

**SECURITIES AND EXCHANGE BOARD OF INDIA
NORTHERN REGIONAL OFFICE,
NBCC COMPLEX, OFFICE TOWER-1,
8TH FLOOR, PLATE B, EAST KIDWAI NAGAR, NEW DELHI – 110023**

SEBI/NRO/OW/P/2022/28735

Certificate No. 5163 of 2022

Certificate under section 19-IB of the Depositories Act, 1996 read with section 222 of the Income-tax Act, 1961

**Unickon Securities Pvt. Ltd.
Address-1) 27, 1st Floor, Babar Lane,
Bengali Market,
New Delhi-110001**

PAN: AAPFS5325P

**Address-2) 69, 2nd Floor, Regal Building,
Connaught Place,
New Delhi-110001**

**Address-3) D-221, Sector 63,
Gautam Budh Nagar,
Noida-201301**

NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME-TAX ACT, 1961 READ WITH SECTION 19-IB OF THE DEPOSITORIES ACT, 1996

This is to certify that a sum of **Rs. 21,76,000/-** (*Rupees Twenty One Lakh Seventy Six Thousand*) along with further interest, all costs, charges and expenses incurred in respect of all the proceedings taken for recovery of the said sum as detailed below is due to SEBI from you:

Description of Dues	Amount (Rs.)
Penalty imposed by the A.O. vide order no. EAD-3/JS/GSS/72/2018-19 dated November 29, 2018 in the matter of Unickon Securities Pvt. Ltd.	15,00,000/-
Interest from November,2018 to July,2022 @ 1% per month	6,75,000/-
Recovery Cost	1,000/-
Total	21,76,000/-

2. You are hereby directed to pay the total amount as mentioned above within 15 (Fifteen) days of the receipt of this Notice (DD shall be drawn in favor of the **“SEBI Recovery Proceeds” Account payable at Mumbai (or) EFT/NEFT/RTGS to A/c No. SEBIRDPEN5163 of ICICI Bank, IFSC code – ICIC0000106**) failing which the Recovery Officer shall proceed to recover the amount due in accordance with the provisions of **section 19-IB of the Depositories Act, 1996 (“Depositories Act”)** read with **sections 220 to 227, 228A, 229 and 232 of the Income-tax Act, 1961** and the Second Schedule to the said Act and the rules made thereunder.



3. In the event of non-payment of the dues as above, SEBI shall recover the money by one or more of the following modes, namely:

- (a) attachment and sale of your movable property;
- (b) attachment of your bank accounts;
- (c) attachment and sale of your immovable property;
- (d) arrest and detention in prison;
- (e) appointing a receiver for the management of your movable and immovable properties.

4. Further, as per Explanation 1 to section 19-IB of the Depositories Act, 1996, any direct or indirect transfer of your property or monies held in bank accounts to your spouse or minor child or son's wife or son's minor child, otherwise than for adequate consideration, on or after November 29, 2018 shall be deemed to be your property or money for the purpose of recovery.

5. You are also advised to take note that upon service of this notice, you are not competent to mortgage, charge, lease or otherwise deal with any property belonging to you except with the permission of the Recovery Officer and any such transfer shall be deemed void as per rule 16 of the Second Schedule to the Income-tax Act, 1961 read with section 19-IB of the Depositories Act, 1996.

6. Any confirmation of e-payment(s) made (in the format as given in table below) should be forwarded to "The Recovery Officer, Northern Regional Office, Securities and Exchange Board of India, NBCC Complex, Office Tower-1, 8th Floor, Plate B, East Kidwai Nagar, New Delhi - 110023." or sent by email to recoverynro@sebi.gov.in

Case Name and Recovery Certificate Number:	
Name of Payer:	
Date of Payment:	
Amount Paid:	
Transaction No.:	
Bank Details (Bank Name, Branch Name, IFSC Code and Account No.) from which payment is made:	

Note: In the absence of confirmation of e-payment as per the above format, the credits made will not be accounted towards your dues.

7. In addition to the aforesaid dues, you will also be liable for further interest, all costs, charges and expenses incurred in respect of recovery proceedings against you.

15.07.2022




RECOVERY OFFICER
राजीव रस्तोगी/RAJEEV RASTOGI
बराहली अधिकारी एवं उपाय महाप्रबंधक
Recovery Officer & Deputy General Manager
भारतीय प्रतिभूति और विनियम बोर्ड
Securities and Exchange Board of India
उ० प्रादेशिक कार्यालय/N. Regional Office
न०: दिल्ली/New Delhi