GENERAL MANAGER
Eastern Regional Office

SEBI/ERO/ERO/OW/P/1/18952/2024
June 06, 2024

Shashikant Kumar (Owner of SM Global Research)
PAN: CAXPK4388N
S/o Suryadeo Prasad
Address No.1: New Area Dashratha Patna, Bihar - 800020
Address No.2: H. No. 452, New Anjani Nagar, Badi Bhamori, Near Bhamori Bridge Indore, Madhya Pradesh - 452011
Address No.3: HIG 12, Bainganga Shopping Complex, MP, 410661

Sub: Show Cause Notice under Sections 11(1), 11(4), 11B(1), 11(4A) and 11B(2) read with 15EB and 15HA of the Securities and Exchange Board of India Act, 1992 ("SEBI Act") read with Securities and Exchange Board of India (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995 in the matter of Shashikant Kumar/ SM Global Research.

1. Securities and Exchange Board of India (hereinafter referred to as '**SEBI**') based on the complaint dated April 21,2022 against Mr. Shashikant Kumar (**Annexure 1**), owner of SM Global Research (hereinafter referred as the **'Noticee')** had conducted an examination wherein it was prima facie found that the Noticee was carrying out unregistered investment advisory activities in violation of provision Section 12A (a), (b), (c) of Securities and Exchange Board of India Act, 1992 (hereinafter referred to as "**SEBI Act, 1992**") , Section 12(1) of SEBI Act, 1992 read with Regulation 3(1) of SEBI (Investment Advisers) regulations, 2003 (hereinafter referred to as "**IA Regulations, 2013**") as well as provisions of Regulations 3(a), (b), (c), (d), 4 (1) and 4 (2) (o) of SEBI (prohibition of Fraudulent and Unfair Trade Practices relating to Securities Market) Regulations, 2003 (hereinafter referred to as "**PFUTP Regulations, 2003**").

2. In the aforesaid complaint, it was stated that the complainant, received a call from one Mr. Vijay Tiwari identifying himself to be an employee at SM Global Research, and communicated that his company provides calls for trading on a daily basis. He also

पूर्वी प्रादेशिक कार्यालय : एल एण्ड टी चेम्बर्स, तीसरी मंजिल, १६ कैमक स्ट्रीट, कोलकाता- ७०००१७, पश्चिम बंगाल
Eastern Regional Office : L & T Chambers, 3rd Floor, 16, Camac Street, Kolkata - 700017, West Bengal
www.sebi.gov.in | +91-33-23023000

provided the bank account details of the Noticee on which the complainant made transfers as well as the phone number on which the complainant had engaged in communication with the Noticee. The complainant made a little profit from the first call, and subsequently lost Rs. 75,000/- in another call. Later, the complainant was asked to transfer Rs.1,50,000/- in the Noticee's account and was promised 5 times profit. Upon incurring further losses, the complainant asked for a refund of the amounts transferred, which was not done by the Noticee. The complaint also contains an attachment wherein the complainant has made a similar complaint to the State Police, Assam.

3. In support the aforesaid complaint, vide email dated November 18, 2022, SEBI sought documents and the information which was provided by the complainant has been summarized below:

   i) The complainant was contacted by the Noticee seeking to provide investment advisory service. Pursuant to the phone call, the complainant agreed to take services of the Noticee.

   ii) The complainant alleged that the Noticee had collected advisory fees of Rs. 1,51,400/- from him in 5 installments during August 2021 in lieu of investment advice. However, the investment advises given by the Noticee led to a loss of Rs. 2.75 lakh to the complainant. Upon incurring losses the complainant sought refund of the fees paid to the Noticee, but despite several efforts to receive the refund of fees paid he did not receive the same from the Noticee. The complainant had also approached Indore Police / Local police station who advised to him file a complaint with SEBI.

   iii) All investment advices were given via phone call / Whatsapp from the mobile no. +91 8109422355. The complainant had provided Whatsapp chat as proof of investment advice and other details. Some of investment advices extracted from the screen shots of Whatsapp chat (**Annexure 2**) are as follows-
   'Buy BankNIFTY 37500 CE@400-405 TGT 450 475 500 SL – 350'
   'Buy BankNIFTY 5 AUG 2021 CE 36300.00'
   'Buy BankNIFTY 5 AUG 2021 CE 36100.00'
   'Intraday Buy BankNIFTY SEP 38300 CE BUY AT 340 TRGT 400 500+

The said Whatsapp chat reveals that there is a subsequent discussion with the complainant with respect to the loss arising due to the calls undertaken by the complainant upon the advice of the Noticee.

iv) In one of the screen shot, details of the bank account and Gpay No. (Page 279/Flag 'F') for the payment has been shared with the complainant as under; *'SM Research Shashikant Kumar, Account no. 50100290380901, IFSC – HDFC0000281' G Pay '6263505425'*

4. Upon examination, it was found that the Noticee has a website https://smglobalresearch.com, with various tabs viz. home/ services/ support/ pricing/ blog/ contact. In the website, the services section had the following tabs- cash intraday/ future intraday/Equity Premium Services/Commodity Combo/ Future Premium Services and in the contact section, address mentioned is: Madhya Pradesh Office - *HIG 12 Bainganga Shopping Complex, MP, India 410661*, email id info@smglobalresearch.com and phone no. +91 8109422355. However, it is observed that all tabs are not active and / or giving misleading information. Further, as on date, the website has been taken down. However, a web-page was available on archive pages (web.archive.org) (**Annexure 3**)

Name of Account holder	Mode of payment	Paid into Shashi kant Kumar	Date	Amount deposited (Rs)
Pallab kumar Bora	Via UPI handle PALLABKR.BORA97@OKSBI	HDFC bank account no. 50100290380901	28/07/2021	5900
			03/08/2021	5500
			20/08/2021	5000
			28/08/2021	90000
			29/08/2021	45000
	Via UPI handle	Kotak Mahindra Bank Account No. 4945652515	13/08/2021	10000

5. The Complainant has provided the screenshots of payment R.s.1,51,400/- made to Noticee's HDFC bank account No. 50100290380901. Additionally, it was observed that Rs.10,000/-were transferred by complainant on 13/08/2021 into the Kotak

Mahindra bank account of the Noticee. Accordingly, following is the total amount i.e. Rs.,161,400/- that was transferred -

6. Based on the details available in the complaint, further information was sought from the banks. It was observed from the Bank account statement, Account Opening Form (AOF) and KYC that the bank account mentioned on the complaint belonged to the Noticee. Further, the Noticee has bank accounts with ICICI Bank, HDFC Bank, Kotak Mahindra Bank and Central Bank of India. However, investment advisory fees Rs. 1,61,400/- received from complainant have been credited into two bank accounts i.e. HDFC and Kotak Mahindra Bank. (Copies of bank statements showing the transfer of aforesaid amount are placed at **Annexure 4**).

7. As per the customer information received from telecom service providers, it was observed that both the numbers mentioned on the Noticee's website i.e., '6263505425', for making payment and '8109422355', for communication with the complainant via phone call and WhatsApp, belong to Noticee. **(Annexure 5).**

8. SEBI had issued letter dated November 30, 2023 to the other address of the Noticee as available on record i.e. Indore, but the same returned undelivered citing insufficient address. Further, e-mails dated November 30, 2023 were also sent to all the email addresses available on records, however no reply has been received till date. (**Annexure 6**)

9. A search on the MCA website for the company, SM Global Research did not yield any result. Further, all the aforementioned bank accounts have been opened in the name of the Noticee.

10. The Noticee has been referred to as the Founder & CEO on the website https://smglobalresearch.com , further his contact number was also available on the website (which is now defunct). The website contents indicate that he was holding

himself out as an investment advisor to sell his investment advisory services to prospective clients. It was verified that neither the Noticee nor SM Global Research are registered with SEBI in any capacity.

11. In view of the aforesaid facts, it is alleged that the Noticee was conducting investment advisory activities, collected fees during the period July – August 2021 amounting to Rs.163,760/- without obtaining requisite registration from SEBI, as required under Section 12(1) of SEBI Act, 1992 read with Regulation 3(1) of IA Regulations, 2013. Further, it is also observed and alleged that the contents on the website taken together with Whatsapp chats of the complainant with the Noticee regarding investment advisory and the collection of fees indicate that the activities of Noticee are fraudulent in nature and are covered within the definition of "fraud" as defined in Regulation 2(1)(c) of PFUTP Regulations, 2003, which reads as under:

*"**Definitions***
2. (1) In these regulations, unless the context otherwise
.....
c) "fraud" includes any act, expression, omission or concealment committed whether in a deceitful manner or not by a person or by any other person with his connivance or by his agent while dealing in Securities in order to induce another person or his agent to deal in securities, whether or not there is any wrongful gain or avoidance of any loss,...."

12. On combined reading of provisions mentioned above it can be inferred that the activities/ dealings of the Noticee are in the fraudulent in nature and accordingly, he has violated Regulations 3(a), (b), (c), (d), 4 (1) and 4 (2) (o) of PFUTP Regulations, 2003, Section 12A (a), (b), (c) of SEBI Act, 1992 read with Regulation 3 (1) of the IA Regulations, 2013. The above relevant provisions of law have been reproduced as under:

SEBI Act, 1992

Section 12(1): *"No stock broker, sub-broker, share transfer agent, banker to an issue, trustee of trust deed, registrar to an issue, merchant banker, underwriter, portfolio manager, investment adviser and such other intermediary who may be associated with securities market shall buy, sell or deal in securities except under, and in accordance with, the conditions of a certificate of registration obtained from the Board in accordance with the regulations made under this Act"*

"Prohibition of manipulative and deceptive devices, insider trading and substantial acquisition of securities or control

12A. No person shall directly or indirectly

(a) use or employ, in connection with the issue, purchase or sale of any securities listed or proposed to be listed on a recognized stock exchange, any manipulative or deceptive device or contrivance in contravention of the provisions of this Act or the rules or the regulations made thereunder;

(b) employ any device, scheme or artifice to defraud in connection with issue or dealing in securities which are listed or proposed to be listed on a recognized stock exchange;

(c) engage in any act, practice, course of business which operates or would operate as fraud or deceit upon any person, in connection with the issue, dealing in securities which are listed or proposed to be listed on a recognized stock exchange, in contravention of the provisions of this Act or the rules or the regulations made thereunder."

IA Regulations, 2013

Regulation 3(1): *"On and from the commencement of these regulations, no person shall act as an investment adviser or hold itself out as an investment adviser unless he has obtained a certificate of registration from the Board under these regulations".*

PFUTP Regulations, 2003

*"**3. Prohibition of certain dealings in securities***

No person shall directly or indirectly—

(a) buy, sell or otherwise deal in securities in a fraudulent manner;

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4. Prohibition of manipulative, fraudulent and unfair trade practices

(1) Without prejudice to the provisions of regulation 3, no person shall indulge in a [manipulative,] fraudulent or an unfair trade practice in securities [markets].

....

.....

(2) Dealing in securities shall be deemed to be a [manipulative] fraudulent or an unfair trade practice if it involves [any of the following]: —

...

.....

(o) [fraudulent inducement of any person by a market participant to deal in securities with the objective of enhancing his brokerage or commission or income;]

13. The Noticee is hereby called upon to show cause as to why suitable directions/penalty under Sections 11(1),11(4), 11(4A),11B (1) and 11(B)(2) of SEBI Act, 1992 read with Sections 15EB & 15HA of SEBI Act, 1992, be not issued against it for the alleged violations. Sections 15EB and 15HA of the SEBI Act, 1992 are reproduced as under:

Penalty for default in case of investment adviser and research analyst.

"15EB. *Where an investment adviser or a research analyst fails to comply with the regulations made by the Board or directions issued by the Board, such investment adviser or research analyst shall be liable to penalty which shall not be less than one lakh rupees but which may extend to one lakh rupees for each day during which such failure continues subject to a maximum of one crore rupees."*

Penalty for fraudulent and unfair trade practices.

"15HA. *If any person indulges in fraudulent and unfair trade practices relating to securities, he shall be liable to a penalty which shall not be less than five lakh rupees but which may extend to twenty-five crore rupees or three times the amount of profits made out of such practices, whichever is higher."*

14. Your reply, if any, along with relevant documents, should reach SEBI at the below mentioned address within 21 days of the date of receipt of this notice:

Shri Vikas SS,
General Manager, Securities and Exchange Board of India,
L&T Chambers, 3rd Floor, 16 Camac Street,
Kolkata - 700017, West Bengal
Email: vikas@sebi.gov.in ; gunjanb@sebi.gov.in

15. If personal hearing before the Quasi-Judicial Authority (QJA) is desired, it shall be indicated in the reply accordingly. The Noticee is advised to keep SEBI informed about the change in your correspondence address, if any, and provide updated email-id and phone numbers, till the proceedings are complete. You are also advised to submit a photocopy of your identification documents for our records.

16. You may also note that a settlement mechanism is provided under the SEBI (Settlement Proceedings) Regulations, 2018, if you wish to opt for the settlement process, you may apply for the same in the manner given in the aforesaid regulations under intimation to the undersigned.

Vikas SS

Enclosures: As per table below

Item	Description
Annexure 1	Complaint received by SEBI
Annexure 2	Screenshots of Whatsapp chats
Annexure 3	Archived pages of the website
Annexure 4	Copies of bank statement evidencing payment of investment advisory fees
Annexure 5	Copy of Customer Application Form received from Telecom Service Provider
Annexure 6	Copies of letter and emails dated November 30, 2023

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			29/08/2021	45000
	Via UPI handle	Kotak Mahindra Bank Account No. 4945652515	13/08/2021	10000

5. The Complainant has provided the screenshots of payment R.s.1,51,400/- made to Noticee's HDFC bank account No. 50100290380901. Additionally, it was observed that Rs.10,000/-were transferred by complainant on 13/08/2021 into the Kotak

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c) "fraud" includes any act, expression, omission or concealment committed whether in a deceitful manner or not by a person or by any other person with his connivance or by his agent while dealing in Securities in order to induce another person or his agent to deal in securities, whether or not there is any wrongful gain or avoidance of any loss,...."

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Shri Vikas SS,
General Manager, Securities and Exchange Board of India,
L&T Chambers, 3rd Floor, 16 Camac Street,
Kolkata - 700017, West Bengal
Email: vikas@sebi.gov.in ; gunjanb@sebi.gov.in

15. If personal hearing before the Quasi-Judicial Authority (QJA) is desired, it shall be indicated in the reply accordingly. The Noticee is advised to keep SEBI informed about the change in your correspondence address, if any, and provide updated email-id and phone numbers, till the proceedings are complete. You are also advised to submit a photocopy of your identification documents for our records.

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Shashikant Kumar (Owner of SM Global Research)
PAN: CAXPK4388N
S/o Suryadeo Prasad
Address No.1: New Area Dashratha Patna, Bihar - 800020
Address No.2: H. No. 452, New Anjani Nagar, Badi Bhamori, Near Bhamori Bridge Indore, Madhya Pradesh - 452011
Address No.3: HIG 12, Bainganga Shopping Complex, MP, 410661

Sub: Show Cause Notice under Sections 11(1), 11(4), 11B(1), 11(4A) and 11B(2) read with 15EB and 15HA of the Securities and Exchange Board of India Act, 1992 ("SEBI Act") read with Securities and Exchange Board of India (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995 in the matter of Shashikant Kumar/ SM Global Research.

1. Securities and Exchange Board of India (hereinafter referred to as '**SEBI**') based on the complaint dated April 21,2022 against Mr. Shashikant Kumar (**Annexure 1**), owner of SM Global Research (hereinafter referred as the **'Noticee')** had conducted an examination wherein it was prima facie found that the Noticee was carrying out unregistered investment advisory activities in violation of provision Section 12A (a), (b), (c) of Securities and Exchange Board of India Act, 1992 (hereinafter referred to as "**SEBI Act, 1992**") , Section 12(1) of SEBI Act, 1992 read with Regulation 3(1) of SEBI (Investment Advisers) regulations, 2003 (hereinafter referred to as "**IA Regulations, 2013**") as well as provisions of Regulations 3(a), (b), (c), (d), 4 (1) and 4 (2) (o) of SEBI (prohibition of Fraudulent and Unfair Trade Practices relating to Securities Market) Regulations, 2003 (hereinafter referred to as "**PFUTP Regulations, 2003**").

2. In the aforesaid complaint, it was stated that the complainant, received a call from one Mr. Vijay Tiwari identifying himself to be an employee at SM Global Research, and communicated that his company provides calls for trading on a daily basis. He also mentioned that Mr. Shashikant Kumar was the owner of SM Global Research and

पूर्वी प्रादेशिक कार्यालय : एल एण्ड टी चेम्बर्स, तीसरी मंजिल, १६ कैमक स्ट्रीट, कोलकाता- ७०००१७, पश्चिम बंगाल
Eastern Regional Office : L & T Chambers, 3rd Floor, 16, Camac Street, Kolkata - 700017, West Bengal
www.sebi.gov.in | +91-33-23023000

provided the bank account details of the Noticee on which the complainant made transfers as well as the phone number on which the complainant had engaged in communication with the Noticee. The complainant made a little profit from the first call, and subsequently lost Rs. 75,000/- in another call. Later, the complainant was asked to transfer Rs.1,50,000/- in the Noticee's account and was promised 5 times profit. Upon incurring further losses, the complainant asked for a refund of the amounts transferred, which was not done by the Noticee. The complaint also contains an attachment wherein the complainant has made a similar complaint to the State Police, Assam.

3. In support the aforesaid complaint, vide email dated November 18, 2022, SEBI sought documents and the information which was provided by the complainant has been summarized below:

   i) The complainant was contacted by the Noticee seeking to provide investment advisory service. Pursuant to the phone call, the complainant agreed to take services of the Noticee.

   ii) The complainant alleged that the Noticee had collected advisory fees of Rs. 1,51,400/- from him in 5 installments during August 2021 in lieu of investment advice. However, the investment advises given by the Noticee led to a loss of Rs. 2.75 lakh to the complainant. Upon incurring losses the complainant sought refund of the fees paid to the Noticee, but despite several efforts to receive the refund of fees paid he did not receive the same from the Noticee. The complainant had also approached Indore Police / Local police station who advised to him file a complaint with SEBI.

   iii) All investment advices were given via phone call / Whatsapp from the mobile no. +91 8109422355. The complainant had provided Whatsapp chat as proof of investment advice and other details. Some of investment advices extracted from the screen shots of Whatsapp chat (**Annexure 2**) are as follows-
   'Buy BankNIFTY 37500 CE@400-405 TGT 450 475 500 SL – 350'
   'Buy BankNIFTY 5 AUG 2021 CE 36300.00'
   'Buy BankNIFTY 5 AUG 2021 CE 36100.00'
   'Intraday Buy BankNIFTY SEP 38300 CE BUY AT 340 TRGT 400 500+

The said Whatsapp chat reveals that there is a subsequent discussion with the complainant with respect to the loss arising due to the calls undertaken by the complainant upon the advice of the Noticee.

iv) In one of the screen shot, details of the bank account and Gpay No. (Page 279/Flag 'F') for the payment has been shared with the complainant as under; *'SM Research Shashikant Kumar, Account no. 50100290380901, IFSC – HDFC0000281' G Pay '6263505425'*

4. Upon examination, it was found that the Noticee has a website https://smglobalresearch.com, with various tabs viz. home/ services/ support/ pricing/ blog/ contact. In the website, the services section had the following tabs- cash intraday/ future intraday/Equity Premium Services/Commodity Combo/ Future Premium Services and in the contact section, address mentioned is: Madhya Pradesh Office - *HIG 12 Bainganga Shopping Complex, MP, India 410661*, email id info@smglobalresearch.com and phone no. +91 8109422355. However, it is observed that all tabs are not active and / or giving misleading information. Further, as on date, the website has been taken down. However, a web-page was available on archive pages (web.archive.org) (**Annexure 3**)

Name of Account holder	**Mode of payment**	**Paid into Shashi kant Kumar**	**Date**	**Amount deposited (Rs)**
Pallab kumar Bora	Via UPI handle PALLABKR.BORA97@OKSBI	HDFC bank account no. 50100290380901	28/07/2021	5900
			03/08/2021	5500
			20/08/2021	5000
			28/08/2021	90000
			29/08/2021	45000
	Via UPI handle	Kotak Mahindra Bank Account No. 4945652515	13/08/2021	10000

5. The Complainant has provided the screenshots of payment R.s.1,51,400/- made to Noticee's HDFC bank account No. 50100290380901. Additionally, it was observed that Rs.10,000/-were transferred by complainant on 13/08/2021 into the Kotak

Mahindra bank account of the Noticee. Accordingly, following is the total amount i.e. Rs.,161,400/- that was transferred -

6. Based on the details available in the complaint, further information was sought from the banks. It was observed from the Bank account statement, Account Opening Form (AOF) and KYC that the bank account mentioned on the complaint belonged to the Noticee. Further, the Noticee has bank accounts with ICICI Bank, HDFC Bank, Kotak Mahindra Bank and Central Bank of India. However, investment advisory fees Rs. 1,61,400/- received from complainant have been credited into two bank accounts i.e. HDFC and Kotak Mahindra Bank. (Copies of bank statements showing the transfer of aforesaid amount are placed at **Annexure 4**).

7. As per the customer information received from telecom service providers, it was observed that both the numbers mentioned on the Noticee's website i.e., '6263505425', for making payment and '8109422355', for communication with the complainant via phone call and WhatsApp, belong to Noticee. **(Annexure 5).**

8. SEBI had issued letter dated November 30, 2023 to the other address of the Noticee as available on record i.e. Indore, but the same returned undelivered citing insufficient address. Further, e-mails dated November 30, 2023 were also sent to all the email addresses available on records, however no reply has been received till date. (**Annexure 6**)

9. A search on the MCA website for the company, SM Global Research did not yield any result. Further, all the aforementioned bank accounts have been opened in the name of the Noticee.

10. The Noticee has been referred to as the Founder & CEO on the website https://smglobalresearch.com , further his contact number was also available on the website (which is now defunct). The website contents indicate that he was holding

himself out as an investment advisor to sell his investment advisory services to prospective clients. It was verified that neither the Noticee nor SM Global Research are registered with SEBI in any capacity.

11. In view of the aforesaid facts, it is alleged that the Noticee was conducting investment advisory activities, collected fees during the period July – August 2021 amounting to Rs.163,760/- without obtaining requisite registration from SEBI, as required under Section 12(1) of SEBI Act, 1992 read with Regulation 3(1) of IA Regulations, 2013. Further, it is also observed and alleged that the contents on the website taken together with Whatsapp chats of the complainant with the Noticee regarding investment advisory and the collection of fees indicate that the activities of Noticee are fraudulent in nature and are covered within the definition of "fraud" as defined in Regulation 2(1)(c) of PFUTP Regulations, 2003, which reads as under:

*"**Definitions***
2. (1) In these regulations, unless the context otherwise
.....
c) "fraud" includes any act, expression, omission or concealment committed whether in a deceitful manner or not by a person or by any other person with his connivance or by his agent while dealing in Securities in order to induce another person or his agent to deal in securities, whether or not there is any wrongful gain or avoidance of any loss,...."

12. On combined reading of provisions mentioned above it can be inferred that the activities/ dealings of the Noticee are in the fraudulent in nature and accordingly, he has violated Regulations 3(a), (b), (c), (d), 4 (1) and 4 (2) (o) of PFUTP Regulations, 2003, Section 12A (a), (b), (c) of SEBI Act, 1992 read with Regulation 3 (1) of the IA Regulations, 2013. The above relevant provisions of law have been reproduced as under:

SEBI Act, 1992

Section 12(1): *"No stock broker, sub-broker, share transfer agent, banker to an issue, trustee of trust deed, registrar to an issue, merchant banker, underwriter, portfolio manager, investment adviser and such other intermediary who may be associated with securities market shall buy, sell or deal in securities except under, and in accordance with, the conditions of a certificate of registration obtained from the Board in accordance with the regulations made under this Act"*

"Prohibition of manipulative and deceptive devices, insider trading and substantial acquisition of securities or control

12A. No person shall directly or indirectly

(a) use or employ, in connection with the issue, purchase or sale of any securities listed or proposed to be listed on a recognized stock exchange, any manipulative or deceptive device or contrivance in contravention of the provisions of this Act or the rules or the regulations made thereunder;

(b) employ any device, scheme or artifice to defraud in connection with issue or dealing in securities which are listed or proposed to be listed on a recognized stock exchange;

(c) engage in any act, practice, course of business which operates or would operate as fraud or deceit upon any person, in connection with the issue, dealing in securities which are listed or proposed to be listed on a recognized stock exchange, in contravention of the provisions of this Act or the rules or the regulations made thereunder."

IA Regulations, 2013

Regulation 3(1): *"On and from the commencement of these regulations, no person shall act as an investment adviser or hold itself out as an investment adviser unless he has obtained a certificate of registration from the Board under these regulations".*

PFUTP Regulations, 2003

*"**3. Prohibition of certain dealings in securities***

No person shall directly or indirectly—

(a) buy, sell or otherwise deal in securities in a fraudulent manner;

(b) use or employ, in connection with issue, purchase or sale of any security listed or proposed to be listed in a recognized stock exchange, any manipulative or deceptive device or contrivance in contravention of the provisions of the Act or the rules or the regulations made there under;

(c) employ any device, scheme or artifice to defraud in connection with dealing in or issue of securities which are listed or proposed to be listed on a recognized stock exchange;

(d) engage in any act, practice, course of business which operates or would operate as fraud or deceit upon any person in connection with any dealing in or issue of securities which are listed or proposed to be listed on recognized stock exchange in contravention of the provisions of the Act or the rules and the regulations made there under..."

4. Prohibition of manipulative, fraudulent and unfair trade practices

(1) Without prejudice to the provisions of regulation 3, no person shall indulge in a [manipulative,] fraudulent or an unfair trade practice in securities [markets].

....

.....

(2) Dealing in securities shall be deemed to be a [manipulative] fraudulent or an unfair trade practice if it involves [any of the following]: —

...

.....

(o) [fraudulent inducement of any person by a market participant to deal in securities with the objective of enhancing his brokerage or commission or income;]

13. The Noticee is hereby called upon to show cause as to why suitable directions/penalty under Sections 11(1),11(4), 11(4A),11B (1) and 11(B)(2) of SEBI Act, 1992 read with Sections 15EB & 15HA of SEBI Act, 1992, be not issued against it for the alleged violations. Sections 15EB and 15HA of the SEBI Act, 1992 are reproduced as under:

Penalty for default in case of investment adviser and research analyst.

"15EB. *Where an investment adviser or a research analyst fails to comply with the regulations made by the Board or directions issued by the Board, such investment adviser or research analyst shall be liable to penalty which shall not be less than one lakh rupees but which may extend to one lakh rupees for each day during which such failure continues subject to a maximum of one crore rupees."*

Penalty for fraudulent and unfair trade practices.

"15HA. *If any person indulges in fraudulent and unfair trade practices relating to securities, he shall be liable to a penalty which shall not be less than five lakh rupees but which may extend to twenty-five crore rupees or three times the amount of profits made out of such practices, whichever is higher."*

14. Your reply, if any, along with relevant documents, should reach SEBI at the below mentioned address within 21 days of the date of receipt of this notice:

Shri Vikas SS,
General Manager, Securities and Exchange Board of India,
L&T Chambers, 3rd Floor, 16 Camac Street,
Kolkata - 700017, West Bengal
Email: vikas@sebi.gov.in ; gunjanb@sebi.gov.in

15. If personal hearing before the Quasi-Judicial Authority (QJA) is desired, it shall be indicated in the reply accordingly. The Noticee is advised to keep SEBI informed about the change in your correspondence address, if any, and provide updated email-id and phone numbers, till the proceedings are complete. You are also advised to submit a photocopy of your identification documents for our records.

16. You may also note that a settlement mechanism is provided under the SEBI (Settlement Proceedings) Regulations, 2018, if you wish to opt for the settlement process, you may apply for the same in the manner given in the aforesaid regulations under intimation to the undersigned.

Vikas SS

Enclosures: As per table below

Item	Description
Annexure 1	Complaint received by SEBI
Annexure 2	Screenshots of Whatsapp chats
Annexure 3	Archived pages of the website
Annexure 4	Copies of bank statement evidencing payment of investment advisory fees
Annexure 5	Copy of Customer Application Form received from Telecom Service Provider
Annexure 6	Copies of letter and emails dated November 30, 2023

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निवेशक सहायता एवं शिक्षण कार्यालय
Office of Investor Assistance and Education

एफ टी एम सं.
FTM No. IEW/22993

दिनांक
Date 21/04/2022

Complaint Details

Registration no	: DOEAF/E/2022/01084 (Transferred)
Name	: Pallab Kumar Bora
Gender	: Male
Address	: Village- Gomothagaon P.O- Uriagaon District-Nagaon : Thulasinga Perumal Koil Street Tiruvallikkeni ,Thulasinga Perumal Koil Street Tiruvallikkeni Nagaon India
District	: Nagaon
Pincode	: 782003
Pan No.	:
State	: Assam
Country	: India
Phone No	: 08638605364
Mobile No	: 8638605364
Email Address	: pallabkr.bora98@gmail.com
Date of Receipt	: Apr 13, 2022
Letter Date	: Mar 27, 2022
PG Office	: Financial Market Division
PG Category	: MATTERS RELATING TO INCOME TAX
Category Assigned	: Others
Complaint Against	:
Complaint Details	: To , Prime Minister of India Govt of India Sub: Complaint letter against S M GLOBAL RESEARCH & Owner Shashikant Kumar or Vijay Tiwari a refund of my payment. Dear Sir, My name is Pallab Kumar Bora. I live in Nagaon district of Assam. I have a trading account and I do daily trading. Few month ago I got a call on my number. He told his name is Vijay Tiwari. He has a call from S.M Global Research Co.Vijay Tiwari said that his company provides calls for trading on a daily basis.First he showed me the call for 3,4 days.The first call he gave made a little profit. But one day i lost 75,000/- in one call. After getting lost, I told him that you have lost more profit than you have made. i won't work with you. Then he told that the research assistant who has given the call will not work with him, the other one will work with the researchers, his name is Krishna Bajaj.And he said that you have to recover what you have lost. Those people told that I have to give one lakh fifty thousand in their company's account and they will give me their five time profit. And agreed to work with him. To recover my 75,000/- lost.That time, in the call given by those people, my entire fund was used Two Lakh Twenty Thousand.And that call I lost two lakhs.Then I told them that you guys who lost me 2.75 lakhs and what I gave you 1.5 lakhs, return it.Vijay Tiwari and Krishna Bajaj told that they will return whatever was lost due to their company's mistake.they took me 1 month to return it.After 1 month has passed. I called him then he told that. The owner of his company Shashikant Kumar has had an accident.so i will get the money before 10th january.After passing 10 january, I called and sms those people, then they have not received my call.I think they are fake and my money is in no mood to return.The company had mailed me that the money they had taken from me would be returned. Later those people called and said that he will not return. Sir, those people have taken money from me by cheating, help me to return it. In this way, those people must have cheated a lot of people. And defamed the name of Indore(M.P). I mailed the Indore Police against those people. Police did not act against him.Complained to the local police station and The police have said that to give a complaint to SEBI. The owner (Shashikant Kumar) of global research is saying that SEBI will not be able to punish against him. These people have hurt a lot of people in this way, I think Vijay Tiwari is Shashikant Kumar. Those people have created this company fake. SM Global Research company is fraud and the one who is the owner Shashikant Kumar and the people who are the employees are also fraud. If you do not take strong action against those people, then in this way that company keeps imposing a lot of people.That's why he is saying that no one will be able to please them. So take strong action against those people. I am placing a lot of hope on you. Plz help me. Screen shot of the money I have given to those people and its account details and identity, company name and email Id have been given. SM Research smglobalresearch.com/ Account Holder: SHASHIKANT KUMAR Account Number: 5010 0290380901 IFSC: HDFC0000281 Ph. No. 6263505425 Facebook id.- www.facebook.com/shashikant.kumar.56863 Vijay Tiwari Ph. No -+91 81094 22355 Mail id. contact@smglobalresearch.com Thanking you, Yours sincerely, Pallab Kumar Bora Ph. No. 8638605364 Mail id - pallabkr.bora98@gmail.com Pan no - ATPPB7237G

5000 - 26/7/21
5500 - 31/7/21
5000 - 2/8/21
30000 - 26/8/21
41000 - 29/8/21

Attached Document : View Attachment

Complaint pertaining to unregistered entity

Print Complaint Details

We may forward this to IEW for n.a. please.

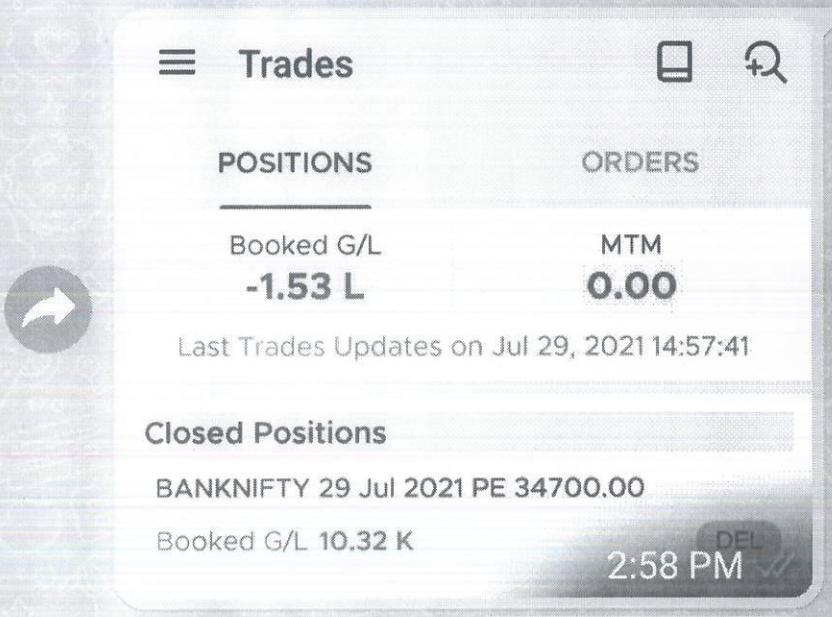
AGm (Shri Manish T.) 21/4/2022

DGm (Shri A. Vijayan) O.L

Gm (Ms. Medha S.) Link officer - M.T Gaupale 21/4/2022

DGm (Ms. Sarika K.)

M2M Profit full screen do aap
2:56 PM



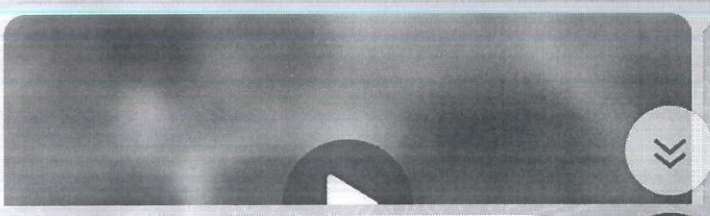
O he 2:58 PM

Lost liya na 2:58 PM

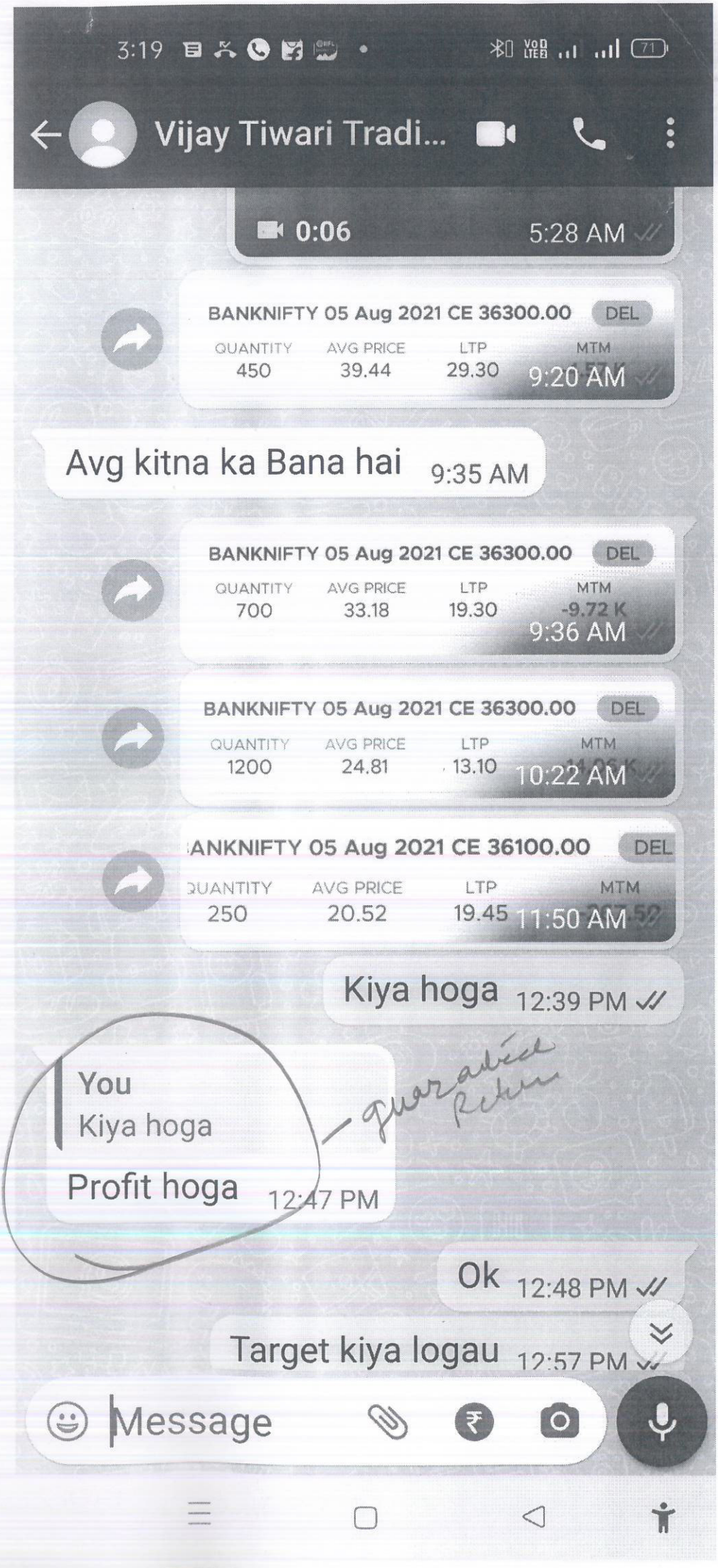
> You
> Lost liya na

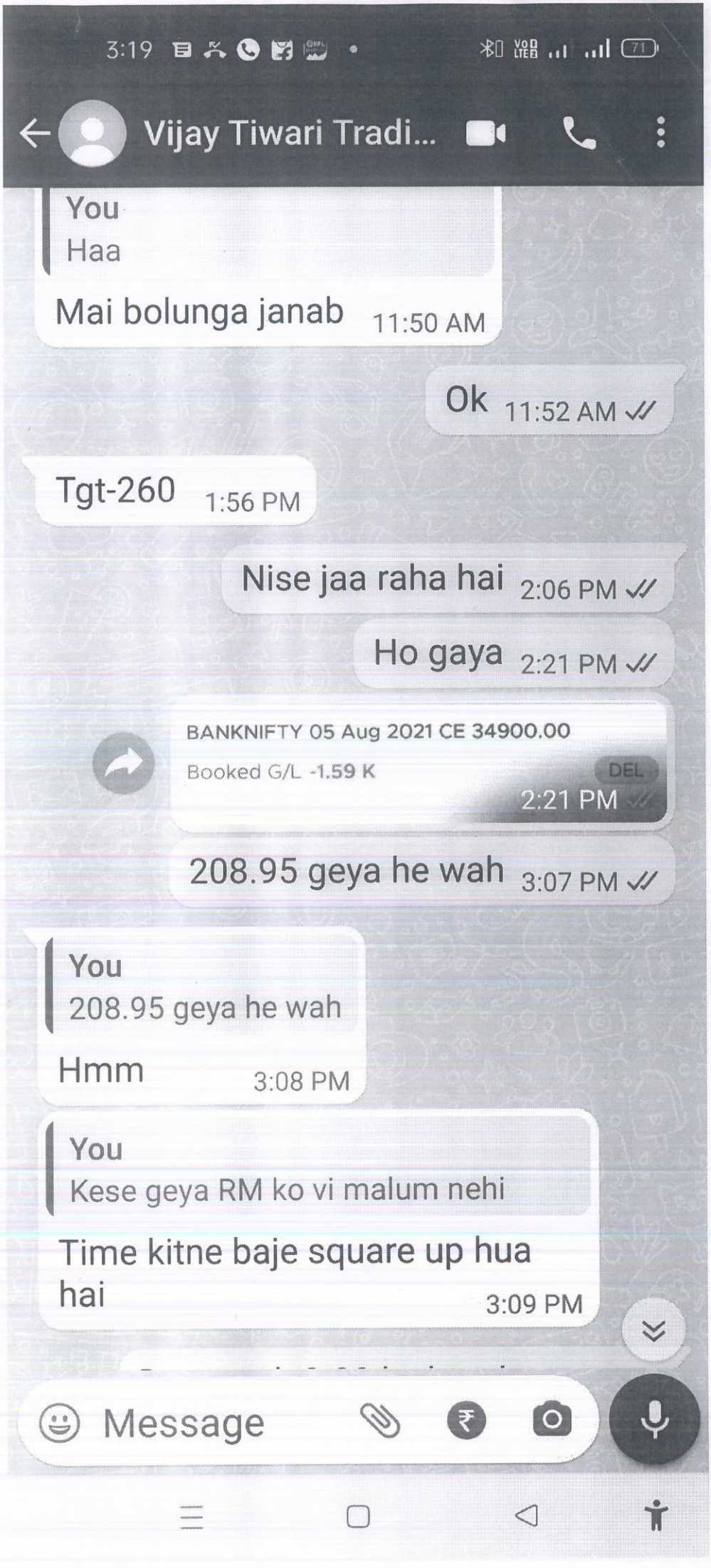
Pata hai mujhe 2:58 PM

July 30, 2021



Message


3:19
Vijay Tiwari Tradi...
0:06 5:28 AM
BANKNIFTY 05 Aug 2021 CE 36300.00 DEL
QUANTITY AVG PRICE LTP MTM
450 39.44 29.30
9:20 AM
Avg kitna ka Bana hai 9:35 AM
BANKNIFTY 05 Aug 2021 CE 36300.00 DEL
QUANTITY AVG PRICE LTP MTM
700 33.18 19.30 -9.72 K
9:36 AM
BANKNIFTY 05 Aug 2021 CE 36300.00 DEL
QUANTITY AVG PRICE LTP MTM
1200 24.81 13.10
10:22 AM
ANKNIFTY 05 Aug 2021 CE 36100.00 DEL
QUANTITY AVG PRICE LTP MTM
250 20.52 19.45
11:50 AM
Kiya hoga 12:39 PM
You
Kiya hoga
Profit hoga 12:47 PM
Ok 12:48 PM
Target kiya logau 12:57 PM
Message


3:19
Vijay Tiwari Tradi...
You
Haa
Mai bolunga janab 11:50 AM
Ok 11:52 AM
Tgt-260 1:56 PM
Nise jaa raha hai 2:06 PM
Ho gaya 2:21 PM
BANKNIFTY 05 Aug 2021 CE 34900.00
Booked G/L -1.59 K
DEL
2:21 PM
208.95 geya he wah 3:07 PM
You
208.95 geya he wah
Hmm 3:08 PM
You
Kese geya RM ko vi malum nehi
Time kitne baje square up hua hai 3:09 PM
Message

3:16

Vijay Tiwari Tradi...

5900 RS. Only 10:20 AM

Gogol pay korne ke liye no he kiya 10:20 AM

> **Vijay Tiwari Trading**
> Gpay- 6263505425

It is 10:21 AM



Shashikant Kumar
+91 62635 05425
Joined September 2018

₹5 9007 10:29 AM

De diya 10:29 AM

Ek dost se liya he 10:29 AM

Message

Page E'

(277)

3:13

Vijay Tiwari Tradi...

10:14 AM

Vijay Tiwari Trading
#Intraday

BUY BANKNIFTY SEP 38300 CE - 3...

Buy karo na 10:18 AM

BANKNIFTY 30SEP 38300 CE
NFO 30 Sep 2021 NRML

MTM	Avg.Price	LTP
335.00	299.00	312.40

Net Qty
25

125.70 (67.33%)
10:27 AM

You
Photo



350 ka tgt 10:30 AM

Agar SL remove karoge to 500 tak ka target le paoge 10:36 AM

BANK NIFTY 38300 CE BUY AT 340 TRGT 400 500+ 10:37 AM

Vijay Tiwari Trading
BANK NIFTY 38300 CE BUY AT 340 TRGT 400 500+

SL remove kar pao to 10:37 AM

Message

3:39

238

Refund your service amount

Inbox

Shashikant Kum... Feb 4

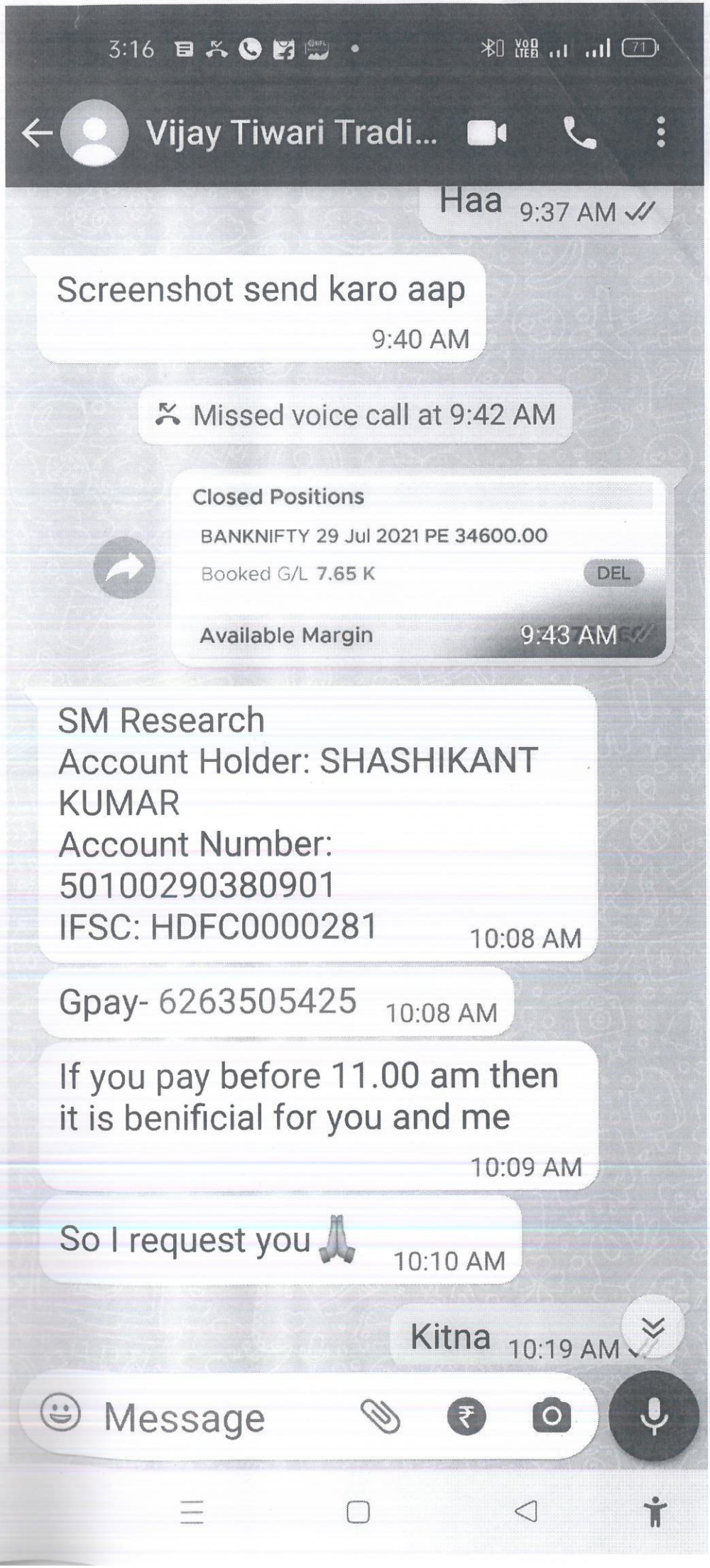
to me

Dear Pallab,
I want to inform you that we have to check out your case and we will pay only service amount i.e you had pay in my co. Account .Your loss amount in market will recover from market . we will arrange better support
According to our refund policy we will refund your amount as soon as possible and you will wait our next update.

Your Faithful,
SM Global Research.

Reply | Reply all | Forward

99+


3:16
Vijay Tiwari Tradi...
Haa 9:37 AM
Screenshot send karo aap 9:40 AM
Missed voice call at 9:42 AM
Closed Positions
BANKNIFTY 29 Jul 2021 PE 34600.00
Booked G/L 7.65 K
DEL
Available Margin 9:43 AM
SM Research
Account Holder: SHASHIKANT KUMAR
Account Number: 50100290380901
IFSC: HDFC0000281 10:08 AM
Gpay- 6263505425 10:08 AM
If you pay before 11.00 am then it is benificial for you and me 10:09 AM
So I request you 🙏 10:10 AM
Kitna 10:19 AM
Message

Pg 1

279

3:20

Vijay Tiwari Tradi...

280

All (17) | Pending (1) | Executed (12)

BANKNIFTY 05 Aug 2021 CE 36300.00

SELL | NSE | DEL — Partly Executed

Quantity	Pending Qty	Order Price
1200	1125	0.30

BANKNIFTY 05 Aug 2021 CE 36300.00

SELL | NSE | DEL — Fully Executed

Quantity	Pending Qty	Order Price
200	0	0.30

3:22 PM

Trades

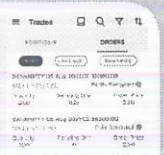
POSITIONS | ORDERS

Booked G/L	MTM
-23.99 K	-11,820.00

Last Trades Updates on Aug 05, 2021 3:23 PM

You

Photo



Kya avg. Bana hai 3:24 PM

Kiya 3:26 PM

Closed Positions

BANKNIFTY 05 Aug 2021 CE 36300.00

Booked G/L -31.35 K DEL

BANKNIFTY 05 Aug 2021 CE 36100.00

Booked G/L 7.37 K DEL

4:01 PM

Message

3:38

Refund your service amount

Inbox

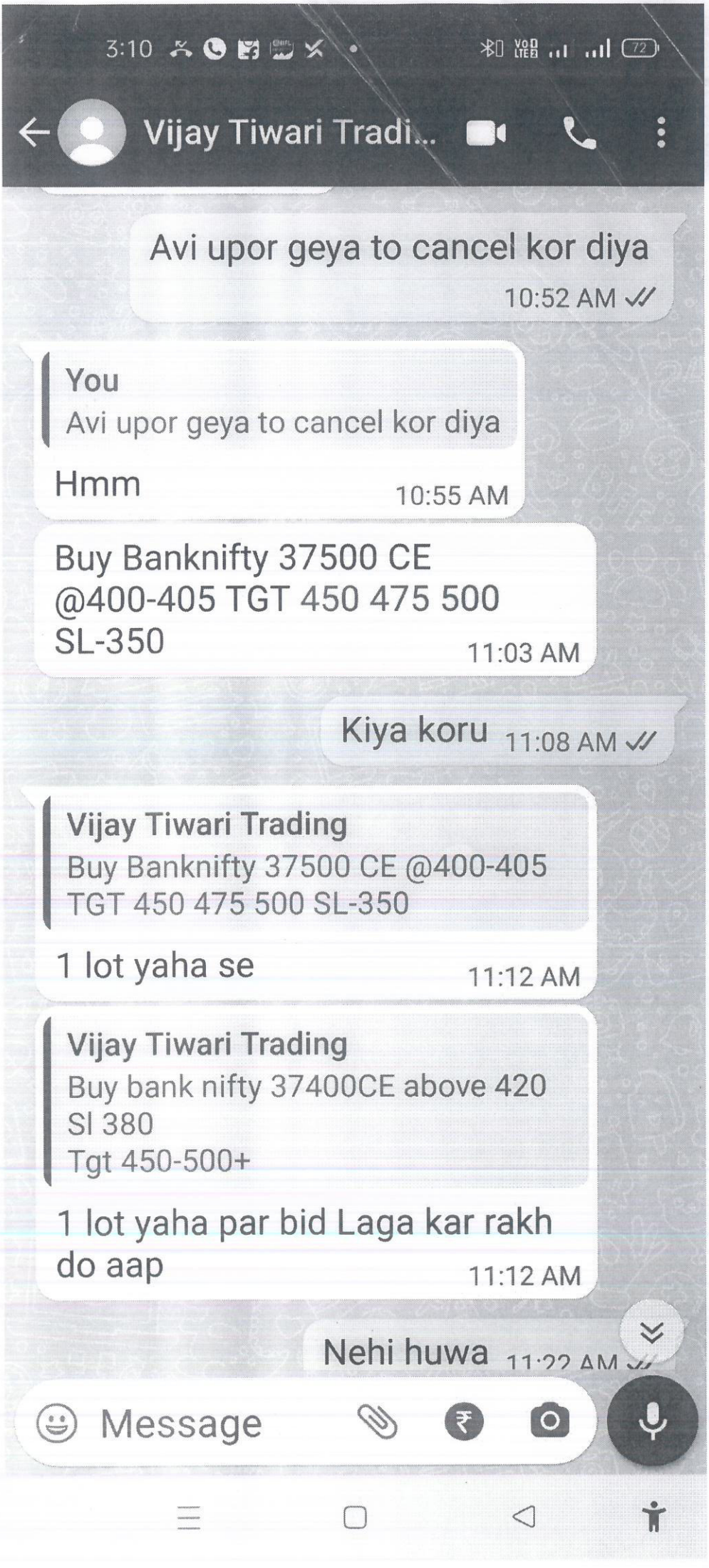
(281)

Shashikant Kum... Feb 4
to me

From	Shashikant Kumar • smglobal64@gmail.com
To	pallabkr.bora98@gmail.com
Date	Feb 4, 2022, 5:38 PM
	Standard encryption (TLS). View security details

Dear Pallab,
I want to inform you that we have to check out your case and we will pay only service amount i.e you had pay in my co. Account .Your loss amount in market will recover from market . we will arrange better support
According to our refund policy we will refund your amount as soon as possible and you will wait our next update.

Your Faithful,
SM Global Research.


3:10
Vijay Tiwari Tradi...
Avi upor geya to cancel kor diya
10:52 AM
You
Avi upor geya to cancel kor diya
Hmm
10:55 AM
Buy Banknifty 37500 CE @400-405 TGT 450 475 500 SL-350
11:03 AM
Kiya koru
11:08 AM
Vijay Tiwari Trading
Buy Banknifty 37500 CE @400-405 TGT 450 475 500 SL-350
1 lot yaha se
11:12 AM
Vijay Tiwari Trading
Buy bank nifty 37400CE above 420
Sl 380
Tgt 450-500+
1 lot yaha par bid Laga kar rakh do aap
11:12 AM
Nehi huwa
Message

245

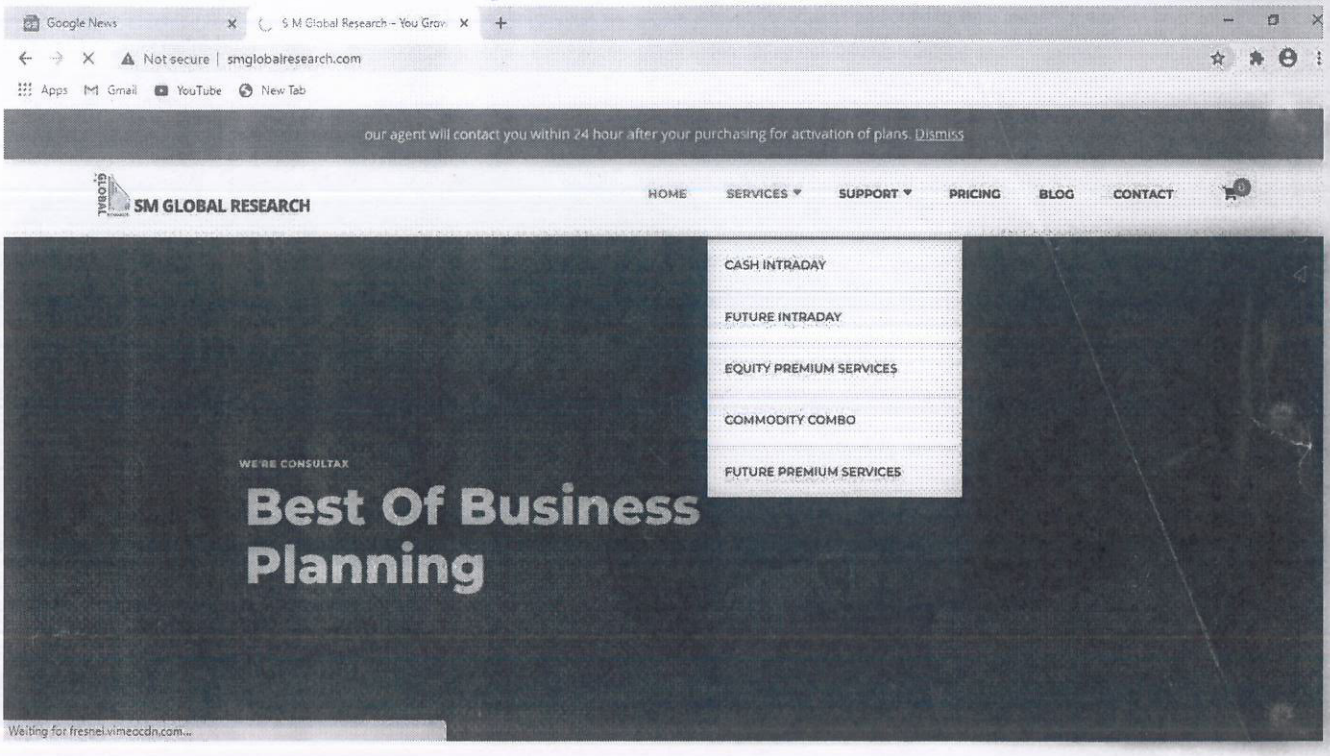


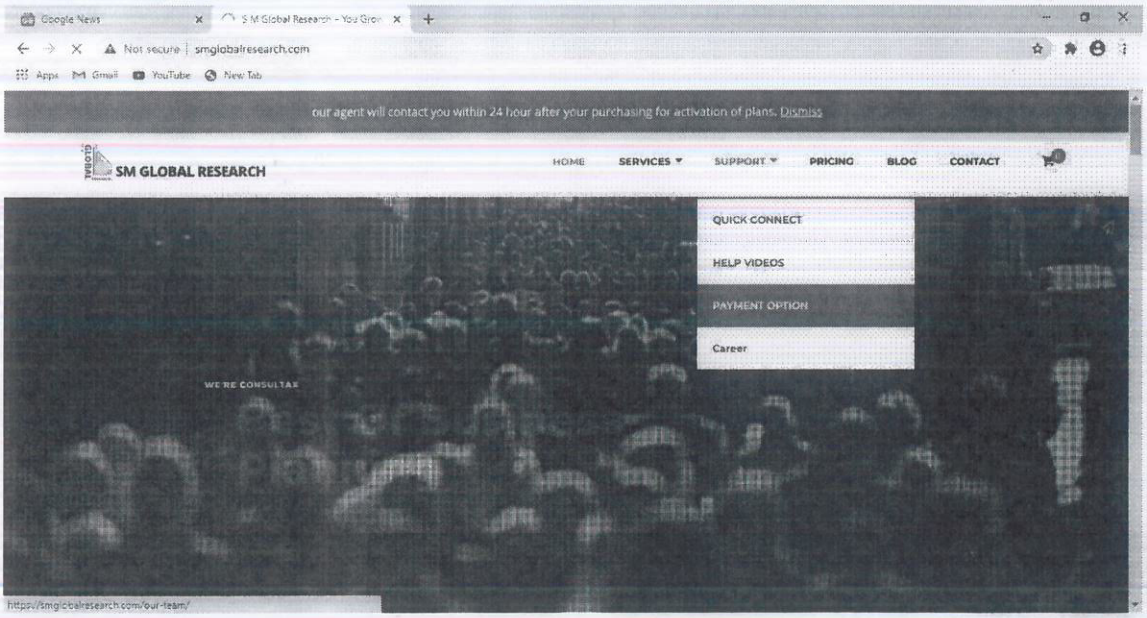
- New Delhi, Shadipur, India(View map)
- (+91) 8109422355
-
-
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- HOME
- SERVICES

Play 'G' (246)


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https://smglobalresearch.com/our-team/

87

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29/08/21	UPI-SANJAYSOANANDRAOPATI-PAYTMQR28100505	124138033240	
29/08/21	240.00		134,764.32
	01011TQU6UDKK2PP@		
	PAYTM-PYTM0123456-124138033240-UPI		
29/08/21	NWD-541919XXXXXX5361-SACWL093-INDORE	124120008455	
29/08/21	1,000.00		133,764.32
30/08/21	UPI-BHARATPEMERCHANT-BHARATPE.9040768755	124250780463	
30/08/21	438.00		133,326.32
	ICICI-ICIC0000001-124250780463-VERIFIED		
	MERCHANT		
30/08/21	UPI-DEEPAK	124251426821	
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	PALIWAL-PAYTMQR281005050101ZHVZU679ZWBG@		
	PAYTM-PYTM0123456-124251426821-UPI		
30/08/21	UPI-RANOLAL	124252479037	
30/08/21	2,425.00		130,801.32
	PANJABI-PAYTMQR281005050101MAWWJLM43HOA@		
	PAYTM-PYTM0123456-124252479037-UPI		
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30/08/21	1,600.00		129,201.32
	WZ6@PAYTM-PYTM0123456-124252714971-UPI		
30/08/21	UPI-VANSHIKA FOOT	124253052866	
30/08/21	1,710.00		127,491.32
	WEAR-PAYTMQR2810050501011ETYWYE0FBCC@		
	PAYTM-PYTM0123456-124253052866-UPI		
30/08/21	UPI-JITENDRA KUMAR	124253503675	
30/08/21	1,000.00		126,491.32
	VISHW-JEETKUMAR6333JK.JK@		
	OKHDFCBANK-INDB0001029-124253503675-UPI		
30/08/21	UPI-GOOGLEPAY-GOOG-PAYMENT@	124297772185	
30/08/21	5.00		126,496.32
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Generation Date : 22-Apr-22 14:18 Generated by : 130860182

Requesting Branch Code : NET

CONTINUE

TO BE

DISPATCHED TO BRANCH: WORLI - SANDOZ HOUSE

WORLI
MR SHASHIKANT KUMAR
.
NEW AREA DASHRATHA PATNA
: MUMBAI 400 018

City

State : MAHARASHTRA

Phone No. : 022-61606161
PATNA 800001
RTGS/NEFT IFSC : HDFC0000281 MICR: 452240003
BIHAR INDIA
Email : kumarshashikant903@gmail.com
JOINT HOLDERS :
Limit : 0.00 Currency : INR

OD

Id : 130860182 Pr. Code : 161 Br. Code : 281

Cust

Nomination : Registered
Account No. : 50100290380901
Statement From: 29/11/19 To: 22/04/22
open date : 29/11/2019

A/C

Account Status : REGULAR

25/08/21 25/08/21	PAYTM-PYTM0123456-123683068042-UPI NWD-541919XXXXXX5361-15656224-INDORE 1,000.00		123715022021 68.32
26/08/21 26/08/21	UPI-SANJAYSOANANDRAOPATI-PAYTMQR28100505 65.00 01011TQU6UDKK2PP@		123806568162 3.32
28/08/21 28/08/21	PAYTM-PYTM0123456-123806568162-UPI UPI-PALLAB KUMAR BORA-PALLABKR.BORA97@ 90,000.00 OKSBI-SBIN0016357-124014167998-UPI	90,003.32	124014167998
29/08/21 29/08/21	UPI-PALLAB KUMAR BORA-PALLABKR.BORA97@ 45,000.00 OKSBI-SBIN0016357-124114326961-UPI	135,003.32	124114326961
29/08/21 29/08/21	UPI-RAHUL KUMAR VISHWAKA-VISHWKARMAR758@ 1.00	135,004.32	124168315578

	CITIBANK-CITI0RTGSMI-009328071228-ON		
	TAPPING PAY YOU		009520126598
04/04/20	UPI-MAA CHAMUNDA KIRANA-7987768738@		1,784.00
04/04/20	63.00		
	OKBIZAXIS-UTIB0000000-009520607969-UPI		
04/04/20	UPI-SANTOSH RAO JAJURKAR-TARUN.MEDICAL69		009520144895
04/04/20	40.00		1,744.00
	OKHDFCBANK-BKID0008834-009520624963-UPI		
06/04/20	UPI-MAA CHAMUNDA KIRANA-7987768738@		009713678196
06/04/20	255.00		1,489.00
	OKBIZAXIS-UTIB0000000-009713347616-UPI		
06/04/20	ATW-541919XXXXXX5361-S1AWID29-INDORE		3259
06/04/20	1,400.00		89.00
06/04/20	UPI-DHARMENDRA-DRDHARAM8683@		009720445945
06/04/20	50.00		39.00
	OKICICI-PYTM0123456-009720200147-UPI		
08/04/20	UPI-GOOGLEPAY-GOOG-PAYMENT@		00991183218
08/04/20	9.00		48.00
	OKAXIS-UTIB0000553-009901976088-REWARDED		
	FOR PAYIN		009917416596
08/04/20	UPI-DINESH BHIL S O		
08/04/20	3,000.00		3,048.00
	PRAB-DK.ADVANCE.1994-1@		
	OKICICI-PUNB0683500-009917421006-VIVIDH		
08/04/20	UPI-MAA CHAMUNDA KIRANA-7987768738@		009918600825
08/04/20	195.00		2,853.00
	OKBIZAXIS-UTIB0000000-009918142630-UPI		
08/04/20	UPI-XXXXXX5837-IOBA0001785-009918225717-		009918680996
08/04/20	5.00		2,848.00
	UPI		
08/04/20	UPI-XXXXXX5837-IOBA0001785-009918237056-		009918692093
08/04/20	1,995.00		853.00
	UPI		
08/04/20	UPI-RELIANCE JIO INFOCOM-JIO@		009921554136
08/04/20	11.00		842.00
	CITIBANK-CITI0RTGSMI-009921136753-JIO20B		
	R0004GF5Z1I0		010114285296
10/04/20	IMPS-010114285296-SHIELD		
10/04/20	5,000.00		5,842.00
	RESEARCH-HDFC-XXXXXXXX1148-SHASHIKANT		
10/04/20	UPI-XXXXXX5837-IOBA0001785-010114625647-		010114839172
10/04/20	3,000.00		2,842.00

216

YBL-CBIN0281101-009239658913-PAYMENT

FROM PHONE
02/04/20 UPI-RELIANCE JIO INFOCOM-JIO@ 009314603718
02/04/20 199.00 1,847.00

Generation Date : 22-Apr-22 14:18 Generated by : 130860182
Requesting Branch Code : NET

CONTINUE

Page No. : 3

TO BE

DISPATCHED TO BRANCH: WORLI - SANDOZ HOUSE

Address : SANDOZ HOUSE, DR. A.B.ROAD

WORLI
MR SHASHIKANT KUMAR
.
NEW AREA DASHRATHA PATNA
: MUMBAI 400 018

City

State : MAHARASHTRA

Phone No. : 022-61606161
PATNA 800001
RTGS/NEFT IFSC : HDFC0000281 MICR: 452240003
BIHAR INDIA
Email : kumarshashikant903@gmail.com
JOINT HOLDERS :
Limit : 0.00 Currency : INR

OD

Id : 130860182 Pr. Code : 161 Br. Code : 281

Cust

Nomination : Registered
Account No. : 50100290380901
Statement From: 29/11/19 To: 22/04/22
open date : 29/11/2019

A/C

Account Status : REGULAR

26/02/20		300.00	75.00
05/03/20	IMPS-006510935384-SHIELD		006510935384
05/03/20		8,000.00	8,075.00
	RESEARCH-HDFC-XXXXXXXX1148-SHASHIKANT		
05/03/20	UPI-RELIANCE JIO INFOCOM-JIO@		006514566798
05/03/20		199.00	7,876.00
	CITIBANK-CITI0RTGSMI-006528270971-ON		
	TAPPING PAY YOU		
05/03/20	ATW-541919XXXXXX5361-S1ANBP2-INDORE		8211
05/03/20		500.00	7,376.00
07/03/20	ATW-541919XXXXXX5361-S1AWID29-INDORE		8141
07/03/20		7,000.00	376.00
07/03/20	UPI-SANOJ KUMAR-7295055925@		006723095293
07/03/20		1,000.00	1,376.00
	YBL-HDFC0000044-006723089118-SEND T9		
	SHASHI		
10/03/20	ATW-541919XXXXXX5361-S1AWID29-INDORE		9153
10/03/20		500.00	876.00
10/03/20	UPI-PHONEPE-BILLDESKPP@		007023657381
11/03/20		48.00	828.00
	YBL-ICIC0DC0001-007069778567-PAYMENT FOR		
	CATEGO		
11/03/20	UPI-KALPNA		007117193217
11/03/20		300.00	528.00
	VISHWAS-PAYTMQR28100505010112XX0WG6G4WR@		
	PAYTM-PYTM0123456-007117960504-UPI		
11/03/20	NWD-541919XXXXXX5361-FFN8012-INDORE		007119329379
11/03/20		500.00	28.00
17/03/20	UPI-SALABH SANODIYA-8982553462@		007722106567
17/03/20		550.00	578.00
	YBL-UTIB0000531-007766341288-PAYMENT		
	FROM PHONE		
18/03/20	EAW-541919XXXXXX5361-LWCW5680-INDORE		7310
18/03/20		500.00	78.00
21/03/20	UPI-RELIANCE JIO INFOCOM-JIO@		00818299906
21/03/20		20.00	58.00
	CITIBANK-CITI0RTGSMI-008108993651-ON		
	TAPPING PAY YOU		
24/03/20	UPI-RELIANCE JIO INFOCOM-JIO@		00849591408
24/03/20		20.00	38.00
	CITIBANK-CITI0RTGSMI-008436053392-ON		
	TAPPING PAY YOU		
01/04/20	CREDIT INTEREST CAPITALISED		
31/03/20		8.00	46.00
01/04/20	UPI-MR LAVEKESH RAI-9425176305@		009213793024
01/04/20		2,000.00	2,046.00

25/02/20 20.00 375.00
YBL-YESB0YBLUPI-005660142338-PAYMENT FOR

Generation Date : 22-Apr-22 14:18 Generated by : 130860182
Requesting Branch Code : NET

CONTINUE

TO BE

DISPATCHED TO BRANCH: WORLI - SANDOZ HOUSE

Address : SANDOZ HOUSE, DR. A.B.ROAD

WORLI
MR SHASHIKANT KUMAR

NEW AREA DASHRATHA PATNA
: MUMBAI 400 018 City

State : MAHARASHTRA

Phone No. : 022-61606161
PATNA 800001
RTGS/NEFT IFSC : HDFC0000281 MICR: 452240003
BIHAR INDIA
Email : kumarshashikant903@gmail.com
JOINT HOLDERS :
Limit : 0.00 Currency : INR OD

Id : 130860182 Pr. Code : 161 Br. Code : 281 Cust
Nomination : Registered
Account No. : 50100290380901
Statement From: 29/11/19 To: 22/04/22
open date : 29/11/2019 A/C

Account Status : REGULAR

CATEGO
26/02/20 ATW-541919XXXXXX5361-S1AWID29-INDORE 4904

23/12/19		3,500.00		730.00
27/12/19	NWD-541919XXXXXX5361-PA122401-INDORE			936121218907
27/12/19		700.00		30.00
01/01/20	CREDIT INTEREST CAPITALISED			
31/12/19		2.00		32.00
06/01/20	CB4565 DEC SALARY			255518500050
06/01/20		19,288.00		19,320.00
06/01/20	ATW-541919XXXXXX5361-S1ACID15-INDORE			1047
06/01/20		14,000.00		5,320.00
07/01/20	POS 541919XXXXXX5361 VISHAL MEGA MART			000000021143
07/01/20		1,297.00		4,023.00
08/01/20	UPI-RAVIKANT KUMAR-9631498242@			000819408858
08/01/20		3,000.00		1,023.00
	YBL-IBKL0001373-000857871994-RAHUL KO			
	DENA HAI			
12/01/20	ATW-541919XXXXXX5361-S1ANBP2-INDORE			8551
12/01/20		1,000.00		23.00
30/01/20	UPI-PHONEPE-BILLDESKPP@			003015530230
30/01/20		16.00		7.00
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	CATEGO			
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10/02/20		15,001.00		15,008.00
	RESEARCH-HDFC-XXXXXXXX1148-SHASHIKANT			
11/02/20	ATW-541919XXXXXX5361-S1AWID01-INDORE			8187
11/02/20		10,000.00		5,008.00
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15/02/20		2,500.00		2,508.00
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16/02/20		2,000.00		508.00
	PAPA			
16/02/20	REV-UPI-50100290380901-6263505425@			004710829248
16/02/20		2,000.00		2,508.00
	YBL-004720983591-PAPA			
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16/02/20		2,000.00		508.00
	PAPA			
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16/02/20		2,000.00		2,508.00
	YBL-004730344660-PAPA			
18/02/20	POS 541919XXXXXX5361 R K COLLECTION			107392
18/02/20		880.00		1,628.00
18/02/20	ATW-541919XXXXXX5361-P1AWIN14-INDORE			693
18/02/20		700.00		928.00
23/02/20	POS 541919XXXXXX5361 SAHU TRADERS			566899
23/02/20		533.00		395.00
25/02/20	UPI-PHONEPE-EURONET@			005620645130

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Page No. : 1

TO BE

DISPATCHED TO BRANCH: WORLI - SANDOZ HOUSE

Address : SANDOZ HOUSE, DR. A.B.ROAD

WORLI
MR SHASHIKANT KUMAR
.
NEW AREA DASHRATHA PATNA
: MUMBAI 400 018 City

State : MAHARASHTRA

Phone No. : 022-61606161
PATNA 800001
RTGS/NEFT IFSC : HDFC0000281 MICR: 452240003
BIHAR INDIA
Email : kumarshashikant903@gmail.com
JOINT HOLDERS :
Limit : 0.00 Currency : INR OD

Id : 130860182 Pr. Code : 161 Br. Code : 281 Cust
Nomination : Registered
Account No. : 50100290380901
Statement From: 29/11/19 To: 22/04/22
open date : 29/11/2019 A/C

Account Status : REGULAR

05/12/19	CB4565 SALARY NOV		232750200024
05/12/19		8,730.00	8,730.00
05/12/19	ATW-541919XXXXXX5361-P1AWIN14-INDORE		1926
	8,000.00		730.00
22/12/19	UPI-RAHUL KUMAR VISHWAKA-9158800095@		935621351420
23/12/19		3,500.00	4,230.00
	YBL-ICIC0000241-935684758626-PAYMENT		
	FROM PHONE		
23/12/19	NWD-541919XXXXXX5361-15656381-INDORE		935721024134

229



Shashikant Kumar
+91 62635 05425



Shashikant Kumar

+91 62635 05425
Joined September 2018

₹5,900

You paid • 10:28 AM →

(239)



To Shashikant Kumar

+91 62635 05425

₹45,000.00

Completed • Aug 29, 2:34 PM

State Bank of India
XXXXXX9711

Payment started

Payment processing by partner bank

Money deposited in recipient's bank

Raise dispute

UPI transaction ID
124114326961

229



To Shashikant Kumar

+91 62635 05425

₹10,000.00

Completed • Aug 13, 8:10 AM

State Bank of India
XXXXXX9711

UPI transaction ID
122508088477

To: SHASHIKANT KUMAR
kumarshashikant903-2@okhdfcbank

From: PALLAB KUMAR BORA (State Bank of India)
pallabkr.bora97@oksbi

Google transaction ID

Get help

232



To Shashikant Kumar

+91 62635 05425

₹90,000.00

Completed • Aug 28, 2:26 PM

State Bank of India
XXXXXX9711

UPI transaction ID
124014167998

To: SHASHIKANT KUMAR
kumarshashikant903-1@okhdfcbank

From: PALLAB KUMAR BORA (State Bank of India)
pallabkr.bora97@oksbi

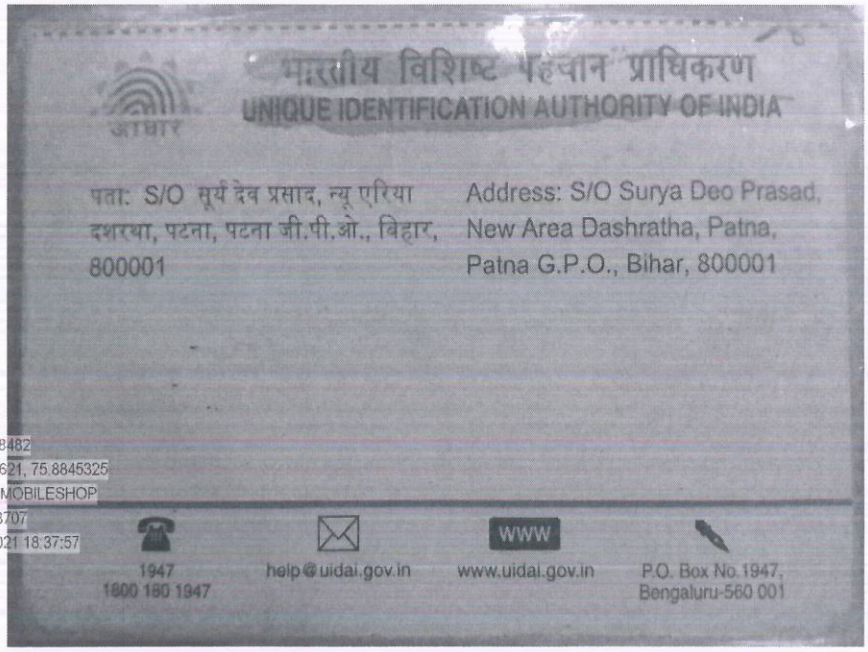
Google transaction ID

342

PROOF OF IDENTITY

Mobile Number* 8109422355 CAF Number* G214718482

CAF Submission Date & Time 27/02/2021 18:43:33



348

PROOF OF IDENTITY

Mobile Number* 8109422355

CAF Number* G214718482

CAF Submission Date & Time 27/02/2021 18:43:33



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DHRUBMOBILESHOP
9685588707
27:02:2021 18:37:42

Version November 2018

344

PROOF OF ADDRESS

Mobile Number* 8109422355 CAF Number* G214718482

CAF Submission Date & Time 27/02/2021 18:43:33



G214718482
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DHRUBMOBILESHOP
9685588707
27:02:2021 18:37:42

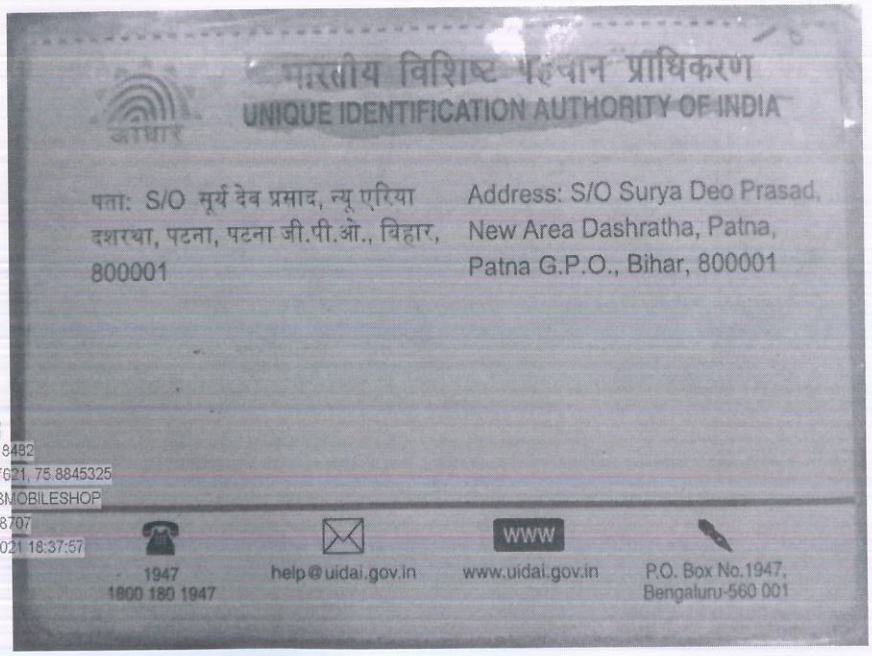
Version November 2018

343

PROOF OF ADDRESS

Mobile Number* 8109422355 CAF Number* G214718482

CAF Submission Date & Time 27/02/2021 18:43:33



346

CUSTOMER RELATIONSHIP/APPLICATION FORM - INDIVIDUAL/COMPANY REIMBURSED (NEW CONNECTION - D-KYC PROCESS)

airtel

Bharti Airtel Limited - Registered address: Bharti Crescent, 1, Nelson Mandela Road, Vasant Kunj Phase II, New Delhi – 110070, India. | Tel: +91-11-4666 6100 | Fax: +91-11-4166 6137 | E-mail: 121@airtel.com
| Website: www.airtel.com | Corporate Identity Number: L74899DL1995PLC070609
Circle office: Bharti Airtel Ltd, 3rd Floor, Metro Tower, Vijay Nagar, Indore, Madhya Pradesh 452010



Type of connection* Prepaid

Unique Customer Application Form (CAF) No* G 2 1 4 7 1 8 4 8 2

Mobile Services Opted Mobile | Status of subscriber* Individual, Outstation

Mobile Number Allotted* (to be filled by reseller) 8 1 0 9 4 2 2 3 5 5 | IMSI NO.* 4 0 4 9 3 0 4 9 7 6 5 8 7 0 1

SIM Number 8 9 9 1 9 3 2 1 0 4 9 7 6 5 8 7 0 1 9 U

Photo ID Proof type* UID CARD (ADHAAR CARD) | Document No.* 441718490041

Date of Issue | Place of Issue | Issuing Authority* Unique Identification Authority Of India

Address Proof document Type* UID CARD (ADHAAR CARD) | Document No.* 441718490041

Date of Issue | Place of Issue | Issuing Authority* Unique Identification Authority Of India

Personal Details

Name of the Subscriber* Shashikant Kumar

Name of Father/ Husband/Mother* Surya Deo Prasad

E-mail address (if any) | Gender* Male | Date of Birth* (DD/MM/YYYY) 01/01/1992 | Profession of Subscriber

Nationality* INDIAN | PAN/GIR | Alternate Contact numbers(if any) Home | Business | Mobile

Passport Number if Foreign National | Passport Validity | VISA No. | VISA Type | VISA Validity

Complete Local Residential Address*

(C/o)/(D/o)/(S/o)/(W/o)/(H/o) | House No/Flat No/ Building/Apartment* 674/8

Street Address/Road Name* Indore | Area/Sector/Locality* Indore

Village/Town/City* Indore | District* Indore

Landmark Neheru Nagar | State/UT* Madhya Pradesh | Pin Code* 4 5 2 0 0 1

Complete permanent residential Address of subscriber*

(C/o)/(D/o)/(S/o)/(W/o)/(H/o) S/O Surya Deo Prasad | House No/Flat No/ Building/Apartment* New Area Dashratha

Street Address/Road Name* Patna | Area/Sector/Locality* Patna G P O

Village/Town/City* Patna | District* Patna

Landmark | State/UT* Bihar | Pin Code* 8 0 0 0 0 1

Personlised Requirements

Tariff Plan Applied* 297 | Add-On Account Number

Value Added Services Applied (if any)

Number of Mobile connections held in name of Applicant * (Operator-wise) 1 | Operator Name(s)* Idea 1

Details (Name, Address and phone number) of Local reference*(Outstation customer/ Foreign National Customer)

Name Harpal | Phone Number 6263505425

Address 674, Indore, Indore, Neheru Nagar, Indore, Indore, Madhya Pradesh, 452001

Name of local reference contacted by PoS at time of Sale* (in case of outstation customer): Harpal

To be filled in cases of Mobile Number Portability (MNP)

UPC | UPC Genrated Date D D M M Y Y Y Y | Previous Service Provider

Licensed Service Area Details | Existing Product

To be filled in cases of Post-paid connections

(A) Form of Payment | (B) If payment made by cash/cheque/credit card/debit card (a) Bank A/c No.

(b) Bank Name | (c) Branch Name & Address

Details & Relevant Declaration(s) of POINT OF SALE, ACTIVATION OFFICER & CUSTOMER

Declaration by Activation officer(AO)/Authorized Representative (AR) of Licensee*

a. Information available in the pictures of PoI/PoA documents is matching with the information entered by PoS in CAF.b. Live photograph of the customer matches with the photo available in the PoI/PoA documents.c. All of the necessary details in CAF including mandatory fields are filled properly.d. In case of Outstation Subscriber, tele-verification of local referee has been done either by tele-calling or OTP based authentication (as mentioned in para 3 of instructions dated 03.04.2019). (OTP sent on Local reference number i.e., 6263505425, on 27/02/2021 : 18/41/31 and verified on 27/02/2021 : 18/42/16).

Digital Signature of Activation Officer/Authorized Representative of Licensee *

Digitally signed by : DS BHARTI AIRTEL LIMITED
AO/AR Code : A1HUY75F
Name of AO/AR : AMIT KUMAR
Designation of AO/AR : Activation Officer
Signed Date & Time : 27/02/2021 18:44:32

DECLARATION BY POS*

a. I have seen the customer and also taken/captured a live photograph of customer and and his/her original documents.b. I have not used my registered mobile number or any of my numbers for getting the OTP in customer signature.c. OTP received on my registered number : 9630552156 on 27/02/2021 : 18/43/19 and verified on 27/02/2021 : 18/43/25 shall be treated as my signature and the photograph captured on this CAF is my live photographd. I confirm that I have not saved the customer photograph and PoI/PoA document photograph during this process.e. I have issued the SIM card and handed over the same to the Customer.f. In case of eSIM opted by customer, I have informed him that the QR code will be sent to his/her registered email ID.

POS Registered Mobile Number* 9630552156

POS OTP* 139624

LIVE Photograph of POS*



DECLARATION OF CUSTOMER*

a. I/We have read and understood the terms and conditions and unconditionally accept them as binding on me/us. For details, visit - https://www.airtel.in/mobile/terms-conditions.b. I/we have understood the tariffs and related conditions on which services will be provided inside and outside India, as applicable on this date and as amended from time to time.c. The details on this form have been filled from information provided by me/us and are true and correct in all respects.d. I/We also undertake to pay the charges for the services subscribed.e. In order to ensure compliance with the Government of India Regulation. I/We confirm the genuineness of the documents shared by me/us with this CAF.f. I/We Have received the SIM card(s)/ Incase of opted eSIM:- Iam aware that QR code will be sent to my registered email ID.g. Mobile Number Portability (MNP), if applicable - I/We have read and understood the terms and conditions regarding MNP. I/We further declare that I/We am/are the owner of the said number, for which porting is being requested by me/we through this application. In the event that this declaration is found to be false in any manner, I/We agree that the said mobile number shall be disconnected by service provider.h. OTP which was sent on mobile no: 6262999317 on 27/02/2021 : 18/42/31, verified on: 27/02/2021 : 18/43/04, be treated as my signature.i. I/We give my consent to AIRTEL for sharing my PoA/PoI details for internal purposes and any Government related mandates.j. If the alternate mobile number shared by me is my own mobile number then I understand I will be able to avail the PIN based tele-verification.

Mobile Number Used For Customer Signature * 6 2 6 2 9 9 9 3 1 7

Mobile Number Owned by* Self

Customer OTP* 182338

OTP VALIDATION DATE & TIME* 27/02/2021 : 18/43/04

POS*

Point of Sale Name* DHRUBMOBILESHOP

Point of Sale code* 9685588707

Complete Address of Point of Sale* (House No./ Flat No/ Building/Apartment, Street Address/ Road Name, Landmark, Area/Sector/Locality, Village/Town/City, District, State/UT, Pincode) 686/9,Atal Gate,Nehru Nagar,MIG Thana, Indore,Madhya Pradesh,452001

Version May 2019

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APPLICATION FORM FOR NEW MOBILE CONNECTION USING e-KYC PROCESS

BHARTI AIRTEL LIMITED -Registered address: Airtel Center, Plot No. 16, Udyog Vihar, Phase IV, Gurugram - 122015, Haryana, India. | Tel: 01244222222 | Fax: 01244243252 | E-mail: 121@airtel.com
Corporate Identity Number: L74899HR1995PLC095967
Circle office: Bharti Airtel Ltd, 3rd Floor, Metro Tower, Vijay Nagar, Indore, Madhya Pradesh 452010

airtel

Details of Local reference* (For Outstation Customer)

Name* Pradeep Dhakad Phone No.* 6265075133

Address* 426, Nanda Nagar , Nanda Nagar Indore, , Indore, Indore, Madhya Pradesh, 452011

Local reference number OTP* 115771 OTP validation Date and Time* 02/02/2022 : 20/37/10

To be filled in case of Mobile Number Portability (MNP)

UPC J Y 3 1 6 6 9 9 Previous Service provider Reliance Jio Infocomm Limited Licensed Service Area details MP and Chattisgarh

Pos Details*

PoS Name* IND CLASSIC MOB.

PoS Code* 7222922587

PoS Agent Name* Mohan Gondkar
(as received from UIDAI)

House No/Flat No/Building/Apartment/C/o*:
90

Street Address/Road Name/Ward No*:
mr 9 road

Landmark:

Area/Sector/Locality*:
nanda nagar

Village/Town/City*:
Indore

District*: Indore

State/UT*: Madhya Pradesh

Pin Code* 4 5 2 0 1 0

eKYC Declaration/Consent by POS agent

1. I hereby give my consent to use my Aadhaar number/Virtual ID and biometrics i. e my finger(s) or iris by UIDAI for sharing my eKYC details (i.e. demographic data and photograph) from my Aadhaar to Bharti Airtel Limited/ Bharti Hexacom Limited for the Purpose of issuing SIM to the Customer. 2. I am aware of two existing alternate process of acquiring SIM viz. Paper based process and DKYC process.3. I am voluntarily using aadhaar based e-KYC process to get register with Bharti Airtel Limited/ Bharti Hexacom Limited.

Unique Response Code* 54f8c08727dc4ef7b53135da84213aa6

Date* 21/12/2021

Time* 17:58:52

PoS Agent (as received from UIDAI)

eKYC Declaration/Consent by the Customer

1. I have been informed by the POS/POS Agent regarding the two existing alternate process of acquiring SIM viz. Paper based process and DKYC process.2. I am voluntarily using aadhaar based e-KYC process for acquiring the SIM.3. I hereby give my consent to use my Aadhaar number/Virtual ID and biometrics i.e. my finger(s) or iris by UIDAI for sharing my eKYC details (i.e. demographic data and photograph) from my Aadhaar to Bharti Airtel Limited/Bharti Hexacom Limited for Issuing of mobile connection to me.4. The information provided by me to the POS/ POS Agent in my respect is correct.5. My biometric authentication can be treated as my signature.6. I have received_1_ no. of SIM cards.(Shall always be one in case of individual/outstation customers).7. I/We have read and understood the terms and conditions and unconditionally accept them as binding on me/us. For details, visit - https://www.airtel.in/mobile/terms-conditions.

Unique Response Code* fd6ffb7e73e2437ba37f95b3ae0abfa2

Date* 02/02/2022

Time* 20:31:58

Customer (as received from UIDAI)

Declaration/Consent by the Customer*

1. I give my consent to Airtel for sharing POI/POA details provided by me for internal purposes & with respect to any request from designated Government offices/agencies for regulatory, statutory or judicial purposes for compliance with any law or regulation.2. I/we have understood the tariffs and related conditions on which services will be provided inside and outside India, as applicable on this date and as amended from time to time.3. I/We also undertake to pay the charges for the services subscribed.4. Mobile Number Portability (MNP), if applicable - I/We have read and understood the terms and conditions regarding MNP. I/We further declare that I/We am/are the owner of the said number, for which porting is being requested by me/we through this application. In the event that this declaration is found to be false in any manner, I/We agree that the said mobile number shall be disconnected by service provider.

Declaration/Consent by POS agent*

1. I have intimated/Informed the customer regarding the existing alternate process for acquiring the SIM viz. Paper based process and DKYC Process.2. I have captured the Live Photograph of the customer.3. I certify that Subscriber Identification Module (SIM) has been handed over to Shashikant Kumar only.4. I have tele-verified the local reference i.e Mr/Ms/Mrs Pradeep Dhakad on his/her telephone number (wireless or wireline) 6265075133 using my telephone number (wireless or wireline) 7222922587. (Only for Outstation Customers).5. My biometric authentication can be treated as my signature.6. I have entered all mandatory details as shared by customer which are not received from UIDAI.7. I give my consent to Airtel for sharing POA/POI details provided by me for internal purposes & with respect to any request from designated Government offices/agencies for regulatory, statutory or judicial purposes for compliance with any law or regulation.

Unique Response Code*e8c1ab6d92284defb9c4be2b29d98d18

Date*02/02/2022

Time*20:42:38

Declaration by the Authorized Representative or the IT-System of the Licensee Before Activation of SIM Card*

1. All the entries in the CAF & Licensee's database for the respective customer are complete and there is no error apparent on the face of records of the customer in the CAF & database.2. Live photograph of the customer matches with the photo received from the UIDAI.3. No Gibberish information (a single nonsensical word or a group of nonsensical words) is stored in the CAF and Licensee's database.4. All necessary details in CAF including mandatory fields are filled properly.

Digitally signed by : DS BHARTI AIRTEL LIMITED
AO/AR Code : A147N9U3
Name of AO/AR : Ankit Kumar
Designation of AO/AR : Activation Officer
AO/AR Validation Date time* : 02/02/2022 20:43:11
Signed Date & Time : 04/02/2022 23:31:48

SIM Activation* (Manually / By IT-System) Manually

SIM Activation Date* 04/02/2022

SIM Activation Time* 23:31:46

Name & designation of the authorized representative of the Licensee or the IT-System activating the SIM on behalf of the licensee* Ankit Kumar Activation Officer

Unique acknowledgement receipt number given by Licensee to customer (To be populated by Licensee)* H214007915

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APPLICATION FORM FOR NEW MOBILE CONNECTION USING e-KYC PROCESS

BHARTI AIRTEL LIMITED -Registered address: Airtel Center, Plot No. 16, Udyog Vihar, Phase IV, Gurugram - 122015, Haryana, India. | Tel: 01244222222 | Fax: 01244243252 | E-mail: 121@airtel.com
Corporate Identity Number: L74899HR1995PLC095967
Circle office: Bharti Airtel Ltd, 3rd Floor, Metro Tower, Vijay Nagar, Indore, Madhya Pradesh 452010

airtel

Person with disability (PwD)* : Yes [ ] No [✓]

Status of subscriber* Individual, Outstation

Mobile Number Alloted* (To be filled by retailer) 6 2 6 3 5 0 5 4 2 5

Unique Customer Application Form (CAF) No.* H 2 1 4 0 0 7 9 1 5

Type of Connection* Prepaid

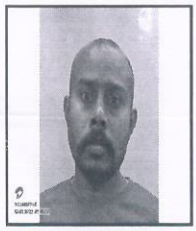
Product Type Mobile

IMSI No.* 4 0 4 9 3 0 8 9 2 2 5 1 8 9 3

SIM Number* 8 9 9 1 9 3 2 1 0 8 9 2 2 5 1 8 9 3 7 U



Customer photo received from UIDAI



Customer live photograph

Personal Details (As received from UIDAI)

Customer's Name* (As received from UIDAI) Shashikant Kumar

Father's/Husband's Name* Suryadeo Prasad

Gender* (As received from UIDAI) Male

DOB (DD/MM/YYYY)* (As received from UIDAI) 2 8 0 6 1 9 9 2

Nationality* INDIAN

PAN/GIR

Alternate contact number, if any: Home Business Mobile

E-mail ID (If any) Profession of Customer

Complete local residential address of Customer (As received from UIDAI) (For Individual customer only)

{C/o}/{D/o}/{S/o}/{W/o}/{H/o}

House No./Flat No. Street address/Village

Locality/Tehsil

City/District

Landmark State/UT Pin Code

Complete permanent residential address of Customer (As received from UIDAI) (For Outstation customers only)

{C/o}/{D/o}/{S/o}/{W/o}/{H/o} C/O Suryadeo Prasad

House No./Flat No. Rajrup Bhavan Street address/Village Sikariya

Locality/Tehsil

City/District Sikariya Jehanabad

Landmark State/UT Bihar Pin Code 8 0 4 4 0 8

Complete Local Residential Address of Customer* (i.e. the address within the service area) (For outstation customers only)

{C/o}/{D/o}/{S/o}/{W/o}/{H/o}

House No/Flat No/Building/Apartment 203 Street address/Road Name New Anjni Nagar

Area/Sector/Locality* Indore

Village/Town/City* Indore Landmark

District* Indore State/UT* Madhya Pradesh Pin Code* 4 5 2 0 1 0

Personalised Requirements

Tariff plan applied* 265

Bill to be sent at [ ] Present/Local Address [ ] Office Address Bill Mode Bill Payment Mode [ ] ECS [ ] SI Other

Value Added Services Applied (if any)

Number of Mobile connections held in the name of Individual/Outstation customer (including all TSPs) 1 Idea 1

Form of Payment* (To be filled in case of Post-paid connections) [ ] Cash [ ] Cheque [ ] Credit Card [ ] Debit Card

If payment made by Cash/Cheque/Credit Card/Debit Card Bank A /c No. Bank Name

Branch Name & Address

Details of Add-on/ Value Added facilities (like Data services, Roaming, ISD, tariff plan etc.) activated on the SIM Card

Continued...

Sr. No.	F.Y.	Client Name	Name of the Package/Service offered	Total amount of fee charged from the client during the F.Y.	Mode of receipt of payment from Client (cash deposit/ NEFT/ Payment gateway etc.)	Details of the advise

vi. List of all bank accounts maintained and highlight the bank accounts where advisory fees collected.
vii. List of payment gateways, the arrangement and copy of all the documents.
viii. Scheme details, pamphlets, brochures, promotional materials, etc., related to advisory activities.
ix. Details of any arrangement / agreement in connection with the advisory related activities and other relevant documents available.
x. Whether M/s SM Global Research / Shashikant Kumarever been registered with any of the recognized Stock Exchanges / SEBI / other regulators in any capacity whatsoever? If yes, furnish the details thereof.
xi. A copy of the audited Annual Accounts of M/s SM Global Research / Shashikant Kumar for the last three financial years.
xii. A copy of account statement of all the bank accounts of M/s SM Global Research / Shashikant Kumar pertaining to last three financial years.
xiii. A copy of account statement of all the payment gateways (used by M/s SM Global Research / Shashikant Kumar for receiving fees from clients for advisory services) from the date of operating to till date.
xiv. Details of M/s SM Global Research / Shashikant Kumar website, entity/person responsible for hosting and maintaining the aforesaid website.
xv. Any other relevant information M/s SM Global Research / Shashikant Kumar may wish to submit.

3. You are advised to submit the aforesaid information along with supporting documents within 15 days from the date of receipt of this letter.

Yours faithfully,

30/11/2023

Gunjan Biruly

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भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board of India

Assistant General Manager
Eastern Regional Office

SEBI/ERO/P/OW/GB/2023/48154/1
November 30, 2023

By Speed Post with A.D

Shashikant Kumar
H No. 452, New Anjani Nagar
Badi Bhamori
Near Bhamori Bridge
Indore
452011
Madhya Pradesh

Dear Sir / Madam,

Sub.: Examination of products/services offered by M/s SM Global Research / Shashikant Kumar

1. Under the SEBI Act 1992 read with SEBI (Investment Advisers) Regulations 2013, no person shall act as an Investment Advisers unless the entity has obtained a certificate of registration from SEBI under the aforesaid Regulations. Acting as an Investment Advisers without SEBI registration may entail to initiation of action, as deemed fit, under the SEBI Act 1992.

2. SEBI has observed that you are offering various financial products / services in the nature of Investment Advisory to your clients in the name of M/s SM Global Research / Shashikant Kumar. In this regard, you are advised to provide the following information along with the supporting documents, if any:

   i. Registered corporate address of M/s SM Global Research / Shashikant Kumar along with the phone numbers, email ids, legal structure (Proprietorship/Partnership/LLP/ Company etc.), PAN and date of incorporation.

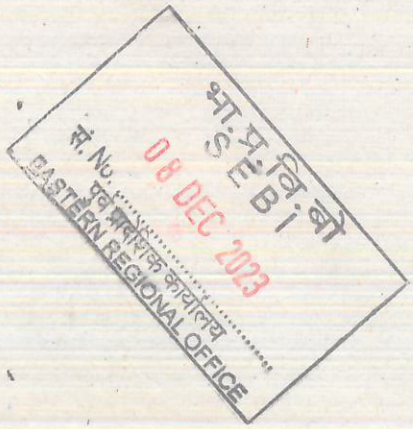
   ii. Name, address, PAN, email ids and phone numbers of Proprietor /all Promoters / Directors / Partners of M/s SM Global Research / Shashikant Kumar along with their educational qualifications, experience in activities relating to advice in relating to various financial products.

   iii. With respect to point (ii) above, provide details of association of the aforesaid Proprietor / all Promoters / Directors / Partners of M/s SM Global Research / Shashikant Kumarwith any other proprietorship / partnership / LLP / company along with the nature of the association and the date of inception of such association.

   iv. Brief note on all activities / services / products offered by M/s SM Global Research / Shashikant Kumarsince inception till date along with the date of commencement of the aforesaid activities/services/products.

   v. With respect to above point, provide the information year-wise since inception till date in the following format:

(326)



EMS SPEED POST

4 Date posted — Year: 2018 | Month: 02 | Day: 01

5 Time mailed — Hour | Minutes

20 A Dispatch charge

20 B office of origin

Customs declaration

Description of contents Applicable for International EMS Speed Post only

m/s SM Global

27 Name in print of the person taking of the item

28 Signature

22 Gift ☐

23 Sample of merchandise ☐

24 Value

25 Weight in Kg.

29 Date of delivery — Year | Month | Day

30 Time of delivary — Hour | Minutes

Sender

8 Name and address of sender

GB Ahm

SECURITIES & EXCHANGE BOARD OF INDIA
L&T Chambers, 3rd Floor
16, Camac Street, Kolkata - 700 017

9 Sender's postal Code

Addressee

12 Name and address of addressee

Shashikant Kumar,
Bhamori Bridge,
Indore mp-452011

Signature

14 Addressee's postal Code

No. SDP / L-03/PTG. 17-18/BD dt. 29.08.17, 9,50,000 pieces New Bharati Press



NANDANKANAN
1. Door Locked.
2. Addressee Moved.
3. Insufficient Address.
4. Refused.
5. Addressee Left.
6. Unclaime.
7. Deceased.
8. Reedirct.
Postman Signature
Beat No.....
5/12/23

भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

By Speed Post with A.D

Shashikant Kumar
H No. 452, New Anjani Nagar
Badi Bhamori
Near Bhamori Bridge
Indore
452011
Madhya Pradesh

EMS SPEED POST
EW398505573IN

एल एण्ड टी चेम्बर्स, तीसरी मंजिल
16, कैमैक स्ट्रीट, कोलकाता - 700 017
L & T Chambers, 3rd Floor
16, Camac Street, Kolkata - 700 017

GUNJAN BIRULY

From: GUNJAN BIRULY
Sent: 30/11/2023 19:14
To: 'kumarshashikant@gmail.com'; 'info@smglobalresearch.com'; 'kumarshashikant903@gmail.com'; 'smglobal64@gmail.com'; 'contact@smglobalresearch.com'
Cc: VIKAS SS
Subject: SEBI Letter November 30, 2023 - SM Global Research / Shashikant Kumar
Attachments: SEBI Letter dated November 30 2023.pdf

Tracking:

Recipient	Delivery
'kumarshashikant@gmail.com'	
'info@smglobalresearch.com'	
'kumarshashikant903@gmail.com'	
'smglobal64@gmail.com'	
'contact@smglobalresearch.com'	
VIKAS SS	Delivered: 30/11/2023 19:14

Sir/Madam,

Please see the attached communication from SEBI. You are advised to reply to the same within 15 days of receipt.

Regards,
Gunjan

Gunjan Biruly (Mr.) | AGM, SEBI – Eastern Regional Office
16 Camac Street, L&T Chambers | Kolkata - 17

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GUNJAN BIRULY

From: Mail Delivery System <MAILER-DAEMON@MUSBDSDLPMAIL2.localdomain>
To: kumarshashikant903@gmail.com; kumarshashikant@gmail.com; smglobal64@gmail.com; contact@smglobalresearch.com; info@smglobalresearch.com
Sent: 30/11/2023 19:14
Subject: Relayed: SEBI Letter November 30, 2023 - SM Global Research / Shashikant Kumar

Delivery to these recipients or groups is complete, but no delivery notification was sent by the destination server:

kumarshashikant903@gmail.com

kumarshashikant@gmail.com

smglobal64@gmail.com

contact@smglobalresearch.com

info@smglobalresearch.com

Subject: SEBI Letter November 30, 2023 - SM Global Research / Shashikant Kumar

```
Received: from MUSBDSTMIMS2.sebi.gov.in (unknown [127.0.0.1])
        by IMSVA (Postfix) with ESMTP id D80B58C3F6;
        Thu, 30 Nov 2023 19:14:05 +0530 (IST)
DKIM-Signature: v=1; a=rsa-sha256; c=simple/simple; d=sebi.gov.in;
        s=5EB1_M5S_OCT2019; t=1701351846;
        bh=VY+97dSg1S+xZEhBUX3Qi9pmNdn3FmQqS27iO0j0eAU=; h=From:To:Date;
        b=WhxlEgJXwPcscQFCCy49HjPCUevek42cCh9GXF7CjhpAAMGX05X37kPz9Cr31F521
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         TWdTBKMArGxzHAsgYEl6zPZIcEcWZRdZ11OQu4N8=
Received: from MUSBDSTMIMS2.sebi.gov.in (unknown [127.0.0.1])
        by IMSVA (Postfix) with ESMTP id B1EA08C443;
        Thu, 30 Nov 2023 19:14:05 +0530 (IST)
Received: from MUSBDSTMIMS2.sebi.gov.in (unknown [10.201.7.106])
        by MUSBDSTMIMS2.sebi.gov.in (Postfix) with ESMTP;
        Thu, 30 Nov 2023 19:14:05 +0530 (IST)
Received: from MUSBDSDLPMAIL2 (MUSBDSDLPMAIL2 [127.0.0.1])
        by MUSBDSDLPMAIL2.localdomain (Service) with ESMTP id A082D20028B1;
        Thu, 30 Nov 2023 19:14:05 +0530 (IST)
Received: from webmail.sebi.gov.in (unknown [10.201.7.107])
        by MUSBDSDLPMAIL2.localdomain (Service) with ESMTP id 6F89020028AE;
        Thu, 30 Nov 2023 19:13:49 +0530 (IST)
From: "GUNJAN  BIRULY" <gunjanb@sebi.gov.in>
To: "kumarshashikant@gmail.com" <kumarshashikant@gmail.com>,
        "info@smglobalresearch.com" <info@smglobalresearch.com>,
        "kumarshashikant903@gmail.com" <kumarshashikant903@gmail.com>,
        "smglobal64@gmail.com" <smglobal64@gmail.com>, "contact@smglobalresearch.com"
        <contact@smglobalresearch.com>
CC: VIKAS SS <vikas@sebi.gov.in>
Subject: SEBI Letter November 30, 2023 - SM Global Research / Shashikant Kumar
Thread-Topic: SEBI Letter November 30, 2023 - SM Global Research / Shashikant
 Kumar
Thread-Index: Adojkw6eRptQjlDcTyCDevLScwFXBQ==
Return-Receipt-To: <gunjanb@sebi.gov.in>
Date: Thu, 30 Nov 2023 13:43:47 +0000
Message-ID: <6b0097e6809949de870eff1241896e7f@sebi.gov.in>
Accept-Language: en-GB, en-IN, en-US
Content-Language: en-US
X-MS-Has-Attach: yes
X-MS-TNEF-Correlator:
x-classification: SEBI-REGULATORY
x-originating-ip: [10.31.170.115]
x-tm-as-product-ver: SMEX-14.0.0.3092-9.0.1002-28026.001
x-tm-as-result: No-10--22.727600-8.000000
x-tmase-matchedrid: EefIVvJ/ke2zCvPwOJpBzBO7C3UVWhpn31asM/gsp2mdKA+S8N206BKk
        pg8dQmdKkI1KoLwVBVA8DWpBm1CjZTmNLhXT11DOUgKYbZFF6Gi87zU89eLPKZnB2qzM3UOUxOv
```

GUNJAN BIRULY

From: Mail Delivery System <MAILER-DAEMON@MUSBDSTMIMS2.sebi.gov.in>
To: contact@smglobalresearch.com; info@smglobalresearch.com
Sent: 30/11/2023 19:14
Subject: Undeliverable: SEBI Letter November 30, 2023 - SM Global Research / Shashikant Kumar

Delivery has failed to these recipients or groups:

contact@smglobalresearch.com
A problem occurred and this message couldn't be delivered. Check to be sure the email address is correct. If the problem continues, please contact your email admin.

info@smglobalresearch.com
A problem occurred and this message couldn't be delivered. Check to be sure the email address is correct. If the problem continues, please contact your email admin.

Diagnostic information for administrators:

Generating server: MUSBDSTMIMS2.sebi.gov.in

contact@smglobalresearch.com
Remote Server returned '554 5.4.4 < #5.4.4 X-Postfix; Host or domain name not found. Name service error for name=smglobalresearch.com type=A: Host not found>'

info@smglobalresearch.com
Remote Server returned '554 5.4.4 < #5.4.4 X-Postfix; Host or domain name not found. Name service error for name=smglobalresearch.com type=A: Host not found>'

Original message headers:

```
Return-Path: <gunjanb@sebi.gov.in>
```