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

RECOVERY CELL
NORTHERN REGIONAL OFFICE, NEW DELHI
Tel: 011-23724001-5, recoverynro@sebi.gov.in

Notice of Attachment of Bank Accounts

Attachment Proceeding No. 4679 of 2019
Certificate No. 2219 of 2019

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

1. Whereas a Recovery Certificate No. 2219 dated June 10, 2019 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs.7,48,890***(Rupees Rupees Seven Lakh Forty Eight Thousand Eight Hundred Ninety)* with returns due to investors, along with further interest, all costs, charges and expenses incurred in respect of all the proceedings taken for recovery of the said sum as detailed below, against **Lokesh Kumar Goel (HUF)**[Defaulter] **PAN**: **AABHL5462Q** in the matter of **Trading Activity of Shyam Sunder Gupta & related/connected entities** and the same is due. A Notice of Demand dated June 10, 2019 has been issued to the above named.

Description of Dues	Amount (Rs)
Penalty imposed by the Adjudicating Officer vide order no.ASK/RGA/AO/13/2015-16 dated April 24, 2015 in the matter of Trading Activity of Shyam Sunder Gupta & related/connected entities	500000
Interest from April 24, 2015 to June 12, 2019 @ 12% p.a.	247890
Recovery Cost	1000
Total	**7,48,890**

2. 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.

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; 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.

प्रादेशिक कार्यालय : पाँचवा तल, बैंक ऑफ बड़ौदा भवन, 16, संसद मार्ग, नई दिल्ली-110001 दूरभाष (Telephone):011-23724001-05 फैक्स (Fax) : 23724006 & 8
REGIONAL OFFICE : 5TH FLOOR, BANK OF BARODA BUILDING, 16, SANSAD MARG, NEW DELHI - 110001
प्रधान कार्यालय : सेबी भवन, प्लाट सं. सी–4 'अ', जी–ब्लाक, बान्द्रा कुर्ला काम्प्लेक्स, बांद्रा (पूर्व) मुंबई-400051 दूरभाष(Telephone):022-26449000 फैक्स (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

A.P No.4679 of 2019

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 for the past one year 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 is not having any type of account with your bank/not having any balance in the account of the defaulter, the same shall be also 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 the Income Tax Act, 1961.

Given under my hand and seal at New Delhi on 30th day of July 2019.

SEAL

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

Rajeev Rastogi
Recovery Officer

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:

Lokesh Kumar Goel (HUF)
BJ 3, East Shalimar Bagh,
New Delhi, Delhi 110088

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

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और विनिमय बोर्ड
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RECOVERY CELL
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Tel: 011-23724001-5, recoverynro@sebi.gov.in

Notice of Attachment of Demat Accounts

Attachment Proceeding No. 4680 of 2019
Certificate No.2219 of 2019

National Securities Depository Ltd
Trade World, A Wing, 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

All Mutual Funds of India

1. Whereas a Recovery Certificate No. 2219 dated June 10, 2019 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs.7,48,890**_(Rupees Rupees Seven Lakh Forty Eight Thousand Eight Hundred Ninety)_ with returns due to investors, along with further interest, all costs, charges and expenses incurred in respect of all the proceedings taken for recovery of the said sum as detailed below, against **Lokesh Kumar Goel (HUF)** [Defaulter] **PAN: AABHL5462Q** in the matter of **Trading Activity of Shyam Sunder Gupta & related/connected entities** and the same is due. A Notice of Demand dated June 10, 2019 has been issued to the above named.

Description of Dues	Amount (Rs)
Penalty imposed by the Adjudicating Officer vide order no. ASK/RGA/AO/13/2015-16 dated April 24, 2015 in the matter of Trading Activity of Shyam Sunder Gupta & related/connected entities	500000
Interest from April 24, 2015 to June 12, 2019 @ 12% p.a.	247890
Recovery Cost	1,000
Total	**7,48,890**

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, either singly or jointly with any other person/s, held with you;

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

"हम हिन्दी पत्राचार का स्वागत करते हैं।"

Continuation Sheet

भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange Board of India

<u>**A.P No. 4680 of 2019**</u>

4. It is further ordered with immediate effect that NO Debit shall be made in the said account/s 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 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 **Section 28A, 11(2) (ia) of SEBI Act, 1992** r/w Section 226 and the Second Schedule of the Income Tax Act, 1961.

Given under my hand and seal at New Delhi on 30th day of July 2019.

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Securities and Exchange Board of India
उ.प्र.का.
वसूली प्रभाग

Rajeev Rastogi

Rajeev Rastogi
Recovery Officer

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:

Lokesh Kumar Goel (HUF)
BJ 3, East Shalimar Bagh,
New Delhi, Delhi 110088

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