



Assistant General Manager
Enforcement Department-I
Division of Regulatory Action-III
Email: srinivas@sebi.gov.in

भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

SEBI/HO/EFD1/DRA3/P/OW/2022/27074/1
July 04, 2022

Sudha S. Oak
M/s Dreams Broking Pvt. Ltd.,
201, Shanti Palace, Opp St. John School,
Beside IDBI Bank, veer Sawarkar Marg,
Thane (West) – 400601.

**Sub:- Personal Hearing before WTM in the matter of M/s. Dreams
Broking Pvt. Ltd.**

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6955/1
dt.25.03.2021**

1. Your attention is drawn to the Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6955/1 dt.25.03.2021 issued in the captioned matter.
2. In this connection, I am directed to inform that an opportunity of Personal Hearing through video conferencing has been granted to you by **Shri Ashwani Bhatia, Whole Time Member (WTM)**, SEBI which is scheduled on **27.07.2022 at 02.30 PM.**
3. You or your authorised representative are / is advised to remain present for the said hearing. The weblink for the video conferencing would be sent to you in due course. Please be noted that in case you fail to appear before the Whole Time Member on the said date, it shall be presumed that you have nothing more to state in the matter and the matter will be proceeded with on the basis of material available on record.
4. You are also advised to confirm your attendance by 15.07.2022 in writing to the below mentioned address and also by an e-mail to srinivas@sebi.gov.in providing the name (s) of the person (s) who will be attending the Personal Hearing, along with their contact details and email id.

Securities and Exchange Board of India
Plot no. C-7, 'G' Block, Bandra Kurla Complex, Bandra (E),
Mumbai - 400051


J. Srinivas

सेबी भवन, प्लॉट सं. सी 4-ए, "जी" ब्लॉक, बांद्रा-कुर्ला कॉम्प्लेक्स, बांद्रा (पूर्व), मुंबई - 400 051.
दूरभाष : 2644 9950 / 4045 9950 (आई.वी.आर.एस.), 2644 9000 / 4045 9000 फैक्स : 2644 9019 से 2644 9022 वेब : www.sebi.gov.in

SEBI Bhavan, Plot No. C4-A, "G" Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051.
Tel.: 2644 9950 / 4045 9950 (IVRS), 2644 9000 / 4045 9000 Fax : 2644 9019 to 2644 9022 Web : www.sebi.gov.in



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**Securities and Exchange
Board of India**

SEBI/HO/EFD1/DRA3/P/OW/2022/27076/1
July 04, 2022

Balvant D. Oak
M/s Dreams Broking Pvt. Ltd.,
201, Shanti Palace, Opp St. John School,
Beside IDBI Bank, veer Sawarkar Marg,
Thane (West) – 400601.

**Sub:- Personal Hearing before WTM in the matter of M/s. Dreams
Broking Pvt. Ltd.**

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6950/1
dt.25.03.2021**

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SEBI/HO/EFD1/DRA3/P/OW/2022/27080/1
July 04, 2022

Shri Subhash Madan
A-3 New Thana Chs Bhaskar Colony
Navpada Nr Ram Mandir Thane West,
Thane – 400602.

**Sub:- Personal Hearing before WTM in the matter of M/s. Dreams
Broking Pvt. Ltd.**

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6910/1
dt.25.03.2021**

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Mumbai - 400051


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Securities and Exchange
Board of India

SEBI/HO/EFD1/DRA3/P/OW/2022/27069/1

July 04, 2022

Dreams Broking Private Limited
201, 2nd Floor,
Shanti Palace CHS Opp St. John School
Old Mumbai Pune Road
Thane 400602

Sub:- Personal Hearing before WTM in the matter of M/s. Dreams Broking Pvt. Ltd.

Ref:- Show Cause Notice No. SEBI/HO/EFD/DRA2/KSB/14956/1/2020 dt.10.09.2020

1. Your attention is drawn to the Show Cause Notice No. SEBI/HO/EFD/DRA2/KSB/14956/1/2020 dt.10.09.2020 issued in the captioned matter.
2. In this connection, I am directed to inform that an opportunity of Personal Hearing through video conferencing has been granted to you by **Shri Ashwani Bhatia, Whole Time Member (WTM)**, SEBI which is scheduled on **27.07.2022 at 02.30 PM.**
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SEBI/HO/EFD1/DRA3/P/OW/2022/27082/1
July 04, 2022

Shriram Baskar Joshi
15/Phoolware Bhuvan,
Nanepada RD, Nanepada
Mulund, Mumbai – 400081..

**Sub:- Personal Hearing before WTM in the matter of M/s. Dreams
Broking Pvt. Ltd.**

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6928/1
dt.25.03.2021**

1. Your attention is drawn to the Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6928/1 dt.25.03.2021 issued in the captioned matter.
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Mumbai - 400051


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SEBI/HO/EFD1/DRA3/P/OW/2022/27087/1
July 04, 2022

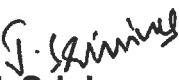
Prashant Shankar Lele
At Post Velamb, Tal Guhugar,
Dis-Ratnagiri, Maharashtra – 415724.

**Sub:- Personal Hearing before WTM in the matter of M/s. Dreams
Broking Pvt. Ltd.**

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6954/1
dt.25.03.2021**

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Mumbai - 400051


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Securities and Exchange
Board of India

SEBI/HO/EFD1/DRA3/P/OW/2022/27085/1
July 04, 2022

Deepak Prakash Naik
3, Anand Mai Appt,
241 Baliram Peth,
Jalgaon – 425001.

**Sub:- Personal Hearing before WTM in the matter of M/s. Dreams
Broking Pvt. Ltd.**

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6933/2
dt.25.03.2021**

1. Your attention is drawn to the Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6933/2 dt.25.03.2021 issued in the captioned matter.
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Mumbai - 400051

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SEBI/HO/EFD1/DRA3/P/OW/2022/27073/1
July 04, 2022

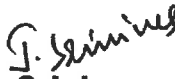
Aparna Prashant Karnik
A-1 Nav Sonali Soc, Nr Ganesh Talkies,
Jodhali Baug Road, Charai,
Thane (W), Maharashtra – 400099

**Sub:- Personal Hearing before WTM in the matter of M/s. Dreams
Broking Pvt. Ltd.**

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD1/DRA2/2021/6907/1
dt.25.03.2021**

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Securities and Exchange Board of India
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Mumbai - 400051


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**Securities and Exchange
Board of India**

SEBI/HO/EFD1/DRA3/P/OW/2022/27077/1
July 04, 2022

Prashant Dwarkanath Karnik
A-1 Nav Sonali Soc. near Ganesh Talkies
Charai Thane West, Thane – 400601.

**Sub:- Personal Hearing before WTM in the matter of M/s. Dreams
Broking Pvt. Ltd.**

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6937/1
dt.25.03.2021**

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Assistant General Manager

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SEBI/HO/EFD1/DRA3/P/OW/2022/27078/1
July 04, 2022

Hulyalkar Suhas Vasudeo
M/s Dreams Broking Pvt. Ltd.,
201, Shanti Palace, Opp St. John School,
Beside IDBI Bank, veer Sawarkar Marg,
Thane (West) – 400601.

Sub:- Personal Hearing before WTM in the matter of M/s. Dreams Broking Pvt. Ltd.

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6940/1
dt.25.03.2021**

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सेबी भवन, प्लॉट सं. सी 4-ए, "जी" ब्लॉक, बांद्रा-कुर्ला कॉम्प्लेक्स, बांद्रा (पूर्व), मुंबई - 400 051.
दूरभाष : 2644 9950 / 4045 9950 (आई.वी.आर.एस.), 2644 9000 / 4045 9000 फैक्स : 2644 9019 से 2644 9022 वेब : www.sebi.gov.in

SEBI Bhavan, Plot No. C4-A, "G" Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051.
Tel.: 2644 9950 / 4045 9950 (IVRS), 2644 9000 / 4045 9000 Fax : 2644 9019 to 2644 9022 Web : www.sebi.gov.in



Assistant General Manager
Enforcement Department-I
Division of Regulatory Action-III
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भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

SEBI/HO/EFD1/DRA3/P/OW/2022/27101/1
July 04, 2022

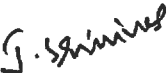
Rounak Rajanikant Patil
Kalpana Tarabai Park, Plot No 816/1/2
E Ward, Behind Circuit House,
Kolhapur – 416003

Sub:- Personal Hearing before WTM in the matter of M/s. Dreams Broking Pvt. Ltd.

**Ref:- Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6925/1
dt.25.03.2021**

1. Your attention is drawn to the Show Cause Notice No. SEBI/HO/OW/EFD/DRA2/2021/6925/1 dt.25.03.2021 issued in the captioned matter.
2. In this connection, I am directed to inform that an opportunity of Personal Hearing through video conferencing has been granted to you by **Shri Ashwani Bhatia, Whole Time Member (WTM), SEBI** which is scheduled on **27.07.2022 at 02.30 PM.**
3. You or your authorised representative are / is advised to remain present for the said hearing. The weblink for the video conferencing would be sent to you in due course. Please be noted that in case you fail to appear before the Whole Time Member on the said date, it shall be presumed that you have nothing more to state in the matter and the matter will be proceeded with on the basis of material available on record.
4. You are also advised to confirm your attendance by 15.07.2022 in writing to the below mentioned address and also by an e-mail to **srinivas@sebi.gov.in** providing the name (s) of the person (s) who will be attending the Personal Hearing, along with their contact details and email id.

Securities and Exchange Board of India
Plot no. C-7, 'G' Block, Bandra Kurla Complex, Bandra (E),
Mumbai - 400051


J. Srinivas

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