR/2023/178 dated November 08, 2023 (“**SEBI Circular**”) read with SEBI (Investor Protection and Education Fund) Regulations, 2009 (“**IPEF Regulations**”), provides a framework to be followed by an InvIT for transfer of unclaimed distribution amounts, initially to an ‘Unpaid Distribution Account’, being an escrow account operated and subsequently to the Investor Protection and Education Fund, and claims thereof by the unitholders.

Accordingly, the Board of Directors (“**Board**”), have adopted this policy for specifying the procedure for claim of unclaimed amounts by unitholders. The Policy shall come into effect from the date of its adoption by the Board of Directors of the Company and as may be amended by the Board from time to time.

### 2. Objective of the Policy

The purpose of this policy is to outline the procedure and framework for dealing with unclaimed amounts lying with the Trust, transfer thereof to the Unpaid Distribution Account and Investor Protection and Education Fund (“IPEF”), and claims thereof by the unitholders.

### 3. Definitions

- (a) “**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;
- (b) “**Investment Manager**” shall mean EnCap Investment Manager Private Limited (Formerly known as “Brookfield India Infrastructure Manager Private Limited”) acting in its capacity of Investment Manager of Energy Infrastructure Trust;
- (c) “**InvIT**” shall mean Energy Infrastructure Trust;
- (d) “**Nodal Officer**” means a person who may either be a Director, Chief Financial Officer, Company Secretary or Compliance Officer of the Investment Manager and designated as nodal officer.

- (e) “Policy” shall mean this Policy for processing and claiming of unclaimed amounts, as amended from time to time.
- (f) “Unit” shall mean an undivided beneficial interest in the InvIT, and such Units together represent the entire beneficial interest in the InvIT;
- (g) “Unitholders” shall mean any person who holds any Unit of the InvIT;

#### **4. Interpretation**

- (a) Capitalised terms used, but not defined herein, shall have the meaning ascribed to such term under the SEBI InvIT Regulations and related circulars issued by SEBI.
- (b) In case of any inconsistency between the terms of the SEBI InvIT Regulations and this Policy, the terms of the SEBI InvIT Regulations shall prevail.

#### **5. Transfer of unclaimed amounts**

- (a) Where the Investment Manager has made distribution, but the payment to any unitholders has remained unpaid or unclaimed, up to fifteen days from the date of declaration, the Investment Manager shall, within seven working days from the date of expiry of such period of fifteen days, transfer such unclaimed amounts to an ‘Unpaid Distribution Account’. The details of such amount transferred to Unpaid Distribution Account shall be uploaded by the Investment Manager on the InvIT’s website i.e. [www.pipelineinvit.com](http://www.pipelineinvit.com).
- (b) Any amount transferred to the Unpaid Distribution Account as mentioned in point (a) above, which remains unpaid or unclaimed for a period of seven years from the due date of such transfer, shall be transferred by the Investment Manager, along with interest accrued, if any, thereon, to the Investor Protection and Education Fund (“IPEF”) within a period of thirty days from the date of expiry of seven years. The details of such amount transferred to IPEF shall be uploaded by the Investment Manager on the InvIT’s website i.e. [www.pipelineinvit.com](http://www.pipelineinvit.com).
- (c) Unitholders entitled to any unclaimed amount transferred to Unpaid Distribution Account/IPEF Account, can claim the same by making application to Investment Manager in the manner as mentioned in this Policy.

#### **6. Procedure for claim by unitholder:**

##### **A. Format for application and documentation for claim**

Person claiming to be entitled to any unclaimed amount lying in Unpaid Distribution Account/IPEF, may apply to the Investment Manager for claim of such amount, by making an application in a format prescribed as ‘Annexure A’ along with the supporting documents.

**B. Manner of submission of claim**

- (i) The application for the claim, as specified para 6A above, shall be submitted to the Investment Manager/ Registrar and Transfer Agent of the InvIT ("RTA") through email or post.
- (ii) Where the application is received by the Investment Manager, it shall forward the same to RTA, who will facilitate the processing of claims received from the unitholder, on behalf of the Investment Manager.

**C. Timeline for submission of documents, provide clarifications, etc. by unitholder**

- (i) If the RTA/ Investment Manager, upon examination of claim application, 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 unitholder, of such need for information or defects or incompleteness, by e-mail or other written communication.
- (ii) The unitholder upon receipt of any communication from the RTA/ Investment Manager seeking any clarification/documents/details shall furnish the same within thirty days from the date of receipt of such communication.
- (iii) The RTA/ Investment Manager may reject the claim if upon its direction, the unitholder fails to furnish any information or rectify such defects or incompleteness or to re-submit such application or document(s) within thirty days from the date of receipt of such communication. However, rejection of the claim does not prevent a unitholder from filing a fresh claim.

**D. Timeline for processing of claim by RTA/ Investment Manager**

The Investment Manager, within thirty days of receipt of a claim application from a unitholder or complete information/ documents called by RTA/ Investment Manager, shall remit the payment to the unitholder using electronic modes of funds transfer.

**E. Processing of refund claim from IPEF**

The Investment Manager shall after processing application from the unitholder for unclaimed amount, make an application to IPEF for refund of such amount. The application shall be submitted by the Investment Manager for reimbursement of the amount transferred by it to the unitholder, in the manner as prescribed by SEBI.

**7. Process of claim by the Legal Heir/ Successor/Nominee**

The provisions in respect of the claim by unitholder, shall apply, mutatis mutandis, to the claim by legal heir/ successor/ nominee of the unitholder. The legal heir/ successor/ nominee shall satisfy the provisions specified under SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

and other applicable laws for the transmission of Units and/or the corresponding claim thereon, as applicable. They are required to furnish to the Investment Manager/ RTA, the duly executed form and relevant details along with the supporting documents as mentioned in Annexure A (Part A and Part B) of this Policy.

**8. Processing of claims in special circumstances**

In case InvIT is part of a scheme of arrangement, amalgamation, merger, etc., the resultant entity shall become liable to discharge the obligations of InvIT, in respect of unclaimed amounts.

**9. Contact details wherein unitholder can raise their queries or grievances, if any, relating to their claim**

**Contact Person:** Nodal Officer

**Email Id:** [compliance@pipelineinvit.com](mailto:compliance@pipelineinvit.com)

**Address:** Seawoods Grand Central, Tower-1, 3<sup>rd</sup> Level, C Wing - 301 to 304, Sector 40, Seawoods Railway Station, Navi Mumbai, Thane, Maharashtra – 400706.

**RTA:** KFin Technologies Limited (Unit: Energy Infrastructure Trust)

**Email Id:** [indiainfrainvit.pp@kfintech.com](mailto:indiainfrainvit.pp@kfintech.com)

**Address:** Selenium Building, Tower-B, Plot No. 31 & 32, Financial District, Nanakramguda, Hyderabad, Telangana 500032.

**10. Amendment of this Policy**

Notwithstanding the above, this Policy shall stand amended to the extent of any change in Applicable Law without any action of the Investment Manager. The Board reserve the right to amend or modify this Policy, in whole or in part, from time to time.

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**“Annexure – A”**

**Part A**

*(To be furnished by the unitholder to the Investment Manager of InvIT/RTA along with supporting documents for claim of unpaid/unclaimed amounts)*

To,

**KFin Technologies Limited**

**Unit: Energy Infrastructure Trust**

Selenium Building, Tower-B,  
Plot No. 31 & 32, Financial District,  
Nanakramguda, Hyderabad, Telangana 500032.

**CC: EnCap Investment Manager Private Limited**

**(Formerly known as “Brookfield India Infrastructure Manager Private Limited”)**

Seawoods Grand Central, Tower-1, 3<sup>rd</sup> Level,  
C Wing - 301 to 304, Sector 40, Seawoods Railway Station,  
Navi Mumbai, Thane, Maharashtra – 400706.

**Subject: Unclaimed Distribution amounts of Units of Energy Infrastructure Trust**

I/We, \_\_\_\_\_ [Name of the unitholder], residing at \_\_\_\_\_ [address], wish to claim the unclaimed distribution amount of the following units:

Or

In case claim is filed by legal heir(s)/successor(s) / nominee(s) of the unitholder:

I/We, \_\_\_\_\_ [Name of the legal heir(s)/successor(s) / nominee(s)\*], acting in the capacity of \_\_\_\_\_ [Nominee/ Legal Heir/ Successor to the Estate of the Deceased/ Administrator of the Estate of the Deceased\*] of \_\_\_\_\_ [Name of the deceased unitholder], residing at \_\_\_\_\_ [address], wish to claim the unclaimed distribution amount of the following units:

*\* strike whichever is not applicable*

**I. Details of unitholder:**

1. Category –  Individual  Others
2. Full Name –
3. Date of Birth or Incorporation –  
*(in case unitholder is other than individual)*
4. Passport No. (in case of NRI/foreigners) –
5. PAN (*mandatory in case of Indian national*) –
6. Address –
7. Phone No. (with STD / ISD code) –
8. Email Id –

**II. Details of the applicant (In case claim is being submitted by legal heir/ successor/ nominee):**

1. Name of applicant -
2. Relationship with unitholder -
3. Address of applicant –
4. PAN of applicant -

**III. Details of Holding and claim:**

1. No. of units held –
2. DP ID and Client ID –
3. Unpaid / Unclaimed amount (Rs.) –
4. Category of amount:  Distribution  Repayment of Capital  Both
5. Date when the amount became due –
6. Financial year to which claim relates –
7. Account from which claim is being made –  Unpaid Distribution Account or  Investor Protection and Education Fund
8. Reason for non-receipt/ non-encashment of the payment –

**IV. Refund Account Details (Details of Bank account in which refund shall be credited) –**

1. Bank Name –
2. Branch Address –
3. Beneficiary Name –
4. Account type –
5. Bank account number –
6. IFSC Code –

*Note: The bank account details and other details given above should match with the client master list.*

I/We request you to process the claim and transfer the unclaimed amount in the abovementioned bank account.

**V. Any other relevant information:**

**Signature:**

**Name:**

**Place:**

**Date:**

**Encl.:**

- ✓ Self-attested copy of DEMAT account statement as a proof of unitholding
- ✓ Self-attested Client Master List (CML) with updated bank details
- ✓ Self-attested copy of PAN card of the claimant and if there are joint holders, of all joint holders
- ✓ Self-attested copy Aadhar Card, any other valid proof issued by the government clearly mentioning the address of the claimant, or any latest utility bill, not older than two months, of the claimant and if there are joint holders, of all joint holders

- ✓ Self-attested copy of Passport, OCI, PIO, duly apostilled as per the laws of their country, in case of foreigners and NRI and the proof of residence
- ✓ Cancelled cheque leaf of the Bank Account containing name of the unitholder
- ✓ Indemnity Bond executed on a non-judicial stamp paper of appropriate value of provided under the Stamp Act of respective state

### **Part B**

In addition to the above, the following documents needs to be provided by the legal heir / successor / nominee of the Unitholders:

**I. In case of Registered Nominee** - The claimant is required to register transmission with the Investment Manager by providing the following documents as per SEBI Guidelines:

- a. Duly signed transmission request form (form ISR-5) by the nominee, along with KYC documents;
- b. Original death certificate of the unitholder or copy of death certificate attested by the nominee subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer;
- c. Self-attested copy of the PAN card of the nominee.

**II. In case of legal heir/ successor, where no nomination has been made -**

- a. Duly signed transmission request form ISR-5 by the legal heir/ successor, along with his KYC documents;
- b. Original death certificate of the Unitholder or copy of death certificate attested by the legal heir/ claimant subject to verification with the original or copy of death certificate duly attested by a notary public or by a gazetted officer;
- c. a notarized affidavit from all legal heir(s)/claimant(s) made on non-judicial stamp paper of appropriate value, to the effect of identification and claim of legal ownership to the units;

In case the legal heir(s) / successor(s) are named in the succession certificate or probate of will or will or letter of administration or legal heirship certificate (or its equivalent certificate issued by a competent government authority), a notarized affidavit from such legal heir(s) / successor(s) alone shall be sufficient.

- d. self-attested copy of the PAN card of the legal heir(s)/claimant(s); and
- e. Copy of Succession Certificate/ Legal Heir Certificate/ Will/ Probate of Will or letter of administration etc., attested by the claimant, subject to verification with the original or duly attested by a notary public or by a gazetted officer.

Provided that in a case where a copy of will or a legal heirship certificate or its equivalent certificate issued by a competent government authority is submitted, the same shall be accompanied with a

notarized indemnity bond from the legal heir(s)/claimant(s) to whom the units are transmitted, in the format specified by the SEBI.

Provided further that in a case where a copy of legal heirship certificate or its equivalent certificate issued by a competent government authority is submitted, the same shall also be accompanied with a no-objection from all non-claimants, duly attested by a notary public or by a gazetted officer, stating that they have relinquished their rights to the claim for transmission of units.

f. In case the market value of units of the Trust as on the date of submission of claim is up to Rs. 15 Lakhs (Where the units held in demat mode) and where the documents set out in (e) are not available, the legal heir(s)/claimant(s) may submit the following documents -

- i. No Objection Certificate from all legal heirs(s), or copy of family settlement deed executed by all the legal heir(s), duly attested by a notary public or by a gazetted officer; and
- ii. Notarized Indemnity Bond made on non-judicial stamp paper of appropriate value indemnifying the Trust in the format specified by the SEBI.