



भारतीय प्रतिभूति
और विनियम बोर्ड
Securities and Exchange
Board of India

SEBI/NRO/OW/P/2022/15891/1

RECOVERY DIVISION
NORTHERN REGIONAL OFFICE

Tel: 011-69012998/58, recoverynro@sebi.gov.in

Order releasing bank, demat accounts and Mutual Fund Folios.

Attachment Proceeding No. 7632 & 7633 of 2021
Certificate No. 4206 of 2021

The Principal Officer/Chairman/MD/CEO,
All Banks in India

NSDL/CDSL, Mumbai

All Mutual Funds of India

1. Whereas Certificate No. 4206 of 2021 dated October 12, 2021 was drawn against **Ms. Poonam Gupta (PAN: AEWPG7819P), Mr. Harsh Gupta (PAN: AHIPG6023E), Mr. Rajat Gupta (PAN: AERPG7097J) and Mr. Ramesh Gupta (PAN: AAJPG5714G), jointly and severally [Defaulters]** in the matter of **Issuance of Fake Contract Notes in the scrip of Rockon Fintech Limited** and the sum of **Rs. 10,63,488/- (Rupees Ten Lakh Sixty Three Thousand Four Hundred Eighty Eight)** was due under the said certificate.
2. And whereas a Notice of Attachment vide AP Nos. 7632 of 2021 and 7633 of 2021 dated November 02, 2021 was issued, attaching bank, demat accounts/lockers and mutual fund folios of the entity.
3. Whereas an amount of **Rs.11,07,262.08/- (Rupees Eleven Lakh Seven Thousand Two Hundred Sixty Two and Eight Paise)** has been recovered towards full and final settlement of the dues from the defaulter under the said certificate.



Page 1 of 2

“हम हिन्दी पत्राचार का स्वागत करते हैं।”

उत्तरी प्रादेशिक कार्यालय : प्लेट-बी, आठवीं मंजिल, ऑफिस टॉवर-1, एन बी सी सी कॉम्प्लेक्स, पूर्व किदवई नगर, नई दिल्ली - 110023

Northern Regional Office : Plate-B, 8th Floor, Office Tower-1, NBCC Complex, East Kidwai Nagar, New Delhi-110023 दूरभाष (Phone) : 011 - 69012998

प्रधान कार्यालय : सेबी भवन, प्लॉट सं. सी-4 'अ', जी-ब्लॉक, बान्द्रा कुर्ला कॉम्प्लेक्स, बान्द्रा (पूर्व) मुंबई - 400051 दूरभाष (Phone) : 022 - 26449000

Head Office : SEBI Bhavan, Plot No. C-4A, G-Block, Bandra Kurla Complex, Bandra (E) Mumbai - 400051 Web. : www.sebi.gov.in



Continuation Sheet

भारतीय प्रतिभूति
और विनियम बोर्ड
**Securities and Exchange
Board of India**

4. In view of the above, you are hereby directed to release bank, demat accounts/lockers and Mutual Fund Folios etc. of **Ms. Poonam Gupta, Mr. Harsh Gupta, Mr. Rajat Gupta and Mr. Ramesh Gupta** [Defaulters] attached, if any, pursuant to the above notice of attachment with **immediate** effect.

Given under my hand and seal at New Delhi this 11th day of April 2022.

SEAL



Copy to:

Ms. Poonam Gupta
D-33, Rajouri Garden,
Delhi-110027

Mr. Rajat Gupta
D-33, Rajouri Garden,
Delhi-110027

RECOVERY OFFICER

राजीव रस्तोगी/RAJEEV RASTOGI
सहायक अधिकारी एवं उप महाप्रबंधक
Recovery Officer & Deputy General Manager
भारतीय प्रतिभूति और विनियम बोर्ड
Securities and Exchange Board of India
उ० प्रादेशिक कार्यालय/N. Regional Office
नई दिल्ली/New Delhi

Mr. Harsh Gupta
D-33, Rajouri Garden,
Delhi-110027

Mr. Ramesh Gupta
D-33, Rajouri Garden,
Delhi-110027