



भारतीय प्रतिभूति  
और विनिमय बोर्ड  
Securities and Exchange  
Board of India

SEBI/NRO/OW/P/2022/60686/1

RECOVERY DIVISION  
NORTHERN REGIONAL OFFICE  
Tel: 011-69012998/58, [recoverynro@sebi.gov.in](mailto:recoverynro@sebi.gov.in)

Notice of Attachment of Bank Accounts

Attachment Proceeding No. 9373 of 2022  
Certificate No. 6021 of 2022

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

1. Whereas a Recovery Certificate No. 6021 of 2022 dated November 14, 2022 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs. 5,41,000/-** (*Rupees Five Lakh Forty One Thousand*) towards Penalty imposed by Adjudicating Officer vide order no. **Order/PM/NS/2022-23/16144-16156** dated **April 27, 2022** in the matter of **Trading activities in the scrip of Swan Energy Limited** along with interest, all costs, charges and expenses in respect of all proceedings for recovering the said sum (details given in table below), against **Mr. Sanjay Gupta** [Defaulter] (**PAN: ALCPG7419G**), and the same is due from the defaulters in respect of the said certificate. A Notice of Demand dated November 14, 2022 has been issued to **Mr. Sanjay Gupta**.

| Description of Dues                                                                                                                                                                                  | Amount (Rs.) |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| Penalty imposed by the Adjudicating Officer vide <b>Order/PM/NS/2022-23/16144-16156</b> dated <b>April 27, 2022</b> in the matter of <b>trading activities in the scrip of Swan Energy Limited</b> . | 5,00,000/-   |
| Interest from <b>April 2022 to November 2022 @ 1 % per month</b>                                                                                                                                     | 40,000/-     |
| Recovery Cost                                                                                                                                                                                        | 1,000/-      |
| Total                                                                                                                                                                                                | 5,41,000/-   |

2. And whereas there is sufficient reason to believe that the defaulters 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.



“हम हिन्दी पत्राचार का स्वागत करते हैं।”

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](http://www.sebi.gov.in)



Continuation Sheet

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

**AP No. 9373 of 2022**

3. 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.
  - 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.
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 of 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.
6. If the defaulter are not having any type of account with your bank/not having any balance in the accounts of the defaulter, the same shall also be informed on the email: [recoverynro@sebi.gov.in](mailto: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 read with Section 226 and the Second Schedule of Income Tax Act, 1961.**

Given under my hand and seal at New Delhi this 06<sup>th</sup> day of December, 2022.

SEAL



Copy to:

*Rajeev Rastogi*

**RECOVERY OFFICER**  
राजीव रस्तोगी / RAJEEV RASTOGI  
सहायक अधिकारी एवं उप महाप्रबंधक  
Recovery Officer & Deputy General Manager  
भारतीय प्रतिभूति और विनिमय बोर्ड  
Securities and Exchange Board  
उत्तरी प्रादेशिक कार्यालय/Northern Regional Office  
नई दिल्ली/New Delhi

**Mr. Sanjay Gupta**  
House No.231, Ajampur,  
Kandharpur, Azamgarh-276125 (U.P.)

**Mr. Sanjay Gupta**  
B-277, G-3, Shallmar Garden,  
Ghaziabad-201005 (U.P.)

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



भारतीय प्रतिभूति  
और विनिमय बोर्ड  
Securities and Exchange  
Board of India

SEBI/NRO/OW/P/2022/60686/2

RECOVERY DIVISION

NORTHERN REGIONAL OFFICE

Tel: 011-69012998/58, [recoverynro@sebi.gov.in](mailto:recoverynro@sebi.gov.in)

Notice of Attachment of Demat Accounts

Attachment Proceeding No. 9374 of 2022

Certificate No. 6021 of 2022

National Securities Depository Ltd.

Trade World, A Wing, 4th & 5th Floors,  
Kamala Mills Compound,  
Lower Parel, Mumbai - 400 013

Central Depositories Services (I) Ltd.

Marathon Futurex, A-Wing, 25th Floor,  
NM Joshi Marg, Lower Parel,  
Mumbai-400 013

All Mutual Funds of India

1. Whereas a Recovery Certificate No. 6021 of 2022 dated November 14, 2022 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs. 5,41,000/-** (*Rupees Five Lakh Forty One Thousand*) towards Penalty imposed by Adjudicating Officer vide order no. **Order/PM/NS/2022-23/16144-16156** dated **April 27, 2022** in the matter of **Trading activities in the scrip of Swan Energy Limited** along with interest, all costs, charges and expenses in respect of all proceedings for recovering the said sum (details given in table below), against **Mr. Sanjay Gupta** [Defaulter] (**PAN: ALCPG7419G**), and the same is due from the defaulters in respect of the said certificate. A Notice of Demand dated November 14, 2022 has been issued to **Mr. Sanjay Gupta**.

| Description of Dues                                                                                                                                                                                  | Amount            |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| Penalty imposed by the Adjudicating Officer vide <b>Order/PM/NS/2022-23/16144-16156</b> dated <b>April 27, 2022</b> in the matter of <b>trading activities in the scrip of Swan Energy Limited</b> . | <b>5,00,000/-</b> |
| Interest from <b>April 2022 to November 2022 @ 1 % per month</b>                                                                                                                                     | <b>40,000/-</b>   |
| Recovery Cost                                                                                                                                                                                        | <b>1,000/-</b>    |
| Total                                                                                                                                                                                                | <b>5,41,000/-</b> |

2. And whereas there is sufficient reason to believe that the defaulters 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.



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प्रधान कार्यालय : सेबी भवन, प्लॉट सं. सी-4 'अ', जी-ब्लॉक, बान्द्रा कुर्ला कॉम्प्लेक्स, बान्द्रा (पूर्व) मुंबई - 400051 दूरभाष (Phone) : 022 - 26449000

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Continuation Sheet

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

**AP No. 9374 of 2022**

3. 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 name 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/our representative on service of this Notice:
  - a) Details of 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 defaulter is not having any type of account with your bank/not having any balance in the accounts of the defaulter, the same shall also be informed on the email: [recoverynro@sebi.gov.in](mailto: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 read with Section 226 and the Second Schedule of Income Tax Act, 1961.**

Given under my hand and seal at New Delhi this 06<sup>th</sup> day of December, 2022.

SEAL



*Rajeev Rastogi*

**RECOVERY OFFICER**  
राजीव रस्तोगी / RAJEEV RASTOGI  
बसुली अधिकारी एवं उप महाप्रबंधक  
Recovery Officer & Deputy General Manager  
भारतीय प्रतिभूति और विनिमय बोर्ड  
Securities and Exchange Board  
उत्तरी प्रादेशिक कार्यालय/Northern Regional Office

Copy to:

|                                                                                  |                                                                             |
|----------------------------------------------------------------------------------|-----------------------------------------------------------------------------|
| Mr. Sanjay Gupta<br>House No.231, Ajampur,<br>Kandharpur, Azamgarh-276125 (U.P.) | Mr. Sanjay Gupta<br>B-277, G-3, Shallmar Garden,<br>Ghaziabad-201005 (U.P.) |
|----------------------------------------------------------------------------------|-----------------------------------------------------------------------------|

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