SEBI/NRO/OW/P/2021/2368/1

RECOVERY DIVISION
NORTHERN REGIONAL OFFICE
Tel: 011-69012998/58, recoverynro@sebi.gov.in

Notice of Attachment of Bank Accounts

Attachment Proceeding No. 6402 of 2021
Certificate No.3211 of 2021

The Principal Officer/ Chairman &
Managing Director / CEO

All the Banks in India

1. Whereas a Recovery Certificate No.3211 of 2021 dated January 07, 2021 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs.14,08,912/-** (*Rupees Fourteen Lakh Eight Thousand Nine Hundred Twelve Only*) towards penalty imposed by Adjudicating Officer vide order no. Order/JS/CM/2019-20/3782 dated July 30, 2019 in the matter of **Illiquid Stock Options at BSE** along with interest, all costs, charges and expenses in respect of all proceedings for recovering the said sum (details given in table below), against **Dippy Investments Pvt. Ltd. (PAN: AAACD3868N)** [Defaulter] and the same is due from it in respect of the said certificate. A Notice of Demand dated January 07, 2021 has been issued to the defaulter.

Description of Dues	**Amount (Rs.)**
Penalty imposed by the A.O. vide order no. Order/JS/CM/2019-20/3782 dated July 30, 2019 in the matter of **Illiquid Stock Options at BSE.**	**12,00,000**
Interest @ 12% from July 30, 2019 to January 07, 2021	2,07,912
Recovery Cost	1,000
Total	**14,08,912**

2. And whereas an amount of Rs. 5,00,000/- *(Rupees Five Lakh only)* has been recovered from the defaulter and an amount of **Rs. 9,17,526/-** *(Rupees Nine Lakh Seventeen Thousand Five Hundred and Twenty Six Only)* along with interest, all costs, charges and expenses etc. is due from defaulter as on date.

3. And whereas the defaulter has failed to comply with the aforesaid Order of SEBI, there is sufficient reason to believe that the defaulter may dispose of the amounts/ proceeds in the Bank accounts held with your Bank and realization of amount due under the certificate would in consequence be delayed or obstructed.

4. Therefore, in exercise of powers conferred on me, I hereby order to attach the following with immediate effect to the extent of above said dues.

Continuation Sheet

भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange Board of India

AP No. 6402 of 2021

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; 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.

5. It is further ordered with immediate effect that **NO Debit** shall be made in the said account/s until further orders from the Recovery Officer of SEBI. However, the credits, if any, into the account may be allowed.

6. You are hereby directed to provide the following immediately to the undersigned on service of this Notice:

   a) Details all the Accounts including Lockers held by the defaulter with your Bank,
   b) Copy of the Account Statement/s in respect of all the Accounts;
   c) Confirmation of Attachment of the said account/s
   d) Complete details of all loan/ advances accounts along with the details of assets charged for the said loan/advances.

7. If the defaulters are not having any type of account with your bank/not having any balance in the account of the defaulter, the same shall also be informed on the email: recoverynro@sebi.gov.in

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

Given under my hand and seal at New Delhi this 8th Day of February 2021.

Rajeev Rastogi

SEAL

भारतीय प्रतिभूति और विनिमय बोर्ड Securities and Exchange Board of India उ.प्र.का. वसूली प्रभाग

RECOVERY OFFICER &
DEPUTY GENERAL MANAGER

राजीव रस्तोगी/RAJEEV RASTOGI
वसूली अधिकारी/Recovery Officer
भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board of India
उ० प्रादेशिक कार्यालय/N. Regional Office
नई दिल्ली/New Delhi

Copy to:
Dippy Investments Pvt. Ltd.
S-6, Paradise Plaza,
Alakananda Shopping Complex,
New Delhi-110019

With a direction not to receive/ recover/ demand the proceeds/ money held/ to be held in the aforesaid accounts.

SEBI/NRO/OW/P/2021/3268/2

RECOVERY & DIVISION
NORTHERN REGIONAL OFFICE
Tel: 011-69012998/58, recoverynro@sebi.gov.in

Notice of Attachment of Demat Accounts

Attachment Proceeding No. 6403 of 2021
Certificate No.3211 of 2021

National Securities Depository Ltd.
Trade World, A Wing, 4th & 5th Floors,
Kamala Mills Compound, Lower Parel,
Mumbai - 400013

Central Depositories Services (I) Ltd.
Marathon Futurex, A-Wing, 25th floor,
NM Joshi Marg, Lower Parel,
Mumbai - 400013

The Principal Officer/ Chairman & Managing Director / CEO
All Mutual Funds of India

1. Whereas a Recovery Certificate No.3211 of 2021 dated January 07, 2021 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs.14,08,912/-** (*Rupees Fourteen Lakh Eight Thousand Nine Hundred Twelve Only*) towards penalty imposed by Adjudicating Officer vide order no. Order/JS/CM/2019-20/3782 dated July 30, 2019 in the matter of **Illiquid Stock Options at BSE** along with interest, all costs, charges and expenses in respect of all proceedings for recovering the said sum (details given in table below), against **Dippy Investments Pvt. Ltd. (PAN: AACD3868N)** [Defaulter] and the same is due from it in respect of the said certificate. A Notice of Demand dated January 07, 2021 has been issued to the defaulter.

Description of Dues	**Amount (Rs.)**
Penalty imposed by the A.O. vide order no. Order/JS/CM/2019-20/3782 dated July 30, 2019 in the matter of **Illiquid Stock Options at BSE.**	**12,00,000**
Interest @ 12% from July 30, 2019 to January 07, 2021	2,07,912
Recovery Cost	1,000
Total	**14,08,912**

2. And whereas there is sufficient reason to believe that the defaulter may dispose of the securities / instruments in the Demat account/s held with you and realization of amount due under the certificate would in consequence be delayed or obstructed.

Rajeev

भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board of India
उ.प्र.का.
वसूली प्रभाग

"हम हिन्दी पत्राचार का स्वागत करते हैं।"

उत्तरी प्रादेशिक कार्यालय : प्लेट-बी, आठवीं मंज़िल, 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, प्लाट सं. सी-4 'अ', जी-ब्लाक, बान्द्रा कुर्ला कॉम्प्लेक्स, बांद्रा (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

AP No. 6403 of 2021

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

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

   ii. All Mutual fund folio/s by whatever names called of the defaulter , 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 account/s 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 to the undersigned on service of this Notice:

   a) Details all the Accounts held by the defaulter with you,
   b) Copy of the Account Statement/s;
   c) Confirmation of Attachment of the said account/s

6. If the defaulters are not having any type of account/folios with your bank/not having any balance in the account of the defaulter, the same shall also be informed on the email: recoverynro@sebi.gov.in

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

Given under my hand and seal at New Delhi this 8th Day of February 2021

SEAL

भारतीय प्रतिभूति और विनिमय बोर्ड Securities and Exchange Board of India उ.प्र.का. वसूली प्रभाग

Rajeev Rastogi

RECOVERY OFFICER &
DEPUTY GENERAL MANAGER

राजीव रस्तोगी/RAJEEV RASTOGI
वसूली अधिकारी/Recovery Officer
भारतीय प्रतिभूति और विनिमय बोर्ड
Securities and Exchange Board of India
उ० प्रादेशिक कार्यालय/N. Regional Office
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Copy to:

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S-6, Paradise Plaza,
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New Delhi-110019

With a direction not to receive/ recover/ demand the proceeds/ money held/ to be held in the aforesaid accounts.