भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

RECOVERY DIVISION
NORTHERN REGIONAL OFFICE
Tel: 011-69012998/36, recoverynro@sebi.gov.in

Notice of Attachment of Demat Account and Mutual Fund Folio(s)

Attachment Proceeding No. 12910 of 2024
Certificate No. 7318 of 2023

M/s. National Securities Depository Ltd.
4th floor, 'A', Wing, Trade World
Kamala Mills Compound
Senapati Bapat Marg
Lower Parel, Mumbai – 400013

M/s. Central Depository Services (I) Ltd.
P J Tower s, 17th floor
Dalal Street
Fort, Mumbai – 400001

The Principal Officer /Chairman & Managing Director / CEO
All the Mutual Funds in India.

1. Whereas a Recovery Certificate No. **7318 of 2023** dated **November 03, 2023** has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs. 5,21,000/-** *(Rupees Five Lakh & Twenty One Thousand Only)* towards order of Penalty passed by the AO vide order no. **Order/GR/HK/2023-24/29107 dated August 31, 2023** in the matter of trading in Illiquid Stock Options on BSE along with further interest, all costs, charges and expenses in respect of all proceedings for recovering the said sum (details given in table below), against **Mamta Gupta** [Defaulter] **PAN: AAQPG8222J** and the same are due from the defaulter in respect of the said certificate. A Notice of Demand dated November 03, 2023 has been issued the defaulter

Description of Dues	Amount (in Rs.)
Penalty imposed by the AO vide Order No. **Order/GR/HK/2023-24/29107 dated August 31, 2023** in the matter of **Trading in Illiquid Stock Options on BSE.**	**5,00,000/-**
Interest from **August 2023 to September 2024 @ 1 % per month**	**70,000/-**
Recovery Cost	**1,000/-**
Total	**5,71,000/-**

2. Whereas no amount has been paid by the Defaulters and there is sufficient reason to believe that the Defaulters may dispose of the securities/instruments in the Demat account/s or Mutual fund folio/s held with you and realization of amount due under the certificate would in consequence be delayed or obstructed.

3. It is, therefore, in exercise of powers conferred on me, I hereby order to attach the following with immediate effect:

   i. All Demat Account/s by whatever name called of the Defaulters, either singly or jointly with any other person/s, held with you.

   ii. All Mutual fund folio/s by whatever name called of the Defaulters, either singly or jointly with any other person/s, held with you.

4. It is further ordered with immediate effect that **No Debit** shall be made in the said accounts/folios until further orders. However, the credits, if any, into the account may be allowed.

5. You are hereby directed to provide the following immediately to the undersigned/ our representative on service of this Notice:

   a) Details of all the Accounts/folios held by the Defaulters with you;

   b) Copy of the Account Statement/s; and

   c) Confirmation of Attachment of the said accounts/folios

6. **If the defaulters are not having any type of account/folios with you, the same need not be informed to SEBI.**

7. You are also directed to immediately attach any new account/s opened or folio/s created for the defaulters by you post issuance of this notice of attachment and intimate the same to the undersigned along with the details of the new account/s or folio/s.

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Securities and Exchange
Board of India

A. P. No. 12910 of 2024

8. This Notice of attachment is issued in exercise of powers conferred under **Section 28A (1), 11(2) (ia) of SEBI Act, 1992 read with Section 226 and the Second Schedule of Income Tax Act, 1961.**

Given under my hand and seal at New Delhi this 30th day of September, 2024.

SEAL

भारतीय प्रतिभूति और विनिमय बोर्ड Securities and Exchange Board of India नई दिल्ली New Delhi

RECOVERY OFFICER
क्षमा प्र. वाघेरकर / Kshama P. Wagherkar
वसूली अधिकारी एवं महाप्रबंधक
Recovery Officer & General Manager
भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board
उत्तरी प्रादेशिक कार्यालय / Northern Regional Office
नई दिल्ली / New Delhi

Copy to:

Mamta Gupta
10502, Allenganj Khalasi Line, Kanpur,
Uttar Pradesh – 208001

भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

RECOVERY DIVISION
NORTHERN REGIONAL OFFICE
Tel: 011-69012998/36, recoverynro@sebi.gov.in

Notice of Attachment of Bank/Post Office Accounts

Attachment Proceeding No. 12909 of 2024
Certificate No. 7318 of 2023

The Principal Officer/ Chairman & Managing Director / CEO

All the Banks in India

The Postmaster of all the Post Offices in India

1. Whereas a Recovery Certificate No. **7318 of 2023** dated **November 03, 2023** has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **5,21,000/-** *(Rupees Five Lakh & Twenty One Thousand Only)* towards order of penalty passed by the AO vide order no. Order/GR/HK/2023-24/29107 dated August 31, 2023 in the matter of trading in Illiquid Stock Options on BSE along with further interest, all costs, charges and expenses in respect of all proceedings for recovering the said sum (details given in table below), against **Mamta Gupta** [Defaulter] **PAN: AAQPG8222J** and the same are due from the defaulter in respect of the said certificate. A Notice of Demand dated November 03, 2023 has been issued the defaulter

Description of Dues	Amount (in Rs.)
Penalty imposed by the AO vide Order No. **Order/GR/HK/2023-24/29107 dated August 31, 2023** in the matter of **Trading in Illiquid Stock Options on BSE.**	**5,00,000/-**
Interest from **August 2023 to September 2024 @ 1 % per month**	**70,000/-**
Recovery Cost	**1,000/-**
Total	**5,71,000/-**

2. Whereas no amount has been paid by the defaulter and there is sufficient reason to believe that the defaulter may dispose of the amounts/ proceeds in the accounts held with your Bank/Post offices and realization of amount due under the certificate would in consequence be delayed or obstructed.

नई दिल्ली
New Delhi

"हम हिन्दी पत्राचार का स्वागत करते हैं।"

3. It is therefore in exercise of powers conferred on me, I hereby order to attach the following with immediate effect.

   a) All account/s by whatever name called including lockers of the Defaulter, either singly or jointly with any other person/s, held with your Bank/Post office; and

   b) All other amount/ proceeds due or may become due to the Defaulter or any money held or may subsequently hold for or on account of the Defaulter.

4. It is further ordered with immediate effect that **No Debit** shall be made in the said account/s **to the extent of the total dues mentioned in the table above** until further orders from the Recovery Officer of SEBI. However, the credits, if any, into the account may be allowed.

5. You are hereby directed to provide the following immediately/ within 15 days to the undersigned/ our representative on service of this Notice:

   a) Details of all the Accounts including Lockers held by the defaulter with your Bank/Post Office;

   b) Copy of the Account Statement(s) for the latest one year in respect of all the Accounts;

   c) Confirmation of Attachment of the said account(s) and lockers; and;

   d) Complete details of all loan/advances accounts along with the details of assets charged for the said loan/advances.

   If no response is received within 15 days from the date of receipt of this order, it will be presumed that the defaulter is having no bank account/balance with your bank/post office.

6. **If the defaulter is not having any type of account with your bank/post office, then the same need not be informed to SEBI.**

7. You are also directed to immediately attach any new account/s opened by the defaulter with your Bank/post office post issuance of this notice of attachment and intimate the same to the undersigned along with the details of the new account/s.

8. This Notice of attachment is issued in exercise of powers conferred under **Section 28A (1), 11(2) (ia) of SEBI Act, 1992 read with Section 226 and the Second Schedule of Income Tax Act, 1961.**

Given under my hand and seal at New Delhi this 30th day of September, 2024.

SEAL

RECOVERY OFFICER
क्षमा प्र. वाघेरकर / Kshama P. Wagherkar
वसूली अधिकारी एवं महाप्रबंधक
Recovery Officer & General Manager
भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board
उत्तरी प्रादेशिक कार्यालय / Northern Regional Office
नई दिल्ली / New Delhi

Copy to:

Mamta Gupta
10502, Allenganj Khalasi Line, Kanpur,
Uttar Pradesh – 208001