



भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

Recovery & Refund Department
Recovery & Refund Division
NORTHERN REGIONAL OFFICE

SEBI/NRO/OW/P/2020/15693/1

Tel: 011-23724001-5, e-mail: recoverynro@sebi.gov.in

Notice of Attachment of Bank Accounts

Attachment Proceeding No.5957 of 2020

Certificate No.2997 of 2020

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

- Whereas a Recovery Certificate No.2997 of 2020 dated August 24, 2020 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs.1,06,984/-** (*Rupees One Lakh Six Thousand Nine Hundred Eighty Four Only*) towards Penalty imposed by Adjudicating Officer vide order no. **Order/MC/DS/2019-20/6890** dated **February 24, 2020** in the matter of **Non-redressal of investor grievance(s)** is outstanding Fees, along with interest, all costs, charges and expenses in respect of all proceedings for recovering the said sum (details given in table below), against **Gordon Herbert India Ltd.** [Defaulter] **PAN: AAACG4107B** and the same is due from him in respect of the said certificate. A Notice of Demand dated August 24, 2020 has been issued to Gordon Herbert India Ltd.

Description of Dues	Amount (Rs.)
Penalty imposed by Adjudicating Officer vide order no. Order/MC/DS/2019-20/6890 dated February 24, 2020 in the matter of Non-redressal of investor grievance(s)	1,00,000
Interest from February 24, 2020 to August 24, 2020 @ 12% p.a.	5,984
Recovery Cost	1,000
Total	1,06,984

- And whereas 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.
- It is therefore in exercise of powers conferred on me, I hereby order to attach the following with immediate effect:
 - All account/s by whatever name called including lockers of the Defaulter, held singly with your Bank; and
 - 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.

[Signature]

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“हम हिन्दी पत्राचार का स्वागत करते हैं।”

प्रादेशिक कार्यालय : पाँचवा तल, बैंक ऑफ़ बड़ोदा भवन, 16, संसद मार्ग, नई दिल्ली-110001 दूरभाष (Telephone): 011-23724001-05 फ़ैक्स (Fax) : 23724006 & 8
 REGIONAL OFFICE : 5TH FLOOR, BANK OF BARODA BUILDING, 16, SANSAD MARG, NEW DELHI - 110001

प्रधान कार्यालय : सेबी भवन, प्लॉट सं. सी-4 'अ', जी-ब्लॉक, बान्द्रा कुर्ला काम्प्लेक्स, बान्द्रा (पूर्व) मुंबई-400051 दूरभाष(Telephone):022-26449000 फ़ैक्स (Fax) : 022-26449019 to 26449022
 Head Office : SEBI Bhavan, Plot No. C-4A, G-Block, Bandra Kurla Complex, Bandra (E) Mumbai-400051 Web. : www.sebi.gov.in



Continuation Sheet

भारतीय प्रतिभूति
और विनिमय बोर्ड
**Securities and Exchange
Board of India**

AP No.5957 of 2020

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/ within 15 days to the undersigned/ our representative 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.
 - e) Details of joint accounts of the Defaulter along with names and addresses of all joint holders of such joint accounts.
6. 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 21st Day of September, 2020

SEAL



Copy to:

Gordon Herbert India Ltd.
Village Gujartola, Amethi Road,
Gauriganj, Raibareilly,
Sultanpur, Uttar Pradesh-228001

Rajeev Rastogi
Recovery Officer

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

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



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Securities and Exchange
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Recovery & Refund Department

Recovery & Refund Division

NORTHERN REGIONAL OFFICE

Tel: 011-23724001-5, e-mail: recoverynro@sebi.gov.in

SEBI/NRO/OW/P/2020/15693/2

Notice of Attachment of Demat Accounts

Attachment Proceeding No.5958 of 2020

Certificate No.2997 of 2020

National Securities Depository Ltd
Trade World, A Wingh, 4th & 5th Floors,
Kamala Mills Compound, Lower Parel,
Mumbai - 400 013

Central Depositories Services (I) Ltd
17th Floor, P J Towers, Dalal Street,
Mumbai-400 001

1. Whereas a Recovery Certificate No.2997 of 2020 dated August 24, 2020 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs.1,06,984/-** (*Rupees One Lakh Six Thousand Nine Hundred Eighty Four Only*) towards Penalty imposed by Adjudicating Officer vide order no. **Order/MC/DS/2019-20/6890** dated **February 24, 2020** in the matter of **Non-redressal of investor grievance(s)** is outstanding Fees, along with interest, all costs, charges and expenses in respect of all proceedings for recovering the said sum (details given in table below), against **Gordon Herbert India Ltd.** [Defaulter] **PAN: AAACG4107B** and the same is due from him in respect of the said certificate. A Notice of Demand dated August 24, 2020 has been issued to Gordon Herbert India Ltd.

Description of Dues	Amount (Rs.)
Penalty imposed by Adjudicating Officer vide order no. Order/MC/DS/2019-20/6890 dated February 24, 2020 in the matter of Non-redressal of investor grievance(s)	1,00,000
Interest from February 24, 2020 to August 24, 2020 @ 12% p.a.	5,984
Recovery Cost	1,000
Total	1,06,984

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.
3. It is therefore in exercise of powers conferred on me, I hereby order to attach all Demat Account/s by whatever name called of the Defaulter, held singly with you;

Lojinder Kataria

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कसौली प्रमाण

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REGIONAL OFFICE: 5TH FLOOR, BANK OF BARODA BUILDING, 16, SANSAD MARG, NEW DELHI - 110001

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Head Office : SEBI Bhavan, Plot No. C-4A, G-Block, Bandra Kurla Complex, Bandra (E) Mumbai-400051 Web. : www.sebi.gov.in



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और विनिमय बोर्ड
**Securities and Exchange
Board of India**

AP No.5958 of 2020

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/ our representative 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. 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 21st Day of September, 2020

SEAL



Copy to:

**Gordon Herbert India Ltd.
Village Gujartola, Amethi Road,
Gauriganj, Raibareilly,
Sultanpur, Uttar Pradesh-228001**

Rajeev Rastogi

**Rajeev Rastogi
Recovery Officer**

राजीव रस्तोगी/RAJEEV PASTOGI
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

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