



भारतीय प्रतिभूति
और विनियम बोर्ड
Securities and Exchange
Board of India

SEBI/NRO/OW/P/2021/32993/2

RECOVERY DIVISION
NORTHERN REGIONAL OFFICE

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

AP No. 7632 of 2021
Certificate No. 4206 of 2021

The Principal Officer/Chairman & Managing Director / CEO,
All Banks in India

- Whereas the Recovery Officer vide the attachment notice no. 7632 of 2021 dated November 02, 2021 in execution of Certificate No. 4206 of 2021 directed attachment of bank accounts and lockers of **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** for recovery of a sum of **Rs. 10,63,488/-** along with further interest and expenditure incurred on the proceedings.
- You are hereby, directed to remit the amount to the extent of **Rs. 10,72,956/- (Rupees Ten Lakh Seventy Two Thousand Nine Hundred Fifty Six Only)** available in the bank accounts and Term Deposits of **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] to SEBI RECOVERY PROCEEDS Account through EFT/NEFT/RTGS to bank account no. - 012210210000013 of Bank of India, Bandra Kurla Complex branch, Bandra (E), Mumbai [IFSC-BKID0000122] **by November 24, 2021**. In this regard, a confirmation mail forwarding UTR no. of the remitted amount in the aforesaid bank account may be sent to recoverynro@sebi.gov.in.
- However, the attachment on said accounts of the Defaulter and all other accounts reported by you would continue till further notice.
- This direction is issued in exercise of powers conferred under **Section 28A of SEBI Act, 1992 read with Section 226 (3) of the Income Tax Act, 1961**.

Given under my hand and seal at New Delhi this 17th day of November, 2021.

SEAL

Copy to:

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

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

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

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

हम हिन्दी पत्राचार का स्वागत करते हैं।

RECOVERY OFFICER

राजीव रस्तोगी/RAJEEV RASTOGI
वरूली 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

उत्तरी प्रादेशिक कार्यालय : प्लेट-बी, आठवीं मंजिल, ऑफिस टॉवर-1, एन बी सी सी कॉम्प्लेक्स, पूर्व किदवाई 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