

| ClientPAN  | Client name                   | Subject Line                                                                                                                                                                                                             | Reference number                          | Date of Deactivation |
|------------|-------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|----------------------|
| AANFB4683M | BANSAL IMPEX                  | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                | SEBI/HO/IID/P/OW/2022/46881/1             | 28-11-2022           |
| ADVPG3256J | BED PRAKASH GUPTA             | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                | SEBI/HO/IID/P/OW/2022/35657               | 28-11-2022           |
| AABTA0540L | ABHISHEK PERIWAL FAMILY TRUST | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                | ISD-SEC-6/AO-SM/OW/2022/38040/1           | 28-11-2022           |
| AALCA2193C | ABUMPENT TRADELINK PVT LTD.   | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                | ISD-SEC-6/AO-SM/OW/2022/38099/1           | 28-11-2022           |
| AALHA1183P | ABHISHEK GUPTA & SONS HUF     | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                | ISD-SEC-6/AO-SM/OW/2022/38001/1           | 28-11-2022           |
| AAKCA8787H | ACCENTUATE TRADECOM PVT LTD.  | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                | ISD-SEC-6/AO-SM/OW/2022/38110/1           | 28-11-2022           |
| ACIPA3984B | INDRA DEVI AGRAWAL            | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                | SEBI/HO/EFD/EFD1/P/O W/2022/33904/1       | 28-11-2022           |
| CEVPP5588R | AISHWARYA PADIA               | ADJUDICATION PROCEEDINGS IN RESPECT OF AISHWARYA PADIA DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE: SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | OIAE/IGRDMJS/17682/2021                   | 28-11-2022           |
| AAHCA1249F | AKANSHA VINCOM PVT LTD.       | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                | SEBI/HO/OIAE/IGRD/P/O W/2022/000034550/ 1 | 28-11-2022           |
| AAMFB8544J | BHARAT POWER INC              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                        | EAD-8/AS/VS/30718/2022                    | 28-11-2022           |
| AADCB7016R | BHAVYA GOLD PRIVATE LIMITED   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                        | EAD-8/AS/VS/30794/2022                    | 28-11-2022           |

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| AADCB8143K | BHOLANATH TEXTILE PRIVATE LIMITED            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/30821/2022 | 28-11-2022 |
| AAECD1524F | DHANRAKSHA TRADERS PRIVATE LIMITED           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36434/2022 | 28-11-2022 |
| AADCD2953K | DHRUV BROKING SERVICES INDIA PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/35977/2022 | 28-11-2022 |
| AAECD1732F | DIGANTA AGENCIES PVT LTD                     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36438/2022 | 28-11-2022 |
| AAACD2736K | DIMCO FINANCE LIMITED                        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/31798/2022 | 28-11-2022 |
| AABCG9728R | DM VINIMAY PRIVATE LIMITED                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/34250/2022 | 28-11-2022 |
| AAAFP4737H | PLASTIKA INDUSTRIES                          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/33096/2022 | 28-11-2022 |

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| AADCP3467C | POPULAR IMPEX PVT. LTD.         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/35993/2022 | 28-11-2022 |
| AABCP6088R | PRACHI PLASTICS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/34300/2022 | 28-11-2022 |
| AAFCP7889L | PRACHI TRADEVINE PVT LTD        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36563/2022 | 28-11-2022 |
| AABHR7225K | RAMESH AGARWAL HUF              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/34375/2022 | 28-11-2022 |
| AACCR2788P | RANGVARDHAN FEBTRADE PVT. LTD.  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/35900/2022 | 28-11-2022 |
| AADCR3261Q | RANISATI AAWAS PVT LTD          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36013/2022 | 28-11-2022 |
| AAFCR6033G | RCB INFRA PRIVATE LIMITED       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36592/2022 | 28-11-2022 |

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| AAFCR6566C | REALSUNRISE TRADERS PRIVATE LIMITED            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36605/2022         | 28-11-2022 |
| AAECS0708A | SAFFIRE EXPORTS AND AGENCY PRIVATE LIMITED     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36489/2022         | 28-11-2022 |
| AADCS7349J | SAHUL INDIA LIMITED                            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36069/2022         | 28-11-2022 |
| AADCS1409H | SAI KANAKA MAHALAKSHMI FINANCE PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36060/2022         | 28-11-2022 |
| AALHA8228H | AMIT KUMAR CHOWDHURY (HUF)                     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/AO/IAD_1/SMR/40198/1/2022 | 28-11-2022 |
| AAHCA1114H | AMRAPALI MARKETING PRIVATE LIMITED             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/AO/IAD_1/SMR/40355/1/2022 | 28-11-2022 |
| AAGCA4091A | AMRIT AUTOR ANCIALLIES PRIVATE LIMITED         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36675/2022         | 28-11-2022 |

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| BWVPB7271E | AMRIT BHOUTIKA                               | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.39439/1/2022        | 28-11-2022 |
| AAHCA8127E | AMRIT LOGISTICS P LTD.                       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/AO/IAD_1/SMR/40891/1/2022 | 28-11-2022 |
| AAECR4394M | RAJWADI RETAIL TRADE SYSTEMS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/VS/36484/2022         | 28-11-2022 |
| ABRPM7436N | RAMA DEVI MAHESHWARI                         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/41782/1/2022       | 28-11-2022 |
| AIBPD5871D | RAMESH KUMAR DEOSARIA                        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/SM/32583/1/2022       | 05-12-2022 |
| BYMPK3820M | RAMKRISHNA KARMAKAR                          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULE, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE  | EAD-8/AS/SM/33610/1/2022       | 05-12-2022 |
| ADZPC5855H | DIPEN D CHANDRUVA                            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/SM/32182/1/2022       | 05-12-2022 |

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| ADKPA7122J | DHARAM CHAND AGARWAL | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/SM/31200/1/2022 | 05-12-2022 |
| AJZPA6310R | REKHA M AGARWAL      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/SM/32598/1/2022 | 05-12-2022 |
| AEKPC4067M | RASHMI CHANDAK       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND LM POSING PENALTIES) RULE, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/SM/32238/1/2022 | 05-12-2022 |
| ASBPS7044M | RASHMI SRIVASTAVA    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND LM POSING PENALTIES) RULE, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/SM/33274/1/2022 | 05-12-2022 |
| BYUPK3013N | RANJIT KARMAKAR      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND LM POSING PENALTIES) RULE, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/SM/33627/1/2022 | 05-12-2022 |
| AGJPA2721R | DONNA ABRAHAM TIJO   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/SM/32537/1/2022 | 05-12-2022 |
| ADXPM6378D | PRABHU DAYAL MALPANI | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/SM/31267/1/2022 | 05-12-2022 |

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| AAFCR1143M | RISING IRON MERCHANTS PVT LTD | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RISING IRON MERCHANTS PVT LTD        | EAD-8/PM/GD/ISO-II/25378/1/2021  | 05-12-2022 |
| AAFCR9256B | ROLEX DEALER PRIVATE LIMITED  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST ROLEX DEALER PRIVATE LIMITED         | EAD-8/PM/GD/ISO-II/29759/1/2021  | 05-12-2022 |
| AAOHR1617N | ROMESH CHAND AGARWALA HUF     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST ROMESH CHAND AGARWALA HUF            | EAD-8/PM/GD/ISO-II/15036/13/2021 | 05-12-2022 |
| AAFCR6435C | ROYALPET EXIM PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST ROYALPET EXIM PRIVATE LIMITED        | EAD-8/PM/GD/ISO-II/25379/1/2021  | 05-12-2022 |
| AAFHB4428J | BASUDEV JOARDER HUF           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULE, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                  | EAD-8/AS/GD/2022/37011/1         | 05-12-2022 |
| AAECB7768B | BASUNDHARA MARCOM PVT LTD.    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST BASUNDHARA MARCOM PVT LTD ("NOTICE") | EAD-8/PM/NJMR/ISO-II/2021        | 05-12-2022 |

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| AAJPK2039A | RAJESH KAPOOR                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RAJESH KAPOOR          | EAD-8/PM/GD/ISO-II/39828/1/2021 | 05-12-2022 |
| ALLPR2863E | RINA ROY                      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND LM POSING PENALTIES) RULE, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                   | EAD-8/AS/GD/2022/35831/1        | 05-12-2022 |
| ADQPV3158F | RAKHI VOHRA                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND LM POSING PENALTIES) RULE, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                   | EAD-8/AS/SM/31253/1/2022        | 05-12-2022 |
| AAECR0507L | RPS MERCHANTS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RPS PROPERTIES PVT LTD | EAD-8/PM/NS/ISO-II/32066/1/2021 | 05-12-2022 |
| AFBPA5176P | KUSUM DEVI AGARWAL            | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                            | SEBI/AO/AC/P/OW2022/41285/1     | 05-12-2022 |
| AAAHL4134N | LALIT KUMAR BHALOTIA HUF      | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                            | SEBI/AO/AC/P/OW2022/42246/1     | 05-12-2022 |
| ACOPC0249F | LALITA CHOWDHARY              | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                            | SEBI/AO/AC/P/OW2022/42308/1     | 05-12-2022 |
| AABHL1687B | LAKHMICHAND SHREECHAND HUF    | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                            | SEBI/AO/AC/P/OW2022/41452/1     | 05-12-2022 |
| AABCG2794B | GOPAL RESORTS LTD             | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                            | SEBI/AO/AC/P/OW2022/41394/1     | 05-12-2022 |
| AABHG3632H | GOVARDHAN LAL SIKARIA HUF     | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                            | SEBI/AO/AC/P/OW2022/41414/1     | 05-12-2022 |

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| AABHG5168A | GOVIND KUMAR GUPTA HUF                | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | SEBI/AO/AC/P/OW2022/41317/1      | 05-12-2022 |
| AABHG5795F | GOPAL RAM GUPTA HUF                   | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | SEBI/AO/AC/P/OW2022/41454/1      | 05-12-2022 |
| AABTG2809E | GOURAV BEGNANI BENIFIT TRUST          | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | SEBI/AO/AC/P/OW2022/41459/1      | 05-12-2022 |
| AAGHG2297F | GOVIND JI SHUKLA HUF                  | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | HRD/ADJ/PM/OW/P/41154/1/2022     | 05-12-2022 |
| AMKPB0815E | DIPAYAN BOSE                          | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | SEBI/AO/AC/P/OW2022/41355/1/2022 | 05-12-2022 |
| COTPM6524G | GUNJAN MOGRA                          | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | HRD/ADJ/PM/OW/P/41287/1/2022     | 05-12-2022 |
| ADJPR1716N | KUMAR KAREL RAJ                       | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | AO/PS/NS/2022/39487/1            | 05-12-2022 |
| AETPP7789L | SITA DEVI PANASARI                    | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | AO/BRK/JS/OW/31404/1/2022        | 05-12-2022 |
| AXUPJ6002E | SITARAM JAYANT                        | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | AO/BRK/JS/OW/31461/1/2022        | 05-12-2022 |
| AANCS7906B | SKYLAND CONSTRUCTIONS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE          | AO/BRK/JS/OW/31437/1             | 05-12-2022 |
| AAJHK7693C | KRISHNA KUMAR JHUNJHUNWALA HUF        | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                   | AO/PS/NS/2022/39510/1            | 05-12-2022 |
| BIYPS8509M | MANOJ T. SHAH                         | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | SD/AO/78/2011                    | 05-12-2022 |

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| ADZPK9831B | PURSHOTTAM<br>KHANDELWAL  | UNDER SECTION 15-1 OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | JJ/AK/AO-103/2014                                   | 05-12-2022 |
| ACUPV1785B | GIRDHARBHAI VAGADIYA      | UNDER SECTION 15-1 OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | EAD-2/AO/19/2012                                    | 05-12-2022 |
| ACSPT7007J | PRASAD TANDEL             | UNDER SECTION 15-1 OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | SD/AO/01/2010                                       | 05-12-2022 |
| ARIPK3214D | YOGESH KURADIYA           | UNDER SECTION 15-1 OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | BM/AO/-128/2011                                     | 05-12-2022 |
| ACPPH5612Q | HEMLATA RAMESH<br>HANKARE | UNDER SECTION 15 I OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | ADJUDICATION ORDER<br>NO. EAD- 2/AO/170/2013        | 05-12-2022 |
| ABPPH6308A | SURESH HANSWAL            | UNDER SECTION 15 I OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | ADJUDICATION ORDER<br>NO. EAD-<br>2/DSR/KM/105/2014 | 05-12-2022 |
| ACJPN0418I | K.NATARAHAJAN             | UNDER SECTION 15-1 OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | BM/AO-112-114-2011                                  | 05-12-2022 |

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| AHUPM3772J | MR. CHETAN MEHTA                          | ADJUDICATION ORDER AGAINST SHRI CHETAN MEHTA IN THE MATTER OF CHAMATKAR.NET (INDIA) LIMITED                                                                           | PKK/AO/16/2011                   | 12-12-2022 |
| AABCC2133Q | CALYPSO TIEUP AND FINCO PRIVATE LIMITED   | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                             | SEBI/HO/OCH/P/OW/2022/41723/1    | 12-12-2022 |
| AABCC9516H | CAMPBELL STOCK AND SECURITIES PVT. LTD.   | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                             | SEBI/HO/OCH/P/OW/2022/41742/1    | 12-12-2022 |
| AADCR1312E | ROSE SECURITIES LIMITED                   | SCN UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS WITH ILLIQUID STOCK OPTIONS ON BSE       | EAD-8/PM/NS/ISO-II/29966/1/2021  | 12-12-2022 |
| AADCR5262R | RAMEL PHARMA LIMITED                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RAMEL PHARMA LIMITED AND ITS DIRECTORS                     | WTM/MB/SEBI/EFD-DRA4/7/2017      | 12-12-2022 |
| AAECB6182B | BASUNDHARA AGRO RESOURCES (INDIA) LTD.    | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF BASUNDARA AGRO RESOURCES (INDIA) LIMITED                    | WTM/GM/SEBI/ERO/IMD/19/JUNE/2017 | 12-12-2022 |
| AAECR5537N | REAL AGRI INDUSTRIES AND SERVICES LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992                                                                             | WTM/PS/06/ERO-BLO/APR/2016       | 12-12-2022 |
| AAECR7871B | ROSEVALLEY VINTRADE PVT LTD               | SCN UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS WITH ILLIQUID STOCK OPTIONS (ISO) ON BSE | EAD-8/AS/GD/2022/36487/1         | 12-12-2022 |
| AAFCA5616C | ARYAVISH PROPERTIES PRIVATE LIMITED       | SCN UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS WITH ILLIQUID STOCK OPTIONS (ISO) ON BSE | SEBI/AS/OR/2022/32/43124/1       | 12-12-2022 |

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| AAFCR7667C | RITUDHARA TRADERS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RITUDHARA TRADERS PRIVATE LIMITED  | EAD-8/PM/NS/ISO-II/25371/1/2021         | 12-12-2022 |
| AAFHR7017H | RAJBIR GOYAL SONS HUF             | SCN UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS WITH ILLIQUID STOCK OPTIONS (ISO) ON BSE                                           | EAD-8/AS/GD/2022/37096/1                | 12-12-2022 |
| AAFHS3855J | SHIV AGARWAL                      | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                       | SEBI/HO/IVD/ID18/P/OW/2022/31030/1      | 12-12-2022 |
| AAHHA5905K | AMIT KUMAR SINGH HUF              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                               | SEBI/AO/IAD-1/SMR/40900/1/2022          | 12-12-2022 |
| AAHHR0564B | RAJESH KUMAR AGARWAL HUF          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                               | EAD-8/AS/GD/2022/36532/1                | 12-12-2022 |
| AAKFJ0204F | JAYVEER COMMODITIES BROKER        | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                       | SEBI/HO/MRD/MRD-SEC_3/P/OW/2022/44574/1 | 12-12-2022 |
| AALHM3697J | MANISH AGGARWAL HUF               | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                       | SEBI/HO/OCH/P/OW/2022/41822/1           | 12-12-2022 |
| AALHR7398H | RAJENDRA MADAN LAL HUF            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RAJENDRA MADAN LAL HUF ("NOTICEE") | EAD-8/PM/NJMR/ISO-II/15671/1/2021       | 12-12-2022 |

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| AALHR9308B | RIJU RAJPAL HUF          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RIJU RAJPAL HUF | EAD-8/PM/GD/ISO-II/29751/1/2021          | 12-12-2022 |
| AAPCS4311L | SANYUKTA DEALERS PVT LTD | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE            | SEBI/HO/IVD/ID5/SCN/AO-MS/NS/34560/12022 | 12-12-2022 |
| ABUPD3892Q | SANTOSH DEVI             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE            | OUTWARD NO.42012/1/2022                  | 12-12-2022 |
| ACBPJ2127L | SHASHI JAIN              | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                    | SEBI/WRO/SCN/RB/OW/39254/1/2022          | 12-12-2022 |
| ACLPA9190Q | SHIV AGARWAL             | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                    | SEBI/HO/IVD/ID18/OW/2022/31033/1         | 12-12-2022 |
| ACPPD0411M | SUJIT DUTTA              | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF BASUNDARA AGRO RESOURCES (INDIA) LIMITED                                           | WTM/GM/SEBI/ERO/IMD/19/JUNE/2017         | 12-12-2022 |
| ACXPJ4973G | ASHA DEVI JALAN          | SCN UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS WITH ILLIQUID STOCK OPTIONS ON BSE                              | SEBI/AO/SR/2022/44/43184/1               | 12-12-2022 |
| ADCPA3298H | SANWARMAL AGARWAL        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE            | SEBI/HO/IVD/ID5/AO-MS/NS/34486/1/2022    | 12-12-2022 |

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| AEBPA9277Q | SANTOSH AGARWAL            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/IVD/ID5/SCN/AO-MS/SP/32865/1/2022 | 12-12-2022 |
| AETPP7792R | SHASHI PRABHA PANSARI      | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/WRO/SCN/RB/OW/35117/1/2022           | 12-12-2022 |
| AFJPR2105P | MANGU RAM                  | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/OCH/P/OW/2022/41706/1             | 12-12-2022 |
| AGVPD9209K | BYOMKESH DAS               | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008   | WTM/RKA/EFD-DRA-IV/189/2016               | 12-12-2022 |
| AHQPB9848J | MRITYUNJOY BISWAS          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992                                                                                         | WTM/PS/06/ERO-BLO/APR/2016                | 12-12-2022 |
| AIDPB6313L | MR. KAMAL KUMAR BISWAS     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992                                                                                         | WTM/PS/06/ERO-BLO/APR/2016                | 12-12-2022 |
| AIYPS6389J | SHIV CHARAN SHARMA         | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/IVD/ID18/P/OW/2022/31040/1        | 12-12-2022 |
| AKDPA2022P | MD MAHFUZ ALAM             | UNDER SECTIONS 11, 11(4), 11 (A) AND 11B (1) OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ORION INDUSTRIES LIMITED                                       | WTM/MPB/ERO/ERO-RLO/105/2020              | 12-12-2022 |
| AKEPP6209Q | SUBHASH PAUL               | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF BASUNDARA AGRO RESOURCES (INDIA) LIMITED                                | WTM/GM/SEBI/ERO/IMD/19/JUNE/2017          | 12-12-2022 |
| AKIPA6043M | PARWEZ ALAM                | UNDER SECTIONS 11, 11(4), 11 (A) AND 11B (1) OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ORION INDUSTRIES LIMITED                                       | WTM/MPB/ERO/ERO-RLO/105/2020              | 12-12-2022 |
| ALLPA8121E | MOHAMMAD SALIMUDDIN ANSARI | UNDER SECTIONS 11, 11(4), 11 (A) AND 11B (1) OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ORION INDUSTRIES LIMITED                                       | WTM/MPB/ERO/ERO-RLO/105/2020              | 12-12-2022 |

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| ALQPS3953D | JEAN SAMTANI           | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ILO) AT BSE                                                                                       | SEBI/HO/MRD-SEC-3/P/OW/2022/41890/1 | 12-12-2022 |
| ANFPA9734M | MANZUR ALAM            | UNDER SECTIONS 11, 11(4), 11 (A) AND 11B (1) OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ORION INDUSTRIES LIMTIED                                     | WTM/MPB/ERO/ERO-RLO/105/2020        | 12-12-2022 |
| AODPC0097C | DHANANJAY CHALCRABORTY | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016         | 12-12-2022 |
| AQJPA8887E | SHIKHA AGRAWAL         | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                        | SEBI/HO/IVD/ID18/P/OW/2022/30970/1  | 12-12-2022 |
| AQLPD9139L | PRANESH DEBNATH,       | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016         | 12-12-2022 |
| ASPPD7921E | TAPAS DEY              | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016         | 12-12-2022 |
| ATOPB8487H | REKHA BISWAS           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/06/ERO-BLO/APR/2016          | 12-12-2022 |
| AVQPD8818E | SUNIPA DAS             | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016         | 12-12-2022 |
| AYKPP8684R | BIBHAS PAL             | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF BASUNDARA AGRO RESOURCES (INDIA) LIMITED                              | WTM/GM/SEBI/ERO/IM D/19/JUNE/2017   | 12-12-2022 |
| AYMPK6977G | SHILPA KUMARI          | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                        | SEBI/HO/IVD/ID18/P/OW/2022/30989/1  | 12-12-2022 |

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| AZMPC2370A | RAHUL CHATTERJEE   | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016       | 12-12-2022 |
| BAAPM8405Q | RADHASHYAM MANNA   | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016       | 12-12-2022 |
| BADPM1727J | ASHOK MAJI         | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016       | 12-12-2022 |
| BBAPK4611F | MD KAMAL KOSHAR    | UNDER SECTIONS 11, 11(4), 11 (A) AND 11B (1) OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ORION INDUSTRIES LIMTIED                                     | WTM/MPB/ERO/ERO-RLO/105/2020      | 12-12-2022 |
| BDQPK1075F | AMITAVA KOLEY      | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016       | 12-12-2022 |
| BEOPS6023M | GORA CHAND SARKAR  | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016       | 12-12-2022 |
| BEYPD4346D | SANJAY DAS         | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD-DRA-IV/189/2016       | 12-12-2022 |
| BHAPM2160H | SOMENATH MUKHERJEE | UNDER SECTIONS 11 (1), 11(4) AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF BASUNDARA AGRO RESOURCES (INDIA) LIMITED                              | WTM/GM/SEBI/ERO/IM D/19/JUNE/2017 | 12-12-2022 |
| CHFPS4590F | GOUTAM SAHA        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/06/ERO-BLO/APR/2016        | 12-12-2022 |

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| AAACU7914N | UNITED COSMETICS<br>MANUFACTURING<br>(I) LIMITED | UNDER SECTIONS 11(1), 11(4), 11(A)<br>AND 11(B) OF THE SECURITIES<br>BOARD OF INDIA ACT, 1992 IN THE<br>MATTER OF ISSUANCE OF<br>REDEEMABLE PREFERENCE<br>SHARES BY UNITED COSMETICS<br>MANUFACTURING (I)<br>LIMITED                                              | WTM/RKA/EFD/150/2016                            | 12-12-2022 |
| AABCO6831B | OMISHA AGRI INDUSTRIES<br>(INDIA) LIMITED        | UNDER SECTIONS 11(1), 11(4), 11(A)<br>AND 11(B) OF THE SECURITIES<br>BOARD OF INDIA ACT, 1992, IN THE<br>MATTER OF OMISHA AGRI<br>INDUSTRIES LIMITED AND ITS<br>DIRECTORS                                                                                         | WTM/RKA/EFD/185/2016                            | 12-12-2022 |
| AABHC1518G | RAMPRASAD CHAMARIA<br>HUF                        | ADJUDICATION PROCEEDINGS IN<br>THE MATTER OF DEALINGS IN<br>ILLIQUID STOCK<br>OPTIONS (ISO) AT BSE                                                                                                                                                                | SEBI/HO/MRD/MRD-<br>POD-<br>3/P/OW/2022/42914/1 | 12-12-2022 |
| AACCD7561J | DYNASTY TRADELINK<br>PRIVATE LIMITED             | SHOW CAUSE NOTICE UNDER RULE<br>4(1) OF THE SEBI (PROCEDURE<br>FOR HOLDING INQUIRY AND<br>IMPOSING PENALTIES) RULES, 1995<br>IN THE MATTER OF DEALINGS IN<br>ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                  | SEBI/HO/IVD/ID8/SCN/A<br>O-SS/VS/35381/1/2022   | 12-12-2022 |
| AACCE6890R | ERIS ENERGY LIMITED                              | UNDER SECTIONS 11(1), 11(4), 11A AND<br>11B OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 AND REGULATION 28 OF THE<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA (LSSUE AND<br>LISTING OF DEBT SECURITIES)<br>REGULATIONS, 2008, IN RESPECT<br>OF: | WTM/RKA/EFD/175/2016                            | 12-12-2022 |
| AADCD6348J | DYNAMIC ASSET<br>MANAGEMENT LIMITED              | UNDER SECTIONS 11, 11(4), 11A AND<br>11B OF<br>THE SECURITIES AND EXCHANGE<br>BOARD OF INDIA ACT, 1992                                                                                                                                                            | WTM/PS/05/ERO-<br>BLO/APR/2016                  | 12-12-2022 |
| AADHD7260E | DURLABH SINGH AND SONS<br>HUF                    | ADJUDICATION PROCEEDINGS IN<br>THE<br>MATTER OF DEALINGS IN ILLIQUID<br>STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                | SEBI/IVD-8/SCN/AO-<br>SS/PH/2022/31762          | 12-12-2022 |
| AAECA2227N | AMAZAN AGRO PRODUCTS<br>LTD.                     | UNDER SECTIONS 11(1), 11(4), 11(A)<br>AND 11(B) OF THE SECURITIES<br>BOARD OF INDIA ACT, 1992, IN THE<br>MATTER OF AMAZAN AGRO<br>PRODUCTS LIMITED AND ITS<br>DIRECTORS                                                                                           | WTM/PS/145/ERO/JAN/2<br>016                     | 12-12-2022 |
| AAECG0029L | GREAT OVERSEAS<br>COMMODEAL LIMITED              | UNDER SECTIONS 11(1), 11(4), 11(A)<br>AND 11(B) OF THE SECURITIES<br>BOARD OF INDIA ACT, 1992 IN THE<br>MATTER OF ISSUANCE OF<br>REDEEMABLE PREFERENCE<br>SHARES BY<br>GREAT OVERSEAS COMMODEAL<br>LIMITED                                                        | WTM/RKA/EFD/127/2016                            | 12-12-2022 |

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| AAECG0030B | GMS INFRASTRUCTURE LIMITED        | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF AMAZON AGRO PRODUCTS LIMITED AND ITS GMS INFRASTRUCTURE LIMITED | WTM/AB/EFD-1/DRA-IV/05/2018-19                                                           | 12-12-2022 |
| AAECG3774E | GULSHAN NIRMAN INDIA LIMITED      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                 | WTM/MPB/EFD-1-DRA-IV/128/2018                                                            | 12-12-2022 |
| AAECG5486F | GOLDMINE INDUSTRIES LIMITED       | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992 IN RESPECT OF GOLDMINE INDUSTRIES LIMITED                                         | WTM/RKA/EFD/190/2016                                                                     | 12-12-2022 |
| AAECR6118F | ROOFERS INFRA - PROJECTS LIMITED  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                 | WTN/SR/SEBI-ERO/IMD/21/03/2016                                                           | 12-12-2022 |
| AAFCA5687H | ASOKA LIFE SCIENCE LIMITED        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ASOKA LIFE SCIENCE LIMITED                                   | WTM/GM/EFD/28/2018-19                                                                    | 12-12-2022 |
| AAFCR9720E | RBX LAND DEVELOPERS INDIA LIMITED | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF RBX LAND DEVELOPERS INDIA LIMITED                               | WTM/RKA/EFD/137/2016                                                                     | 12-12-2022 |
| AAGCP6749N | POLARIS REALTORS INDIA LIMITED    | ORDER U/S 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                  | ORDER U/S 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | 12-12-2022 |
| AAHCM0793Q | MULTINATIONAL INDUSTRIES LIMITED  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                | WTM/MPB/EFD-1-DRA-IV/21/2017                                                             | 12-12-2022 |
| AAICA4906A | ATM AGRO INDUSTRIES INDIA LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                | WTM/PS/15/ERO/APR/2016                                                                   | 12-12-2022 |
| AAICA6147R | ASSDA AGRO PROJECTS LTD           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                | WTM/MPB/EFD-1-DRA-IV/22/2018                                                             | 12-12-2022 |
| AAKCS2718Q | SEBA REAL ESTATE LIMITED          | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                  | WTS/PS/138/ERO/JAN/2016                                                                  | 12-12-2022 |
| AALCS5321G | SWABHUMI REAL ESTATE INDIA LTD.   | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                  | WTM/MPB/EFD-1-DRA-IV/51/2017                                                             | 12-12-2022 |
| AAMCS8354E | SLB INVEST (INDIA) LIMITED        | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                  | WTM/PS/08/ERO-BLO/APR/2016                                                               | 12-12-2022 |

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| AARCS4721N | STPL INFRASTRUCTURES LIMITED | SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF STPL INFRASTRUCTURES LIMITED                                                                                                                           | WTM/RKA/EFD/167/2016                       | 12-12-2022 |
| AAYPL5577B | KAMAL KISHORE LODHA          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                         | WTM/PS/15/ERO/APR/2016                     | 12-12-2022 |
| ABUPH6271K | RAKABUL HAQUE                | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/MPB/EFD/1/DRA-IV/21/2017               | 12-12-2022 |
| ACEPC4432C | NANDINI CHATTERJEE           | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/MPB/EFD/1/DRA-IV/21/2017               | 12-12-2022 |
| ACFPC4630F | SUKUMAR CHATTERJEE           | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/175/2016                       | 12-12-2022 |
| ACXPB9394B | PAHARI BASU                  | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF AMAZON AGRO PRODUCTS LIMITED AND ITS DIRECTORS                                                          | WTM/PS/145/ERO/JAN/2016                    | 12-12-2022 |
| ACYPG7856L | SRINIBASH GHOSH              | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/MPB/EFD/1/DRA/IV/128/2018              | 12-12-2022 |
| ACZPN6252A | MRINAL CHANDRA NANDI,        | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/PS/138/ERO/JAN/2016                    | 12-12-2022 |
| ADAPD1592M | SAMIR DAS                    | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF AMAZON AGRO PRODUCTS LIMITED AND ITS DIRECTORS                                                          | WTM/PS/145/ERO/JAN/2016                    | 12-12-2022 |
| ADEPD8146M | RANU MURARKA                 | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                                          | SEBI/HO/MRD/MRD-POD/P/OW/2022/0000042182/1 | 12-12-2022 |
| ADFPN9130J | KANAK RANJAN                 | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/PS/138/ERO/JAN/2016                    | 12-12-2022 |
| ADRPB4364N | BARUN BISWAS                 | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992                                                                                                                           | WTM/RKA/EFD/186/2016                       | 12-12-2022 |
| ADTPR0390N | SMT. SUSMITA ROYCHOUDHARY    | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992                                                                                                                           | WTM/RKA/EFD/186/2016                       | 12-12-2022 |

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| AEKPK6205P | RANJEET KUMAR   | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                | SEBI/HO/MRD/MRD-POD-3/P/OW/2022/42898/1                                                  | 12-12-2022 |
| AEMPNI456K | GOPAL NAYEK     | ORDER U/S 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                 | ORDER U/S 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | 12-12-2022 |
| AEOPN7091L | SANJOY NAG      | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                 | WTM/PS/138/ERO/JAN/2016                                                                  | 12-12-2022 |
| AEOPN7092K | SIDDHARTHA NAG  | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                 | WTM/PS/138/ERO/JAN/2016                                                                  | 12-12-2022 |
| AEPPG8484F | JOYDEB GARAI    | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF AMAZON AGRO PRODUCTS LIMITED AND ITS DIRECTORS | WTM/PS/145/ERO/JAN/2016                                                                  | 12-12-2022 |
| AEWPD5164N | DINABANDHU DAS  | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF AMAZON AGRO PRODUCTS LIMITED AND ITS DIRECTORS | WTM/PS/145/ERO/JAN/2016                                                                  | 12-12-2022 |
| AFBPR4794Q | SOURAV ROY      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ASOKA LIFE SCIENCE LIMITED                  | WTM/GM/EFD/28/2018-19                                                                    | 12-12-2022 |
| AFVPD2306Q | AJAYA KUMAR DAS | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                              | WTM/PS/05/ERO-BLO/APR/2016                                                               | 12-12-2022 |
| AFVPR5832F | SIMANTA ROY     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ASOKA LIFE SCIENCE LIMITED                  | WTM/GM/EFD/28/2018-19                                                                    | 12-12-2022 |
| AFWPG1415L | DEBABRATA GHOSH | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                              | WTM/PS/15/ERO/APR/2016                                                                   | 12-12-2022 |
| AGDPD7440A | SHIBENDU D      | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                 | WTM/PS/138/ERO/JAN/2016                                                                  | 12-12-2022 |
| AGNPG3984G | BASUDEB GARAI   | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF AMAZON AGRO PRODUCTS LIMITED AND ITS DIRECTORS | WTM/PS/145/ERO/JAN/2016                                                                  | 12-12-2022 |

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| AHEPD4809K | ABHIJIT DASGUPTA       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATIONS 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 IN RESPECT OF;                                             | WTM/GM/NRO/30/2017           | 12-12-2022 |
| AHMPR4384B | UJJAL KUMAR ROY        | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                          | WTM/GM/NRO/30/2017           | 12-12-2022 |
| AHPPD8992C | RAJESH DAS             | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF DYNAMIC ASSET MANAGEMENT LIMITED                                                                                                 | WTM/PS/05/ERO-BLO/APR/2016   | 12-12-2022 |
| AHQPJ8186K | KARTIK JANA            | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                   | WTM/RKA/EFD/150/2016         | 12-12-2022 |
| AHTPD9166G | SUMITA DAS             | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                          | WTM/RKA/EFD/175/2016         | 12-12-2022 |
| AHUPH9113Q | DEVID HASLAF           | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016         | 12-12-2022 |
| AHXP8258R  | DEBASISH DUTTA         | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                   | WTM/MPB/EFD-1-DRA-IV/22/2018 | 12-12-2022 |
| AHYPC4447J | MANABENDRA CHAKRABORTY | UNDER SEC 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF OMISHA AGRI INDUSTRIES LIMITED AND ITS DIRECTORS                                                                                | WTM/RKA/EFD/185/2016         | 12-12-2022 |

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| AIDPG1944N | SAUROVEMOY GHOSH           | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/175/2016             | 12-12-2022 |
| AIEPB7483J | NIHAR RANJAN BIDHAR        | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF DYNAMIC ASSET MANAGEMENT LIMITED                                                                        | WTM/PS/05/ERO-BLO/APR/2016       | 12-12-2022 |
| AIHPM6556G | NIRAPADA MAITI             | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/RKA/EFD/150/2016             | 12-12-2022 |
| AIPM2433R  | ARUN KUMAR MISHRA          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                     | WTM/PS/15/ERO/APR/2016           | 12-12-2022 |
| AIYPR3451L | SUJIT KUMAR ROY            | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/PS/138/ERO/JAN/2016          | 12-12-2022 |
| AJIPB7361C | MS. DEBASHREE BHOWMIK      | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/RKA/EFD/150/2016             | 12-12-2022 |
| AJJPD4880B | SANTANU DAS                | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/PS/138/ERO/JAN/2016          | 12-12-2022 |
| AJLPD1430D | SATYENDRA KUMAR DEY        | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/PS/138/ERO/JAN/2016          | 12-12-2022 |
| AJTPM8782F | ARUNANGSHU MANNA           | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/GM/SEBI/ERO/IMD/23/JUNE/2017 | 12-12-2022 |
| AKAPD0726A | MS. BAISALINI DAS          | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/PS/08/ERO-BLO/APR/2016       | 12-12-2022 |
| AKEPS8245D | KHUDIRAM SOUNTH            | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/175/2016             | 12-12-2022 |
| ALDPB2568G | PRALAY KANTA BHATTACHARYYA | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/GM/SEBI/ERO/IMD/23/JUNE/2017 | 12-12-2022 |

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| ALDPP2259C | SUSANTA KUMAR PANDA | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF DYNAMIC ASSET MANAGEMENT LIMITED                                                                                                 | WTM/PS/05/ERO-BLO/APR/2016                                                                                                                                                                           | 12-12-2022 |
| ALIPB5094L | CHANDAN BISWAS      | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF AMAZON AGRO PRODUCTS LIMITED AND ITS GMS INFRASTRUCTURE LIMITED                                                                  | WTM/AB/EFD-1/DRA-1V/05/2018-19                                                                                                                                                                       | 12-12-2022 |
| ALVPS9791G | SUDHIR SHARMA       | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF GULSHAN NIRMAN PVT. LTD.                                                                                                         | WTM/MPB/EFD-1-DRA-IV/128/2018                                                                                                                                                                        | 12-12-2022 |
| AMGPB0981P | RAJIB BHATTACHARYA  | UNDER SEC 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ISSUANCE OF REDEEMABLE PREFERENCE SHARES BY UNITED COSMETICS MANUFACTURING (I) P. LTD.                                       | UNDER SEC 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ISSUANCE OF REDEEMABLE PREFERENCE SHARES BY UNITED COSMETICS MANUFACTURING (I) P. LTD. | 12-12-2022 |
| AMHPD9189J | MS. SHARMILA DAS    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1982 IN RESPECT OF OMISHA AGRI INDUSTRIES (INDIA) LIMITED                                                                                      | WTM/RKA/EFD/185/2016                                                                                                                                                                                 | 12-12-2022 |
| AMPPD6913J | BISWAJIT DAS        | UNDER SECTIONS 11 (1 ), 11 (4), 11 B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/AB/EFD-1/DRA-IV/05/2018-19                                                                                                                                                                       | 12-12-2022 |
| ANDPC7427M | DINESH CHOWHAN      | UNDER SECTIONS 11 (1 ), 11 (4), 11 B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/AB/EFD-1/DRA-IV/05/2018-19                                                                                                                                                                       | 12-12-2022 |
| ANNPS2028N | PRABIR SENGUPTA     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                           | WTM/RKA/EFD/186/2016                                                                                                                                                                                 | 12-12-2022 |
| ANRPB9054H | SUBHRAJIT BANIK     | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016                                                                                                                                                                                 | 12-12-2022 |

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| ANZPP6080B | BHADRESHWAR PAL           | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                           | WTM/SR/SEBI-ERO/IMD/21/03/2016 | 12-12-2022 |
| AOQPD8911D | TIRTHANKAR DASGUPTA       | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                     | WTM/RKA/EFD/27/2016            | 12-12-2022 |
| APDPD8203N | DEBASISH DASGUPTA         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                        | WTM/PS/15/ERO/APR/2016         | 12-12-2022 |
| APEPC8255N | AVJIT CHOWDHURY           | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008. | WTM/RKA/EFD/175/2016A          | 12-12-2022 |
| APKPS6248B | HIRAK NATH SOUNTH         | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                           | WTM/SR/SEBI-ERO/IMD/21/03/2016 | 12-12-2022 |
| AQFPB2001D | LOPAMUDRA BANDYAPADHYAY   | UNDER SECTIONS 11 (1 ), 11 (4), 11 B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                         | WTM/AB/EFD-1/DRA-IV/05/2018-19 | 12-12-2022 |
| AQQPR8167F | MANISH ROY                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                     | WTM/RKA/EFD/186/2016           | 12-12-2022 |
| AQRPC9091N | SAMIR CHATTOPADHYAY KUMAR | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.                             | WTM/RKA/EFD/150/2016           | 12-12-2022 |
| AQSPM6019P | BIBEKANANDA MAITI         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                        | WTM/PS/05/ERO-BLO/APR/2016     | 12-12-2022 |
| AQVPA0028K | RAJESH ACHARYA            | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/21/2017   | 12-12-2022 |
| AQXPG2563P | TAPAS KUMAR GIRI          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                        | WTM/PS/05/ERO-BLO/APR/2016     | 12-12-2022 |
| ARBPD8838K | NABARUN DUTTA             | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/22/2018   | 12-12-2022 |

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| ASWPD5852F | GOURI DUTTA             | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                 | WTM/MPB/EFD-1-DRA-IV/22/2018                 | 12-12-2022 |
| ASWPR0853J | OBAIDUR RAHAMAN         | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                 | WTM/MPB/EFD-1-DRA-IV/21/2017                 | 12-12-2022 |
| ATFPM5403K | ANTARA MUKHERJEE        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ASOKA LIFE SCIENCE LIMITED                                                                                                    | WTM/GM/EFD/28/2018-19                        | 12-12-2022 |
| AUDPB3585G | KEDAR CHANDRA BERA      | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016                         | 12-12-2022 |
| AUDPS9698F | RASIKLAL S SHETH        | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                   | SEBI/HO/MRD/MRD-POD-3/P/OW/2022/0000040060/1 | 12-12-2022 |
| AUMPD7059E | PRADIP DHARA            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1982 IN RESPECT OF OMISHA AGRI INDUSTRIES (INDIA) LIMITED                                                                                      | WTM/KRA/EFD/185/2016                         | 12-12-2022 |
| AUZPP0701A | AMAL PATRA              | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.                                                   | WTM/RKA/EFD/150/2016                         | 12-12-2022 |
| AVFPA7748F | SAIFUL ALAM             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                                                                              | WTM/PS/15/ERO/APR/2016                       | 12-12-2022 |
| AVFPK1594B | MOHAMMAD ATTAULLAH KHAN | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                 | WTM/MP/MOB/EFD-1-DRA-IV/128/2018             | 12-12-2022 |
| AVIPS6571K | ARJUN SAHA              | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.                       | WTM/RKA/EFD/175/2016 A                       | 12-12-2022 |

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| AWEPS6381C | NITYANANDA SARKAR         | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                               | WTM/MP/MOB/EFD-1-DRA-IV/128/2018 | 12-12-2022 |
| AWIPP6778J | TAPAN KUMAR POLLEY        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1982 IN RESPECT OF OMISHA AGRI INDUSTRIES (INDIA) LIMITED                                    | WTM/KRA/EFD/185/2016             | 12-12-2022 |
| AWLPM7483Q | DURGA CHARAN MUDI         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1982 IN RESPECT OF OMISHA AGRI INDUSTRIES (INDIA) LIMITED                                    | WTM/KRA/EFD/185/2016             | 12-12-2022 |
| AYCPS4451M | SUBHASH CHANDRA SAHA      | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008. | WTM/PS/138/ERO/JAN/2016          | 12-12-2022 |
| AYLPB1956B | DEBASHISH BHATTACHARYYA   | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                               | WTM/MP/MOB/EFD-1-DRA-IV/128/2018 | 12-12-2022 |
| AYNPG5900E | YUSUF ALI GAYEN           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                            | WTM/PS/15/ERO/APR/2016           | 12-12-2022 |
| AYYPM2926P | KISHORE CHANDRA MAHARATHI | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/05/ERO-BLO/APR/2016       | 12-12-2022 |
| AZGPB7889M | PRABIR KUMAR BAUL         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1982 IN RESPECT OF OMISHA AGRI INDUSTRIES (INDIA) LIMITED                                    | WTM/KRA/EFD/185/2016             | 12-12-2022 |
| BAGPM1763F | HASEM MIRZA               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                            | WTM/PS/15/ERO/APR/2016           | 12-12-2022 |
| BAGPM1764C | MIRZA DINAR               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                            | WTM/PS/15/ERO/APR/2016           | 12-12-2022 |
| BBHPM8968G | PRATAP MONDAL             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                         | WTM/RKA/EFD/27/2016              | 12-12-2022 |
| BCLPR9255A | KAUSTABH ROY              | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                               | WTM/MP/MOB/EFD-1-DRA-IV/128/2018 | 12-12-2022 |

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| BDKPP3859C | NARGIS PARVIN          | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                        | WTM/MPB/EFD-1-DRA-IV/21/2017 | 12-12-2022 |
| BDOPG6790F | TAHIDUR RAHAMAN GAYEN  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                                     | WTM/PS/15/ERO/APR/2016       | 12-12-2022 |
| BEJPR5386E | PRIYANKA ROY           | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ASOKA LIFE SCIENCE LIMITED                                                           | WTM/GM/EFD/ 28 /2018-19      | 12-12-2022 |
| BHFPR1071R | SRIKANTA RUIDAS        | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF OMISHA AGRI INDUSTRIES LIMITED AND ITS DIRECTORS                                        | WTM/RKA/EFD/185/2016         | 12-12-2022 |
| BHQPR8645J | INDRAJIT ROY           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                                     | WTM/PS/15/ERO/APR/2016       | 12-12-2022 |
| BJKPR7315B | BAPAN RUIDAS           | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF OMISHA AGRI INDUSTRIES LIMITED AND ITS DIRECTORS                                        | WTM/RKA/EFD/185/2016         | 12-12-2022 |
| BKBPK8720K | ASHMIN KHATUN          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                                     | WTM/PS/15/ERO/APR/2016       | 12-12-2022 |
| BLQPM6927A | RAJIB MONDAL           | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF OMISHA AGRI INDUSTRIES LIMITED AND ITS DIRECTORS                                        | WTM/RKA/EFD/185/2016         | 12-12-2022 |
| BMEPB2162H | GARGI BISWAS           | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF AMAZON AGRO PRODUCTS LIMITED AND ITS DIRECTORS                                          | WTM/PS/145/ERO/JAN/2016      | 12-12-2022 |
| BMPPP2155K | ANIL PANDEY            | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF ISSUANCE OF SECURED REDEEMABLE NON CONVERTIBLE DEBENTURES BY MEGASYS HEALTHCARE LIMITED | WTM/RKA/EFD/186/2016         | 12-12-2022 |
| BMUPM1800K | PRADIP KUMAR MAHAPATRA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                     | WTM/PS/O5/ERO-BLO/APR/2016   | 12-12-2022 |

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| BOEPP0786H | GORA CHAND PANDEY         | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992 IN THE MATTER OF ISSUANCE OF REDEEMABLE PREFERENCE SHARES BY GREAT OVERSEAS COMMODEAL LIMITED                                                      | WTM/RKA/EFD/127/2016              | 12-12-2022 |
| BREPS6947N | BALWANT KUMAR SINGH       | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                   | WTM/RKA/EFD/150/2016              | 12-12-2022 |
| BUOPK8353F | SEKHAR CHANDRA KOLEY      | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                          | WTM/RKA/EFD/175/2016              | 12-12-2022 |
| BXHPS2674H | RAGHUVVEER SINGH SISODIYA | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF RBX LAND DEVELOPERS INDIA LIMITED                                                                                                | WTM/RKA/EFD/137/2016              | 12-12-2022 |
| BYYPK8546E | AVEDANANDA KHILA          | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                   | WTM/GM/SEBI/ERO/IM D/23/JUNE/2017 | 12-12-2022 |
| BZMPS1847R | AKMAL SEKH                | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                   | WTM/MPB/EFD/1/DRA/IV/21/2017      | 12-12-2022 |
| CAYPS9419K | MIARUL SEKH               | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016              | 12-12-2022 |
| CLKPS6324N | RAJESH SINGH              | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN THE MATTER OF AMAZON AGRO PRODUCTS LIMITED AND ITS GMS INFRASTRUCTURE LIMITED                                                                  | WTM/AB/EFD-1/DRA-1V/05/2018-19    | 12-12-2022 |
| CQYPS9419K | MIARUL SEKH               | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016              | 12-12-2022 |

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| DCTPS2901E | KALYAN SAHA                      | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                   | WTM/MPB/EFD/1/DRA/1 V/21/2017 | 12-12-2022 |
| DUGPS0846K | AJOY SANKAR SANYAL               | UNDER SEC 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                                          | WTM/RKA/EFD/175/2016          | 12-12-2022 |
| AAACJ2532P | JAITRA ESTATE HOLDINGS PVT. LTD. | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER ) RULES, 1995                                                                 | PKB/AO-101/2010]              | 12-12-2022 |
| AAAPI2482J | MR KOLLENMARETH OOMMAN ISSAC     | UNDER SECTION 11 & 11B OF THE SECURITIES & EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ABL BIOTECHNOLOGIES LTD.                                                                                                                                    | WTM/SKM/EFD1-DRAI/02/2019-20  | 12-12-2022 |
| AACCS1185R | SONAL INTERNATIONAL LTD          | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES") | EAD-12/ AO/SM/57-72/2017)     | 12-12-2022 |
| AGLPP8818Q | NILESH KRUSHNA PALANDE           | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES") | EAD-12/ AO/SM/57-72/2017)     | 12-12-2022 |
| AKSPM3939N | KIRTI KANTILAL MEHTA             | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES") | EAD-12/ AO/SM/57-72/2017)     | 12-12-2022 |

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| AKZPG4168Q | VAISHALI SHARAD GAWDE    | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES") | EAD-12/ AO/SM/57-72/2017)        | 12-12-2022 |
| AOZPP4022M | GHANSHYAM DAYABHAI PATEL | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES") | EAD-12/ AO/SM/57-72/2017)        | 12-12-2022 |
| AWMPG6377L | RAJNEE RAJAN GITAYE      | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES") | EAD-12/ AO/SM/57-72/2017)        | 12-12-2022 |
| AXGPP4301A | NEHA BIPIN PATEL         | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES") | EAD-12/ AO/SM/57-72/2017)        | 12-12-2022 |
| CFPPS4835H | CHIRAG DINESHKUMAR SHAH  | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES") | EAD-12/ AO/SM/57-72/2017)        | 12-12-2022 |
| AAACV2912N | VISHVAS SECURITIES LTD.  | UNDER SECTIONS 11 (1) AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                  | WTM/MPB/EFD-1-DRA-4/101-103/2020 | 12-12-2022 |

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| AABCS7644G | SUNDEEP CREDITS PRIVATE LIMITED | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                  | EAD-2/DSR/KM/122-127/2014        | 12-12-2022 |
| AAFCP0825N | PROGRESS CULTIVATION LIMITED    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                            | WTM/PS/194/IMD-ERO/MAR/2016      | 12-12-2022 |
| AAFFI0479L | INDIRA TRADING CO.              | UNDER SECTIONS 11(1), 11(4) AND 11(B) OF THE SECURITIES BOARD OF INDIA ACT, 1992, IN RE. SECURITIES EXCHANGE BOARD OF INDIA (INVESTMENT ADVISORS) REGULATIONS AND THE SECURITIES EXCHANGE BOARD OF INDIA (RESEARCH ANALYST) REGULATION, 2014                                                | WTM/MB/IMD/DOF-1/10676/2020-21   | 12-12-2022 |
| AAFFI014H  | INDIAN STOCK TIPS               | UNDER SECTIONS 11(1), 11(4)(B) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (INVESTMENT ADVISERS) REGULATIONS, 2013 AND THE SECURITIES AND EXCHANGE BOARD OF INDIA (RESEARCH ANALYST) REGULATIONS, 2014, IN RESPECT OF | WTM/MPB/SEBI/EPD-DRA4/108/2017   | 12-12-2022 |
| AAHCS1332H | STARDOM TRADING COMPANY PVT LTD | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENAL TIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES")                                 | EAD-12/ AO/SM/57-72/2017)        | 12-12-2022 |
| AAICS2382L | SPECTRUM CHEMICALS PVT LIMITED  | UNDER SECTION 15 I OF SECURITIES .AND EXCHANGE ,BOARD OF INDIA ACT. 1992 READ WITH RULE & OF SECURITIES AND EXCHANGE BOARD OF IMDIA F PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER RULES 1996                                                               | EAD-2/AD/DSR/RG/BKM/276-308/2014 | 12-12-2022 |
| ABYPH4184M | BIKASH HOWLADER                 | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                            | WTM/PS/194/IMD-ERO/MAR/2016      | 12-12-2022 |

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| AJHPG6989J | BIPIN KUMAR GANDHI                  | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                             | EAD-2/DSR/RG/PU/320-339/2014                      | 12-12-2022 |
| AKTPD7363C | AJOY DAS                            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                        | WTM/PS/194/IMD-ERO/MAR/2016                       | 12-12-2022 |
| AKWPM4694A | SOUVIK MISTRY                       | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                        | WTM/PS/194/IMD-ERO/MAR/2016                       | 12-12-2022 |
| ARLPG5832C | JAGDISH LALMANI GUPTA               | UNDER SECTIONS 11 (1 ), 11 (4), 11 B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                            | WTM/MB/IMD/DOF-1/10676/2020-21                    | 12-12-2022 |
| AXTPM7326D | SOHINI MISTRY                       | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/163/2018                     | 12-12-2022 |
| BAHPG8679M | VISHAL ANAJI GIRKAR                 | UNDER SECTIONS 11 (1 ), 11 (4), 11 B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                            | WTM/MB/IMD/DOF-1/10676/2020-21                    | 12-12-2022 |
| BEPPM1043D | JOHEPH CHAND MALIKSHAIKH            | UNDER SECTIONS 11 (1 ), 11 (4), 11 B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                            | WTM/MB/IMD/DOF-1/10676/2020-21                    | 12-12-2022 |
| CPDPS5191C | MOHD. ZAID SIDDIQUE                 | UNDER SECTIONS 11 (1 ), 11 (4), 11 B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                            | WTM/MB/IMD/DOF-1/10676/2020-21                    | 12-12-2022 |
| AAACT9882C | TOUCH WOOD LIMITED                  | UNDER SECTIONS 11(1), 11( 4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF TOUCH WOOD LIMITED. | WTM/GM/EFD/47/2018-19                             | 12-12-2022 |
| AAAFK8628A | KHERA MOTOR FINANCE PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                       | SEBI/HO/MIRSD/MIRSD-RAC-2/P/OW/2022/0000043655 /1 | 12-12-2022 |
| AABCJ1721D | JAI AMBE CASSETTES PVT              | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, AND U/S 23-I OF SECURITIES CONTRACTS (REGULATIONS), ACT, 1956                                                                                                            | ORDER/VV/AS/2022-23/15978 - 16000                 | 12-12-2022 |

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| AABCN6212F | NEHA CASSETTES PVT. LTD                | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, AND U/S 23-I OF SECURITIES CONTRACTS (REGULATIONS), ACT, 1956                                                                                                                                                                                                       | ORDER/VV/AS/2022-23/15978 - 16000 | 12-12-2022 |
| AABHR9686J | RAM PRASAD ASHISH GUPTA HUF            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                  | EAD-8/AS/VS/34377/2022            | 12-12-2022 |
| AACCE1268R | EVERLINK DISTRIBUTORS PVT LTD          | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, AND U/S 23-I OF SECURITIES CONTRACTS (REGULATIONS), ACT, 1956                                                                                                                                                                                                       | ORDER/VV/AS/2022-23/15978 - 16000 | 12-12-2022 |
| AACCH1630A | HALDHAR REALTY AND ENTERPRISES LIMITED | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER -CUM- SHOW CAUSE NOTICE DATED JUNE 17, 2014 IN THE MATTER OF HALDHAR REALTY AND ENTERPRISES LIMITED. | WTM/GM/EFD/90 /2017-18            | 12-12-2022 |
| AACCH5757N | HONESTY GOODS TRADER PVT LTD           | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, AND U/S 23-I OF SECURITIES CONTRACTS (REGULATIONS), ACT, 1956                                                                                                                                                                                                       | ORDER/VV/AS/2022-23/15978 - 16000 | 12-12-2022 |
| AACCH5132F | JASPER VINTRADE PVT LTD                | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, AND U/S 23-I OF SECURITIES CONTRACTS (REGULATIONS), ACT, 1956                                                                                                                                                                                                       | ORDER/VV/AS/2022-23/15978 - 16000 | 12-12-2022 |
| AACCK9762E | KIM INFRASTRUCTURE & DEVELOPERS LTD    | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                                                                                                 | WTM/PS/51/CIS/NRO/DE C/2014       | 12-12-2022 |
| AACCN4643D | NATRAJ VINIMAY PVT LTD                 | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, AND U/S 23-I OF SECURITIES CONTRACTS (REGULATIONS), ACT, 1956                                                                                                                                                                                                       | ORDER/VV/AS/2022-23/15978 - 16000 | 12-12-2022 |
| AADCG6785A | GAUNGOUR SUPPLIERS PVT LTD             | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, AND U/S 23-I OF SECURITIES CONTRACTS (REGULATIONS), ACT, 1956                                                                                                                                                                                                       | ORDER/VV/AS/2022-23/15978 - 16000 | 12-12-2022 |

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| AADCN4728Q | NICL INDIA LIMITED                        | UNDER SECTIONS 11(1), 11(4) AND 118 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 14, 2015 IN THE MATTER OF NICL INDIA LIMITED (NICL).                          | WTM/GM/EFD/30/2018-19             | 12-12-2022 |
| AAECD0982H | DHANKAMAL VANIJYA PRIVATE LIMITED         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF TOUCH WOOD LIMITED.                                                                                                                                         | WTM/GM/EFD/47/2018-19             | 12-12-2022 |
| AAECR1541A | RAGHAV CAPITAL AND INFRASTRUCTURE LIMITED | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003                                   | WTM/PS/75/CIS-NRO/LKO/OCT/2015    | 12-12-2022 |
| AAFCM3291B | MADHUVAN DATAMATICS TRADERS PVT LTD       | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, AND U/S 23-I OF SECURITIES CONTRACTS (REGULATIONS), ACT, 1956                                                                                                                                                                                                                                                   | ORDER/VV/AS/2022-23/15978 - 16000 | 12-12-2022 |
| AAFCM3292C | MATARA ELECTRICAL TRADERS PVT LTD         | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, AND U/S 23-I OF SECURITIES CONTRACTS (REGULATIONS), ACT, 1956                                                                                                                                                                                                                                                   | ORDER/VV/AS/2022-23/15978 - 16000 | 12-12-2022 |
| AAFCP3908E | PRAGYA DAIRIES & AGRO LIMITED             | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/AB/WRO/WRO/7170/2019-20       | 12-12-2022 |

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| AAHCS8640N | SAHAYTA FINANCIAL<br>CONSULTANCY SERVICES<br>INDIA PVT. LTD | ADJUDICATION ORDER U/S 15-I OF<br>SEBI ACT,<br>1992, AND U/S 23-I OF<br>SECURITIES CONTRACTS<br>(REGULATIONS), ACT, 1956                                                                                                                                                                                                                                                                     | ORDER/VV/AS/2022-<br>23/15978 - 16000 | 12-12-2022 |
| AAKCA2105M | ALLNEW DISTRIBUTORS PVT<br>LTD.                             | UNDER SECTIONS 11(1), 11( 4) AND<br>11B OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 READ WITH REGULATION<br>65 OF THE SEBI (COLLECTIVE<br>INVESTMENT SCHEMES)<br>REGULATIONS, 1999 IN THE<br>MATTER OF TOUCH WOOD LIMITED.                                                                                                                                                 | WTM/GM/EFD/47/2018-<br>19             | 12-12-2022 |
| AALCS8092C | SWAR AGROTEAK AND<br>HOUSING (INDIA)<br>PRIVATE LIMITED     | ADJUDICATION ORDER U/S 15-I OF<br>SEBI ACT, 1992, AND U/S 23-I<br>OF SECURITIES<br>CONTRACTS (REGULATIONS), ACT,<br>1956                                                                                                                                                                                                                                                                     | ORDER/VV/AS/2022-<br>23/15978 - 16000 | 12-12-2022 |
| AANCS1132M | SUPER TRADECOM PRIVATE<br>LIMITED                           | UNDER SECTIONS 11(1), 11( 4) AND<br>11B OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 READ WITH REGULATION<br>65 OF THE SEBI (COLLECTIVE<br>INVESTMENT SCHEMES)<br>REGULATIONS, 1999 IN THE<br>MATTER OF TOUCH WOOD LIMITED.                                                                                                                                                 | WTM/GM/EFD/47/2018-<br>19             | 12-12-2022 |
| AAPCS3390F | SUNPLANT BIO ENERGY<br>PRIVATE LIMITED                      | UNDER SECTIONS 11(1), 11(4) AND<br>11B OF SECURITIES AND EXCHANGE<br>BOARD OF INDIA ACT, 1992 READ<br>WITH REGULATION 65 OF THE<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA (COLLECTIVE<br>INVESTMENT SCHEMES)<br>REGULATIONS, 1999, IN RESPECT OF<br>INTERIM ORDER CUM SHOW<br>CAUSE NOTICE DATED DECEMBER<br>09, 2015 IN THE MATTER OF<br>SUNPLANT BIO ENERGY PRIVATE<br>LIMITED (SBEPL). | WTM/GM/EFD /52/2017-<br>18            | 12-12-2022 |
| AARPA7028K | SANJIB SIKDAR                                               | UNDER SECTIONS 11(1), 11B AND 11(4)<br>OF THE SECURITIES AND EXCHANGE<br>BOARD OF INDIA ACT, 1992 READ<br>WITH REGULATION 65 OF THE<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA (COLLECTIVE<br>INVESTMENT SCHEME) REGULATIONS,<br>1999                                                                                                                                                      | WTM/PS/51/CIS/NRO/DE<br>C/2014        | 12-12-2022 |
| AAXPM7090B | VIRENDER KUMAR MITTAL                                       | UNDER SECTIONS 11(1), 11( 4) AND<br>11B OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 READ WITH REGULATION<br>65 OF THE SEBI (COLLECTIVE<br>INVESTMENT SCHEMES)<br>REGULATIONS, 1999 IN THE<br>MATTER OF TOUCH WOOD LIMITED.                                                                                                                                                 | WTM/GM/EFD/47/2018-<br>19             | 12-12-2022 |

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| ACSPT3646D | PREM PRAKASH THANVI       | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                                                                                                                                                                              | PB/AO-79/2010                  | 12-12-2022 |
| ADPPN6255N | RAGHVENDRA SINGH NARWARIA | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 31, 2015 IN THE MATTER OF BNP INDIA DEVELOPERS AND INFRASTRUCTURE LIMITED (BNP). | WTM/GM/EFD/60/2017-18          | 12-12-2022 |
| AGOPC3742P | ABHISHEK S CHAUHAN        | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 14, 2015 IN THE MATTER OF NICL INDIA LIMITED (NICL).                           | WTM/GM/EFD/30/2018-19          | 12-12-2022 |
| AHWPN9045M | MS. NIRMALA RAGHAV        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003                                    | WTM/PS/75/CIS-NRO/LKO/OCT/2015 | 12-12-2022 |

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| AHZPN2835J | PADMALOCHAN NAYAK     | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED DECEMBER 09, 2015 IN THE MATTER OF SUNPLANT BIO ENERGY PRIVATE LIMITED (SBEPL).       | WTM/GM/EFD/52/2017-18       | 12-12-2022 |
| AIKPC8055F | PHOOL SINGH CHOUDHARY | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 14, 2015 IN THE MATTER OF NICL INDIA LIMITED (NICL).                          | WTM/GM/EFD/30/2018-19       | 12-12-2022 |
| AITPM7648D | SANGEETA MITTAL       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF TOUCH WOOD LIMITED.                                                                                                                                         | WTM/GM/EFD/47/2018-19       | 12-12-2022 |
| AJWPP3490J | NANA LAL PATIDAR      | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/AB/WRO/WRO/7170/2019-20 | 12-12-2022 |

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| AMHPJ3198H | SUNIL KUMAR JHA                     | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED DECEMBER 09, 2015 IN THE MATTER OF SUNPLANT BIO ENERGY PRIVATE LIMITED (SBEPL).       | WTM/GM/EFD/52/2017-18       | 12-12-2022 |
| AOMPM8097D | SUNITA MODI                         | UNDER SECTIONS 11(1), 11( 4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF TOUCH WOOD LIMITED.                                                                                                                                        | WTM/GM/EFD/47/2018-19       | 12-12-2022 |
| APGPT3272C | MANJULABEN<br>BHUPENDRABHAI THAKKAR | UNDER SECTIONS 11(1), 11( 4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF TOUCH WOOD LIMITED.                                                                                                                                        | WTM/GM/EFD/47/2018-19       | 12-12-2022 |
| APJPP6921M | DURGA PATIDAR                       | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/AB/WRO/WRO/7170/2019-20 | 12-12-2022 |

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| APRPD7072D | SOM DATTA                   | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 31, 2015 IN THE MATTER OF BNP INDIA DEVELOPERS AND INFRASTRUCTURE LIMITED (BNP). | WTM/GM/EFD/60/2017-18       | 12-12-2022 |
| ARRPK5013B | RAJESH KUMAR                | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                                                                                                                                              | WTM/PS/51/CIS/NRO/DE C/2014 | 12-12-2022 |
| ATSPK4627Q | MR. PRAVESH KUMAR KAROWLIYA | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                               | WTM/PS/22/EFD/MAY/2016      | 12-12-2022 |
| AVBPP1293Q | POOJA PATIDAR               | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003  | WTM/AB/WRO/WRO/7170/2019-20 | 12-12-2022 |
| BCUPS2748L | DEVENDRA KUMAR SAHU         | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 31, 2015 IN THE MATTER OF BNP INDIA DEVELOPERS AND INFRASTRUCTURE LIMITED (BNP). | WTM/GM/EFD/60/2017-18       | 12-12-2022 |

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| BKHPS1704D | MR. KULBIR SINGH | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                        | WTM/PS/31/CIS-NRO/AUG/2015 | 12-12-2022 |
| BLGPK9508K | MR. SHIV KUMAR   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                        | WTM/PS/22/EFD/MAY/2016     | 12-12-2022 |
| BONPG5600Q | SUBIR GUPTA      | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED DECEMBER 09, 2015 IN THE MATTER OF SUNPLANT BIO ENERGY PRIVATE LIMITED (SBEPL). | WTM/GM/EFD/52/2017-18      | 12-12-2022 |
| CGFPS6608M | MR. HARJIT SINGH | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                        | WTM/PS/31/CIS-NRO/AUG/2015 | 12-12-2022 |
| CIRPK5759F | MS. RANJIT KAUR  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                        | WTM/PS/31/CIS-NRO/AUG/2015 | 12-12-2022 |
| COUPS0677H | HARISH SHARMA    | UNDER SECTIONS 11(1), 11(4) AND 118 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 14, 2015 IN THE MATTER OF NICL INDIA LIMITED (NICL).                    | WTM/GM/EFD/30/2018-19      | 12-12-2022 |

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| DQTPS4378R | AKASHDEEP SINGH                  | UNDER SECTIONS 11(1), 11( 4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF TOUCH WOOD LIMITED. | WTM/GM/EFD/47/2018-19   | 12-12-2022 |
| AAACY5285E | YIN TREXIM PRIVATE LIMITED       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                       | OUTWARD NO.42074/1/2022 | 12-12-2022 |
| AAACZ3842Q | ZIYA MERCHANDISE PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                       | OUTWARD NO.44094/1/2022 | 12-12-2022 |
| AAHP3310G  | PARMOD JAIN HUF                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                       | EAD6/GG/AS/41490/1/2022 | 12-12-2022 |
| AABCD9928L | DRISHA IMPEX PRIVATE LIMITED     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                       | OUTWARD NO.44096/1/2022 | 12-12-2022 |
| AABCG0653R | GALAXY EXPORTS PRIVATE LIMITED   | SCN UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                     | 41496/1/2022            | 12-12-2022 |
| AABCW0409M | WINSOME VINCOM PRIVATE LIMITED   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                       | OUTWARD NO.44971/1/2022 | 12-12-2022 |

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| AABCW0423F | WELSPUN TIE UP PRIVATE LIMITED       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.44970/1/2022 | 12-12-2022 |
| AABCW1311Q | WATERFLOW COMMOTRADE PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.44969/1/2022 | 12-12-2022 |
| AACCV1835D | VKJ TREXIM PRIVATE LIMITED           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.42065/1/2022 | 12-12-2022 |
| AACHC3523N | CHANDRESH MEGHANI HUF                | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.44706/1/2022 | 12-12-2022 |
| AADCC4989N | CHIRAG VINCOM PVT LTD                | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.39809/1/2022 | 12-12-2022 |
| AADCC6699R | CREDENCE PROJECTS PVT LTD            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.42002/1/2022 | 12-12-2022 |
| AADCD5746L | DAREDEVIL AGENCIES PRIVATE LIMITED   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.42729/1/2022 | 12-12-2022 |

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| AAECC7265L | CYPRESS GOODS PRIVATE LIMITED       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.41991/1/2022  | 12-12-2022 |
| AAECC7267J | CHEN VYAPAAR PRIVATE LTD            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.39780/1/2022  | 12-12-2022 |
| AAGCP7939J | PLUTOCRAT TRADECOM PRIVATE LIMITED  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/38266/1/2022 | 12-12-2022 |
| AAGCR7248J | RIYA OIL INDUSTRIES PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/38558/1/2022 | 12-12-2022 |
| AAGHS5421P | SUDESH KUMAR SOMANI HUF             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.43435/1/2022  | 12-12-2022 |
| AAGHS9027R | SANJOY KUMAR GUPTA FAMILY           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.39060/1/2022  | 12-12-2022 |
| AAHHR0559Q | RAM NIWAS JAIN HUF                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/38346/1/2022 | 12-12-2022 |

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| AAICS5236K | SADGURU ISPAT PVT LTD           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/38733/1/2022 | 12-12-2022 |
| AAIHR4812B | RAM MANOHAR VIJAY HUF           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/38336/1/2022 | 12-12-2022 |
| AAJHA7611L | ATUL TANNA HUF                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.44082/1/2022  | 12-12-2022 |
| AAJHS4607J | SUDESH KUMAR AGGARWAL SONS      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.43432/1/2022  | 12-12-2022 |
| AALHR4375J | RAKESH KUMAR KHETAN HUF         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/40956/1/2022 | 12-12-2022 |
| AAMCS1343P | STATUS VYAPAAR PRIVATE LIMITED  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.41513/1/2022  | 12-12-2022 |
| AAMCS6736Q | SRM COMMODITIES PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.41502/1/2022  | 12-12-2022 |

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| AAMCS7057E | SR REALBUILD PRIVATE LIMITED          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.42987/1/2022  | 12-12-2022 |
| AAMHR2718E | RAMESH KUMAR SARIA HUF                | SCN UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE               | EAD-8/AS/AK/41554/1/2022 | 12-12-2022 |
| AAOCS1393R | SRIJAN DEALERS PRIVATE LIMITED        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.44983/1/2022  | 12-12-2022 |
| AAOCS7375K | SOUNDLIGHT PROJECTS PRIVATE LIMITED   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.44978/1/2022  | 12-12-2022 |
| AAOHR1833A | RANJAN KARMAKAR HUF                   | SCN UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE               | EAD-8/AS/AK/40181/1/2022 | 12-12-2022 |
| AAPCS4843R | SAGAROTHARAKA VANIJYA PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/40399/1/2022 | 12-12-2022 |
| AAPHR3293F | RANJEET SINGH BAID HUF                | SCN UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE               | EAD-8/AS/AK/40199/1/2022 | 12-12-2022 |

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| AAQCS8259L | SAAKSHEE SALES PRIVATE LIMITED  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/40375/1/2022 | 12-12-2022 |
| AARCS0082L | SAFALTA VINIMAY PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/40388/1/2022 | 12-12-2022 |
| AARFR9719A | RAKSHAK TRADERS                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/41039/1/2022 | 12-12-2022 |
| AAVHS3867D | SUDHIR KUMAR KHIRWAL HUF        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-8/AS/AK/43437/1/2022 | 12-12-2022 |
| AAZHS0892R | SANJAY KUMAR AGARWAL HUF        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.39035/1/2022  | 12-12-2022 |
| ABAHS3525H | SANJEEV MITTAL HUF              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.39024/1/2022  | 12-12-2022 |
| ABGDP1800J | SANTOSH DEVI                    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.42012/1/2022  | 12-12-2022 |

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| ACEPB6328Q | SUMAN BHATTER                            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                           | OUTWARD NO.41514/1/2022                   | 12-12-2022 |
| ADYPG3727C | VIVEK COMPANY                            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                           | OUTWARD NO.44968/1/2022                   | 12-12-2022 |
| AMCPK8964B | DEVENDRA KUMAR SHARMA                    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                           | OUTWARD NO.44236/1/2022                   | 12-12-2022 |
| AAACW9754E | WEIRD INFRASTRUCTURE CORPORATION LIMITED | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                               | WTM/PS/24/NRO/JULY/2015                   | 12-12-2022 |
| AABCC0334M | M/S CHANDRIKA DEALCOM PRIVATE LIMITED    | ADJUDICATING PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                   | SEBI/HO/IMD/IMD-1/DOF1//P/OW/2022/35773/1 | 12-12-2022 |
| AABCF4251E | FALKON INDUSTRIES INDIA LIMITED          | UNDER SECTIONS 11, 11(4), LLA AND LLB OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF FALKON INDUSTRIES INDIA LIMITED                                                                                             | WTM/PS/79/ERO/OCT/2015                    | 12-12-2022 |
| AACCV9807F | VAIBHAV PARIWAR INDIA PROJECTS LIMITED   | UNDER SECTIONS 11(1), 11( 4), 11,A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                          | WTM/PS/143/ERO/JAN/2016                   | 12-12-2022 |
| AADCC6789J | CHERRY PROJECTS PVT. LTD.                | ADJUDICATION PROCEEDINGS IN RESPECT OF CHERRY PROJECTS PVT LTD IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE - SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | SEBI/HO/IMD/IMD-1/DOF1/P/OW/38839/1       | 12-12-2022 |

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| AAFCP1275L | PRISM INFRACON LIMITED            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 AND SEBI (DEBENTURE TRUSTEES) REGULATIONS, 1993 | WTM/PS/160/IMD/ERO/FEB/2016                                                                                                    | 12-12-2022 |
| AAGCM8612H | MGH PROJECT INDIA LTD             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                  | WTM/GM/SEBI/ERO/IMD/37/2017-18                                                                                                 | 12-12-2022 |
| AAHCA9909Q | ATM AGRO PROJECTS INDIA LIMITED   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/PS/ERO/MAY/2016                                                                                                            | 12-12-2022 |
| AAJPB4769J | SACHINDRA NATH BHATTACHARYA       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                  | 12-12-2022 |
| AAOHR3968L | RATAN KUMAR SIKARIA HUF           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RTL TECHNOLOGIES PRIVATE LIMITED                | EAD-8/AS/AK/40219/1/2022                                                                                                       | 12-12-2022 |
| AAPCS8543L | SHINE INDIA INFRA PROJECT LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/97/2017                                                                                                   | 12-12-2022 |
| AARHR4213D | RANJIT KUMAR HUF                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                            | EAD-8/AS/AK/40205/1/2022                                                                                                       | 12-12-2022 |
| AARPI8233N | MANIRUL ISLAM                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF FALKON INDUSTRIES INDIA LIMITED                                                                              | WTM/PS/ERO/OCT/2015                                                                                                            | 12-12-2022 |
| ABIPH8726P | SYED SHOFIQUE HOSSAIN             | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | 12-12-2022 |

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| ACHPB8357J | BISWAJIT BHATTACHARYA     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF FALKON INDUSTRIES INDIA LIMITED                                             | WTM/PS/ERO/OCT/2015                                                                                                           | 12-12-2022 |
| ACJPH4538B | DILWAR HOSSAIN            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF FALKON INDUSTRIES INDIA LIMITED                                             | WTM/PS/ERO/OCT/2015                                                                                                           | 12-12-2022 |
| ADGPL3888E | BINAY KUMAR LALL          | UNDER SECTIONS 11(1), 11( 4), 11,A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                          | WTM/PS/143/ERO/JAN/2016                                                                                                       | 12-12-2022 |
| AEBPG4001N | TAIMUR ALI GAYEN          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | WTM/PS/ERO/MAY/2016                                                                                                           | 12-12-2022 |
| AEFPD9926H | MR. GOPAL DALAPATI        | UNDER SECTIONS 11 AND 11N OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                               | WTM/PS/24/NRO/JULY/2015                                                                                                       | 12-12-2022 |
| AFIPC2205A | MR. AVIJIT CHATTERJEE     | UNDER SECTIONS 11 AND 11N OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                               | WTM/PS/24/NRO/JULY/2015                                                                                                       | 12-12-2022 |
| AFQPD0757C | CHANDRANI DUTTA           | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                    | SEBI/HO/IMD/IMD-1/DOF1/P/OW/2022/35808/1                                                                                      | 12-12-2022 |
| AGMPR5640P | SHOME SHANKAR RAY         | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                               | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | 12-12-2022 |
| AGUPC5065H | SMT. PRITI RANI CHOWDHURY | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/GM/IMD/63/2018-19                                                                                                         | 12-12-2022 |
| AGUPC5065H | SMT. PRITI RANI CHOWDHURY | UNDER SECTIONS 11(1), 11(4), 11A AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                        | WTM/SM/ERO/ERO/9710/2020-21                                                                                                   | 12-12-2022 |
| AGUPD3964E | MR. SANJAY KUMAR DAS      | UNDER SECTIONS 11 AND 11N OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                               | WTM/PS/24/NRO/JULY/2015                                                                                                       | 12-12-2022 |
| AHCPJ1271D | MR. MUKUND YADU JAMBHALE  | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005. | ADJUCATION ORDER NO PG/AB/AO-24/20/2012                                                                                       | 12-12-2022 |

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| AHLPG4351N | KOUSHIK GHOSH                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 AND SEBI (DEBENTURE TRUSTEES) REGULATIONS, 1993    | WTM/PS/160/IMD/ERO/FEB/2016         | 12-12-2022 |
| AIIPA2213P | TASLIM ANSARY                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF FALKON INDUSTRIES INDIA LIMITED                                                                                 | WTM/PS/ERO/OCT/2015                 | 12-12-2022 |
| AJFPG5051P | MR. CHAND MOHAN GHOSH        | UNDER SECTIONS 11 AND 11N OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                   | WTM/PS/24/NRO/JULY/2015             | 12-12-2022 |
| AJUPT3341C | MR. SACHIN KUMAR THAKUR      | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                   | WTM/PS/24/NRO/JULY/2015             | 12-12-2022 |
| AJUPT3341C | MR. SACHIN KUMAR THAKUR      | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                            | WTM/AB/NRO/20/2020-21               | 12-12-2022 |
| AJUPT3341C | MR. SACHIN KUMAR THAKUR      | UNDER SECTIONS 11(1), 11(4), 11(A) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                              | WTM/PS/166/ERO/FEB/2016             | 12-12-2022 |
| AKIPB6561F | LAXMANBHAI SITARAMBHAI BHOYA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF FALKON INDUSTRIES INDIA LIMITED                                                                                 | WTM/PS/ERO/OCT/2015                 | 12-12-2022 |
| AKNPK3850F | SANJAY KUMAR KOCHAR          | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                       | SEBI/HO/EAD/AK/OW/2022/42798/30     | 12-12-2022 |
| AMPPP5677D | AJOY PAUL                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                   | WTM/SM/ERO/9710/2020-21             | 12-12-2022 |
| ANKPG5521D | CHANDRA GHOSH                | ADJUTICATION PROCEEDINGS IN RESPECT OF CHANDRA GHOSH IN THE MATTER OF DEALINS IN ILLIQUID STOCK OPTIONS AT BSE - SHOW CAUSE NOTIVE UNDER RULE 4(1) OF THE SEBI (PROEDURE FOR HOLDING INQUIRY AND IMPOSINT PENALTIES) RULES 1995 | SEBI/HO/IMD/IMD-1/DOF1/P/OW/36327/1 | 12-12-2022 |
| ANUPJ8465D | MR. JADUNATH JENA            | UNDER SECTIONS 11 AND 11N OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                   | WTM/PS/24/NRO/JULY/2015             | 12-12-2022 |

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| AODPG3970J | TAPAS GHOSH           | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | 12-12-2022 |
| AOGPG4013B | PRADYUT KUMAR GHOSH   | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | 12-12-2022 |
| AOJPR4225D | RAJESH KUMAR RAI      | UNDER SECTIONS 11(1), 11( 4), 11,A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                            | WTM/PS/143/ERO/JAN/2016                                                                                                       | 12-12-2022 |
| AOJPR4226A | INDRAKALA RAI         | UNDER SECTIONS 11(1), 11( 4), 11,A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                            | WTM/PS/143/ERO/JAN/2016                                                                                                       | 12-12-2022 |
| APDYG4586R | MITHU GHOSH           | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | 12-12-2022 |
| APFDH7958P | SYED SAFKAT HOSSAIN   | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | 12-12-2022 |
| AQQPR5328E | MANOJ KUMAR RAI       | UNDER SECTIONS 11(1), 11( 4), 11,A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                            | WTM/PS/143/ERO/JAN/2016                                                                                                       | 12-12-2022 |
| ARNPM5830G | KOUSHIK MUKHERJEE     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                   | WTM/GM/SEBI/ERO/IM D/37 /2017-18                                                                                              | 12-12-2022 |
| ASWPB3847N | MR. BHABAGRAHI BEHERA | UNDER SECTIONS 11 AND 11N OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                 | WTM/PS/24/NRO/JULY/2015                                                                                                       | 12-12-2022 |
| AUEPB3112A | MR. SANATAN BANERJEE  | UNDER SECTIONS 11 AND 11N OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                 | WTM/PS/24/NRO/JULY/2015                                                                                                       | 12-12-2022 |

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| AVCPM2314E | AFZAL MIAH                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF FALKON INDUSTRIES INDIA LIMITED                                                                              | WTM/PS/ERO/OCT/2015                                                                                                           | 12-12-2022 |
| AVUPS8738C | NAVIN PRATAP SINGH         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 AND SEBI (DEBENTURE TRUSTEES) REGULATIONS, 1993 | WTM/PS/160/IMD/ERO/FEB/2016                                                                                                   | 12-12-2022 |
| AXYPD2036N | MANGLUBHAI CHILYABHAI DHUM | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF FALKON INDUSTRIES INDIA LIMITED                                                                              | WTM/PS/ERO/OCT/2015                                                                                                           | 12-12-2022 |
| AYDPB5615K | SUDIP BANERJEE             | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                | INTERIM ORDER CUN SHOW CAUSE NOTIE UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 | 12-12-2022 |
| AZAPA3366Q | MR. SEKH RANJAN ALI        | UNDER SECTIONS 11 AND 11N OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                | WTM/PS/24/NRO/JULY/2015                                                                                                       | 12-12-2022 |
| BCJPM2413D | SAJAHAN MIDYA              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES ) REGULATIONS, 2008 ABD SEBI(DEBENTURE TRUSTEES) REGULATIONS , 1993   | WTM/PS/60/IMD/ERO/FE B/2016                                                                                                   | 12-12-2022 |
| BUOPK6993F | BUDHAN CHANDRA KUNDU       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF FALKON INDUSTRIES INDIA LIMITED                                                                              | WTM/PS/ERO/OCT/2015                                                                                                           | 12-12-2022 |
| CCQPS8194F | LITAN SAHA                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/SM/ERO/9710/2020-21                                                                                                       | 12-12-2022 |
| DAPPS8724B | MR. SOMNATH SANTRA         | UNDER SECTIONS 11 AND 11N OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                | WTM/PS/24/NRO/JULY/2015                                                                                                       | 12-12-2022 |
| AADHR3379C | RITU RAJ AGRAWAL HUF       | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                    | SEBI/HO/MRD2/MRD2_I CC2/9/OW/2022/452 09/1                                                                                    | 12-12-2022 |
| ALXPS6979E | RITU SINGHANIA             | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                    | SEBI/HO/MRD2/MRD2_I CC2/9/OW/2022/452 15/1                                                                                    | 12-12-2022 |

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| AABCT3010D | T H VAKIL SHARES & SECURITIES P LTD. | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. BM/AO- 108/2010              | 19-12-2022 |
| AKRPK7116L | RAMDAS KSHIRSAGAR                    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO.: - PKK/AO/274/2010           | 19-12-2022 |
| AFXPC6574P | VIJAY KUMAR CHAUDHARY                | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                  | SEBI/HO/EFD2/EFD2_SL D2/P/OW/2022/4222 4/1          | 19-12-2022 |
| AIPPC9212K | PRABIR CHOWDHURY                     | UNDER SECTIONS 11(1), 11(4) 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF BISHAI ABASAN INDIA LIMITED                                              | WTM/GM/IMD/63/2018-19                               | 19-12-2022 |
| AQYPK8593N | MANOJ KUMAR                          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                           | WTM/PS/109/ERO/BLO/D EC/2015                        | 19-12-2022 |
| AJNPB0934C | MR. MRIDUL KANTI BHAUMIK             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/122/IMD-ERO/DEC/2015                         | 19-12-2022 |
| ACZPD8269R | PRADIP DAS                           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/15/ERO/APR/2016                              | 19-12-2022 |
| AKLPR6157J | AJIJUR RAHAMAN                       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008        | WTM/PS/119/IMD-ERO/DEC/2015                         | 19-12-2022 |
| BXUPS5883F | BABLU SANFUI                         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/168/ERO/FEB/2016                             | 19-12-2022 |
| BEZPS2003H | MR. VIKAS SAINI                      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23 I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                     | ADJUDICATION ORDER: ORDER/AP/SK/2020-21-10071-10075 | 19-12-2022 |

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| AENPN4881R | BIBHUTI BHUSAN NANDA                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ADARSH WEALTH VENTURES LIMITED                                                       | WTM/PS/107/ERO/BLO/D EC/2015              | 19-12-2022 |
| AACCV8003B | VIEWPOINT MARKETING PRIVATE LIMITED | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                               | SEBI/HO/EFD2/EFD2_SLD2/P/OW/2022/42211 /1 | 19-12-2022 |
| ASZPA9649Q | SUJIT ACHARJEE                      | UNDER SECTIONS 11(1), 11(4) 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF BISHAI ABASAN INDIA LIMITED                                                           | WTM/GM/IMD/63/2018-19                     | 19-12-2022 |
| BDJPS3387K | BIRJU KUMAR SHARMA                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                           | WTM/PS/171/IMD-ERO/MAR/2016               | 19-12-2022 |
| AASHS0443M | SANJEEV KANODIA HUF                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                       | EAD-6/AK/BS/50513/1/2022                  | 19-12-2022 |
| AESPC7283B | MR. AJOY CHAKRABORTY                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008. IN RESPECT OF: | WTM/RKA/EFD/135/2016                      | 19-12-2022 |
| AHUPC4690H | MR. SANJIT CHAKRABORTY              | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008. IN RESPECT OF: | WTM/RKA/EFD/135/2016                      | 19-12-2022 |
| AJKPA9285C | SHRI RAJU ACHARJYA                  | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RELIABLE MULTI MANAGERIAL SERVICES LTD.                                                   | WTM/AB/EFD-1/DRA-4/17/2018-19             | 19-12-2022 |
| AOLPG4335H | AJAY GOSAI                          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                           | WTM/MPB/EFD-1-DRA-IV/65/2017              | 19-12-2022 |

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| AXIPS2067E | SNEHASISH SARKAR                                         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/PS/95/ERO-IMD/DEC/2015                            | 19-12-2022 |
| CASPK9438A | ARINDAM KUNDU                                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/MPB/EFD-1-DRA-IV/85/2017                          | 19-12-2022 |
| AACCT2139G | TIRUMALA COMMERCIAL AND CAPITAL SERVICES PRIVATE LIMITED | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                         | SEBI/HO/LAD1/LAD1_D<br>OP4/P/OW/2022/000<br>0041532/1 | 19-12-2022 |
| AAECT8281D | TIMELINK VYAPAAR PRIVATE LTD                             | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                         | SEBI/HO/LAD1/LAD1_D<br>OP4/P/OW/2022/000<br>0039455/1 | 19-12-2022 |
| AAECV1457D | VISHWAMITRA INTERNATIONAL INFRA LIMITED                  | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                  | WTM/RKA/EFD/92/2016                                   | 19-12-2022 |
| AEVPT7357L | THAKKER PRAGNESH BHUPENDRABHAI                           | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                         | SEBI/HO/LAD1/LAD1_D<br>OP4/P/OW/2022/000<br>0041865/1 | 19-12-2022 |
| AFOPT8328K | GANESH THAKUR                                            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT, 1956      | WTM/SM/ERO/ERO/9172/2020-21                           | 19-12-2022 |
| AFVPP6295E | ASHOK PATTNAIK                                           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED | WTM/PS/106/ERO/BLO/D<br>EC/2015                       | 19-12-2022 |
| AGWPD4747K | DEBASISH DAS                                             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                  | WTM/PS/166/ERO/FEB/2<br>016                           | 19-12-2022 |
| AJPPM0546D | SUBRATA MANNA                                            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                       | WTM/GM/IMD/49/2017-18                                 | 19-12-2022 |
| AJXPC4970D | DEBAJYOTI CHAKRABORTY                                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                       | WTM/GM/94/2018-19                                     | 19-12-2022 |
| AKKPS7894Q | AMITAVA SARKAR                                           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/MPB/EFD-1-DRA-IV/155/2018                         | 19-12-2022 |
| AMFPD5940F | SUSWETA DUTTA                                            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                       | WTM/GM/SEBI/ERO/IM<br>D/01/APR/2017                   | 19-12-2022 |

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| APSPG1415Q | PRODYUMMA KUMAR GHOSH                   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                               | WTM/GM/IMD/49/2017-18                                       | 19-12-2022 |
| AWMPM2320F | MR. SANTOSH SHRAWAN MALI                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 - IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 31, 2015 IN THE MATTER OF PROSPERITY AGRO INDIA LIMITED | WTM/GM/EFD/40/2017-18                                       | 19-12-2022 |
| BBMPM9254J | ANUP KUMAR MAITI                        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/141/2018                               | 19-12-2022 |
| BJJPM1012K | DEENANATH MAURYA                        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/PS/83/NRO/IMD/NOV/2015                                  | 19-12-2022 |
| BLXPS0512A | ASHOK SAW                               | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT, 1956                                                                                                                                                              | WTM/SM/ERO/ERO/9172/2020-21                                 | 19-12-2022 |
| BNVPS8079L | MUKESH SINGH                            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT, 1956                                                                                                                                                              | WTM/SM/ERO/ERO/9172/2020-21                                 | 19-12-2022 |
| BSSPS9845L | PURNENDU SANTRA                         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                               | WTM/GM/IMD/49/2017-18                                       | 19-12-2022 |
| AAACA5463G | ABL BIOTECHNOLOGIES LTD.                | ADJUDICATION ORDER IN THE MATTER OF ABL BIOTECHNOLOGIES LTD.                                                                                                                                                                                                                                              | SEBI LETTER NO.EAD/BJD/NJMR/12476/2018 DATED APRIL 24, 2018 | 19-12-2022 |
| AABTT9593Q | TANVI KABRA BENEFIT TRUST               | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                         | SEBI/HO/EFD2/SAT-LIT/P/OW/36350/1/2022                      | 19-12-2022 |
| AACCA2123R | AAWAS CONSTRUCTION PRIVATE LIMITED      | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                  | SEBI/HO/LAD2/LAD2_D RAI/P/OW/2022/0000034269/1              | 19-12-2022 |
| AADCS6971Q | STHIRLAKSHMI MERCANTILE PRIVATE LIMITED | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                  | SEBI/HO/LAD2/LAD2_D RAI/P/OW/2022/0000034226/1              | 19-12-2022 |

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| AAECS7186C | SUBH CHINTAK<br>COMMOTRADE PVT. LTD             | ADJUDICATION PROCEEDING IN THE<br>MATTER OF DEALINGS IN II LIQUID<br>STOCK OPTIONS<br>(ISO) AT BSE                                                                                                              | SEBI/HO/LAD2/LAD2_D<br>RAII/P/OW/2022/000<br>0034213/1     | 19-12-2022 |
| AAMCS5250P | SPRINT MARKETING PVT.<br>LTD                    | ADJUDICATION PROCEEDING IN THE<br>MATTER OF DEALINGS IN II LIQUID<br>STOCK OPTIONS<br>(ISO) AT BSE                                                                                                              | SEBI/HO/LAD2/LAD2_D<br>RAII/P/OW/2022/000<br>0034194/1     | 19-12-2022 |
| AANCS0444G | STRATEGIC VANIJYA<br>PRIVATE LIMITED            | ADJUDICATION PROCEEDING IN THE<br>MATTER OF DEALINGS IN II LIQUID<br>STOCK OPTIONS<br>(ISO) AT BSE                                                                                                              | SEBI/HO/LAD2/LAD2_D<br>RAII/P/OW/2022/000<br>0034217/1     | 19-12-2022 |
| AAOCS2233C | SRIRAM COMMOSALE<br>PRIVATE LIMITED             | ADJUDICATION PROCEEDING IN THE<br>MATTER OF DEALINGS IN II LIQUID<br>STOCK OPTIONS<br>(ISO) AT BSE                                                                                                              | SEBI/HO/LAD2/LAD2_D<br>RAII/P/OW/2022/000<br>0034249/1     | 19-12-2022 |
| AAPCS3334R | STARSHINE COMMODITIES<br>MARKET PRIVATE LIMITED | ADJUDICATION PROCEEDING IN THE<br>MATTER<br>OF DEALINGS IN II LIQUID STOCK<br>OPTIONS (ISO) AT BSE                                                                                                              | SEBI/HO/LAD2/LAD2_D<br>RAII/P/OW/2022/000<br>0034229/1     | 19-12-2022 |
| ACUPV1795B | VINOD PATEL                                     | UNDER SECTION 15-I OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | ADJUDICATION ORDER<br>NO. BM/AO- 22/2010                   | 19-12-2022 |
| AFBPP0203Q | DALSUKHBHAI PATEL                               | UNDER SECTION 15-I OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | ADJUDICATION ORDER<br>NO. BM/AO- 19/2010                   | 19-12-2022 |
| AFXQA4536B | NAVIN PATEL                                     | UNDER SECTION 15-I OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | ADJUDICATION ORDER<br>NO. BM/AO- 37/2010                   | 19-12-2022 |
| AFYPJ2696E | JAYESH KUMAR SHAH                               | UNDER SECTION 15-I OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 READ WITH RULE 5 OF<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES BY ADJUDICATING<br>OFFICER)<br>RULES, 1995 | ADJUDICATION ORDER<br>NO. BM/AO- 36/2010                   | 19-12-2022 |
| ALFPG6480L | MR. BHARAT GUPTA                                | UNDER SECTION 15-I OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992 AND SECTION 23 I OF<br>SECURITIES CONTRACTS<br>(REGULATION) ACT, 1956                                                              | ADJUDICATION ORDER:<br>ORDER/AP/SK/2020-21-<br>10071-10075 | 19-12-2022 |

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| AMEPS8521L | TAPAN SARKAR                               | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALING IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                | SEBI/HO/EFD2/SAT-LIT/P/OW/36284/1/2022              | 19-12-2022 |
| AOFPG8504E | MS. ANITA GUPTA                            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23 I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                                                                                                                                         | ADJUDICATION ORDER: ORDER/AP/SK/2020-21-10071-10075 | 19-12-2022 |
| BDUPK1521Q | MR. VINOD KUMAR                            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23 I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                                                                                                                                         | ADJUDICATION ORDER: ORDER/AP/SK/2020-21-10071-10075 | 19-12-2022 |
| BHIPM5966R | SWATI MAHESHWARI                           | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                      | SEBI/HO/EFD2/SAT-LIT/P/OW/36404/1/2022              | 19-12-2022 |
| BJLPD2873H | VARSHA DHANDHARIA                          | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                      | SEBI/HO/EFD2/AO/PKS/AR/2022/42526/1                 | 19-12-2022 |
| AAAHU1239F | UMESH KUMAR TULSYAN HUF                    | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                      | SEBI/HO/EFD-1/DRA-4/AA/32750/6/2022                 | 19-12-2022 |
| AABCU3449D | URJA MULTITRADE PRIVATE LIMITED            | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                      | SEBI/HO/EFD-1/DRA-4/AA/32750/21/2022                | 19-12-2022 |
| AADCI0486L | IPN DEVELOPERS & ALLIED LIMITED            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                  | WTM/MPM/EFD-1-DRA-III/152/2018                      | 19-12-2022 |
| AADCV4004B | VINAYAK HOMES & REAL ESTATE LIMITED        | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET REGULATIONS, 2003. | WTM/MB/WRO/WRO/5275/2019-20                         | 19-12-2022 |
| AAECR6852L | RAMEL REAL ESTATE & INFRASTRUCTURE LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                  | WTM/PS/53/ERO-IMD/FEB/2016                          | 19-12-2022 |

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| AAICS5911M | SWASATA CEMENT LIMITED     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                   | WTM/MPB/EFD-1-DRA-IV/130/2018       | 19-12-2022 |
| ACEPC5756F | SATYA RANJAN CHAUDHURI     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                   | WTM/MPB/EFD-1-DRA-IV /130/2018      | 19-12-2022 |
| ADIPY9791P | RAM SAMUJH YADAV           | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                               | WTM/PS/58/NRO-CIS/DEC/2014          | 19-12-2022 |
| AFYPN4413K | GANGADHARNAYAK             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ADARSH WEALTH VENTURES LIMITED                                                                                                                                                                                                               | WTM/PS/107/ERO/BLO/DEC/2015         | 19-12-2022 |
| AGLPK5139K | URMILA KUMARI              | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                       | SEBI/HO/EFD-1/DRA-4/AA/33432/5/2022 | 19-12-2022 |
| AGOPD6484H | CHANDRANI DAN              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                   | WTM/MPB/EFD-1-DRA-IV /130/2018      | 19-12-2022 |
| AGOPY4099F | SHRISHANKAR LAL YADAV      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                   | WTM/MPB /EFD-1-DRA-III/152/2018     | 19-12-2022 |
| AJYPV9387Q | CHANDRA PRAKASH VERMA      | UNDER SECTIONS 11, 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                                 | WTM/PS/58/NRO-CIS/DEC/2014          | 19-12-2022 |
| AKYPY9430C | YUVRAJ SHRIRAM MALAKAR     | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/MB/WRO/WRO/5275/2019-20         | 19-12-2022 |
| ALAPP3677Q | CHOUDHURY NIRANJAN PRADHAN | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ADARSH WEALTH VENTURES LIMITED                                                                                                                                                                                                               | WTM/PS/107/ERO/BLO/DEC/2015         | 19-12-2022 |

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| ALTPP5193K | SHRINAGESHWAR PANCHAL  | UNDER SECTIONS 11, 11(4),11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                      | WTM/MPB /EFD-1-DRA-III/152/2018             | 19-12-2022 |
| AUUPK3066A | MR. LALIT KUMAR        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 | WTM/PS/53/CIS-NRO/SEPT/2015                 | 19-12-2022 |
| BAVAM4368K | GANESWAR MAHANT        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992, IN THE MATTER OF ADARSH WEALTH VENTURES LIMITED                                 | WTM/PS/107/ERO/BLO/D EC/2015                | 19-12-2022 |
| BDJPG6082P | USHA GUPTA             | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/EFD-1/DRA-4/AA/33432/22/2022        | 19-12-2022 |
| BIGPD0520B | SHRIDILIP DEVDA        | UNDER SECTIONS 11, 11(4),11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                      | WTM/MPB /EFD-1-DRA-III/152/2018             | 19-12-2022 |
| BSMPS0016F | SWATI BAJAJ            | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/EFD2_SATLIT/P/OW/2022/31255/1       | 19-12-2022 |
| DOZPS1931J | SHRIHARI SINGH         | UNDER SECTIONS 11, 11(4),11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                      | WTM/MPB /EFD-1-DRA-III/152/2018             | 19-12-2022 |
| AAIHM2672Q | MANOJ KUMAR MITTAL HUF | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | AO/RRM/RV/OW/2022/39901/1                   | 19-12-2022 |
| AAKHA8273M | ATISH JHAWAR HUF       | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/EFD1/EFD1_DR A2/P/OW/2022/3382 2/21 | 19-12-2022 |
| AALHM5267Q | MANOJ KUMAR GOENKA HUF | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | AO/RRM/RV/OW/2022/45850/1                   | 19-12-2022 |
| AAWHS4326M | SURAJIT RAY BARMAN HUF | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/EFD2/AO/RLJ/P G/33020/2022          | 19-12-2022 |
| ABXPL4997R | ASHWANI KUMAR LAMBA    | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/EFD1/EFD1_DR A2/P/OW/2022/3382 2/8  | 19-12-2022 |
| ACUPJ8970E | SURENDRA KUMAR JOSHI   | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | PD1/AO/RLJ/SK/2022/34613/1                  | 19-12-2022 |
| ALIPS3240B | VIDYA DEVI SRIMAL      | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/EFD2/EFD2_SL D2/P/OW/2022/4220 4/1  | 19-12-2022 |

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| ATCPA4518Q | SURBHI AGARWAL                    | ADJUDICATION PROCEEDING IN THE MATTER OF DEALINGS IN II LIQUID STOCK OPTIONS (ISO) AT BSE                                                                                           | SEBI/HO/EFD2/AO/RLJ/P<br>G/33012/2022 | 19-12-2022 |
| AABCH8362A | HOOGHLY AGROTECH LIMITED          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/162/ERO/FEB/2<br>016           | 19-12-2022 |
| AABCJ6757B | JEEVAN SURAKSHA REAL ESTATE LTD.  | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/88/ERO/GLO/M<br>AR/2016        | 19-12-2022 |
| AADCG6079R | GOLDMINE FOOD PRODUCTS LIMITED    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/176/ERO/MAR/<br>2016           | 19-12-2022 |
| AAFCP0276P | PRAYAS PROJECTS INDIA LIMITED     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/PS/119/IMD-<br>ERO/DEC/2015       | 19-12-2022 |
| AAJCA6822C | ANGELA AGROTECH LTD.              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/171/IMD-<br>ERO/MAR/2016       | 19-12-2022 |
| AAJCA7529E | ASTHA TECHNO REALTY INDIA LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/168/ERO/FEB/2<br>016           | 19-12-2022 |
| AAOCS4472M | SANKALP PROJECTS LIMITED          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/14/IMD-<br>ERO/APR/2016        | 19-12-2022 |
| ADYPH1080N | ATIKULLA HOSSAIN                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/171/IMD-<br>ERO/MAR/2016       | 19-12-2022 |
| AGCPD2335D | MR. TOOFAN CHANDRA DEY            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/14/IMD-<br>ERO/APR/2016        | 19-12-2022 |
| AHPPB4561M | KAIZAR BISWAS                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/PS/119/IMD-<br>ERO/DEC/2015       | 19-12-2022 |

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| AHVPR6412M | MOHAMMAD JIAUR RAHAMAN      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/PS/119/IMD-ERO/DEC/2015  | 19-12-2022 |
| AIKPR4950J | NAROTTAM RAHA               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/168/ERO/FEB/2016      | 19-12-2022 |
| AJUPM2448K | MR. KSHITISH CHANDRA MANDAL | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/14/IMD-ERO/APR/2016   | 19-12-2022 |
| AKNPA2732Q | MS. DIPAMONI ACHARJEE       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/188/ERO/GLO/MAR/2016  | 19-12-2022 |
| ALXPB0550E | RONJIT BARIK                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/168/ERO/FEB/2016      | 19-12-2022 |
| AOZPK6009G | MR. SUBHASH KAR             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-III/154/2016 | 19-12-2022 |
| ASSPD0181D | MR. SUJIT DAS               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-III/154/2016 | 19-12-2022 |
| ATRPS8363A | RAJIV RANJAN SINGH          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/171/IMD-ERO/MAR/2016  | 19-12-2022 |
| AUDPB3525G | KEDAR CHANDRA BERA          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/162/ERO/FEB/2016      | 19-12-2022 |
| AWGPD7072F | KAMAL KRISHNA DEBNATH       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/168/ERO/FEB/2016      | 19-12-2022 |
| AYGPA0956M | MOHAMMED SAJJAD AKHTAR      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/171/IMD-ERO/MAR/2016  | 19-12-2022 |

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| BAXPM0769E | BIRANCHI NARAYAN MISHRA           | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/109/ERO/BLO/D EC/2015 | 19-12-2022 |
| BHIPM6479H | MR. RAKESH CHANDRA MONDAL         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/14/IMD-ERO/APR/2016   | 19-12-2022 |
| BLUPK3807K | MR. SUMA KARDAS                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-III/154/2016 | 19-12-2022 |
| BVLPK1203Q | SAMIR KESHARI                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/171/IMD-ERO/MAR/2016  | 19-12-2022 |
| BYKPM1104Q | BABLU MIA                         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/171/IMD-ERO/MAR/2016  | 19-12-2022 |
| AABCW0653M | WIN REALCON LTD                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| AAFCP3661A | PIOUS AGRO INDUSTRIES LTD.        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/175/ERO/IMD/MAR/2016  | 19-12-2022 |
| AAGCM8952L | MARS AGROFARM DEVELOPERS LIMITED  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/167/ERO/FEB/2016      | 19-12-2022 |
| AAICA6296M | ASSR AGRO INDIA LIMITED           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/69/2017 | 19-12-2022 |
| AAJCA7392R | ARYAN AGRO PROJECTS INDIA LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-IV/184/2016  | 19-12-2022 |
| AAVPO4270B | SHRI ROBIN OJHA                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-IV/184/2016  | 19-12-2022 |

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| AFQPR0048J | SHRI RAKESH RAUSHAN        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-IV/184/2016  | 19-12-2022 |
| AGHPT8453D | SHRI BIRENDRA THAKUR       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-IV/184/2016  | 19-12-2022 |
| AGXPM6268P | SMT. MONALISAMITRA         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/122/IMD-ERO/DEC/2015  | 19-12-2022 |
| AIMPD8612K | MR. MONORANJAN DEY         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/175/ERO/IMD/MAR/2016  | 19-12-2022 |
| AITPM9488K | SHRI ANIL KUMAR MISHRA     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-IV/184/2016  | 19-12-2022 |
| AJSPB1308F | JOY BHOWMICK               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| AJTPM9601P | SHRI SHAILESH KUMAR MISHRA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-IV/184/2016  | 19-12-2022 |
| AKHPM9487C | SHYAMAL MONDAL             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/69/2017 | 19-12-2022 |
| AKJPD8355N | RAJU DEY                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| AKQPD1001N | MR. LAXMI KANTA DAS        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/122/IMD-ERO/DEC/2015  | 19-12-2022 |

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| AMAPM5180D | SUBHANKAR MONDAL       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/69/2017 | 19-12-2022 |
| AMJPD0122F | RANABIR DAS            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| AMLPM2792C | MR. ABU TALEB MOHAMMOD | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/167/ERO/FEB/2016      | 19-12-2022 |
| AMYPD5063C | RAJIB DEBNATH          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| AMZPC7233N | SHRI MANOJ CHOUHAN     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-IV/184/2016  | 19-12-2022 |
| ANOPD6613K | SWAPAN DUTTA           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| AOQPD9121F | SHRI UTTAM DAS         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-IV/184/2016  | 19-12-2022 |
| APQPD7806Q | MR. PALAS CHANDRA DEY  | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/175/ERO/IMD/MAR/2016  | 19-12-2022 |
| ARNPD1804H | RITA DAS               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| AUOPD1957D | AMIT DEBNATH           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| AURPR4962P | SACHIN RAY             | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                        | WTM/GM/SEBI/89/2018-19       | 19-12-2022 |

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| AVAPB1280A | MR. CHIRANJIB BANERJEE            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/175/ERO/IMD/MAR/2016  | 19-12-2022 |
| AVJPP9442R | SANJIB PODDER                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| AWKPP2956L | RAGHU NATH PATRA                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/69/2017 | 19-12-2022 |
| AYCPS5612G | SUPRIYO SARKAR                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 19-12-2022 |
| BAWPA2323M | MR. MOHD.TANVEER AHMED            | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SEBI ACT, 1992 IN THE MATTER OF M/S STOCK INDICATION                                                                                    | WTM/GM/SRO/SRO/10346/2020-21 | 19-12-2022 |
| BDXPS9510G | GOPAL SAHA                        | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                        | WTM/GM/SEBI/89/2018-19       | 19-12-2022 |
| BKJPG7330K | MR. SUNNY GUPTA                   | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SEBI ACT, 1992 IN THE MATTER OF M/S STOCK INDICATION                                                                                    | WTM/GM/SRO/SRO/10346/2020-21 | 19-12-2022 |
| CBIPS7345R | SHRI ABADH KUMAR SINGH            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-IV/184/2016  | 19-12-2022 |
| CDUPS4544N | SUNITA SAHA                       | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/175/ERO/IMD/MAR/2016  | 19-12-2022 |
| AAACC9995N | CHARIOT INDIA PVT LTD             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE   | OUTWARD NO. 50385/1/2022     | 19-12-2022 |
| AAACS4529D | SUMERU PROCESSORS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE   | OUTWARD NO. 50383/1/2022     | 19-12-2022 |

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| AAACW8393H | WB GANAPATI SPONGE PROJECTS PVT LTD                                              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                       | EAD-6/AK/VV/51909/1/2022                    | 19-12-2022 |
| AACCI1617C | IMAX PROJECTS INDIA LIMITED                                                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                           | WTM/MPM/EFD-1-DRA-IV/48/2017                | 19-12-2022 |
| AACCI3436C | JUGANTOR REALTY LIMITED                                                          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008. IN RESPECT OF: | WTM/RKA/EFD/135/2016                        | 19-12-2022 |
| AADCD1769M | DIGSTAR PROJECTS LIMITED                                                         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF DIGSTAR PROJECTS LIMITED IN RESPECT OF :                                              | WTM/MPB/EFD-DRA4/8/2017                     | 19-12-2022 |
| AADCV1815E | VISWAROOP MARKETING PRIVATE LIMITED                                              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                       | SEBI/HO/DEPA-I/DEPA-I_RRD/P/OW/2022/39183/1 | 19-12-2022 |
| AAECB0693B | BSP INFRASTRUCTURE & CONSTRUCTION LIMITED (BICL)                                 | UNDER SECTIONS 11, 11(4), AND SECTION 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                       | WTM/AB/EFD-1/DRA-IV/13/2020-21              | 19-12-2022 |
| AAECR5851P | RELIABLE MULTI MANAGERIAL SERVICES LTD.                                          | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RELIABLE MULTI MANAGERIAL SERVICES LTD.                                                   | WTM/AB/EFD-1/DRA-4/17/2018-19               | 19-12-2022 |
| AAECR6307C | RTC PROPERTIES LIMITED                                                           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                           | WTM/MPB/EFD-1-DRA-IV/83/2017                | 19-12-2022 |
| AAFCA1262N | EJECTA MARKETING LIMITED (EARLIER KNOWN AS APPU MARKETING AND MANUFACTURING LTD) | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                               | FPI&C/AT/AA/36016/1/2022                    | 19-12-2022 |

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| AAFCM0698E | CHELSEA BLOCKS AND PIPES PRIVATE LIMITED          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO. 50387/2022       | 19-12-2022 |
| AAFHB0090J | BINOD AGARWAL HUF                                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO. 42522/1/2022     | 19-12-2022 |
| AAICA9397H | AMBITIOUS DIVERSIFIED PROJECTS MANAGEMENT LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | WTM/MPB/EFD-1-DRA-IV/85/2017 | 19-12-2022 |
| AAMCS9737P | SHREYSTH PRODUCTION INDUSTRIES LIMITED            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | WTM/MPB/EFD-1-DRA-IV/65/2017 | 19-12-2022 |
| AARCS2055D | SHANKALP FOOD AND BEVERAGES LIMITED               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | WTM/MPB/EFD-1-DRA-IV/53/2017 | 19-12-2022 |
| AAUHS1051F | SRINARAYAN SADANI HUF                             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-6/AK/VV/51908/1/2022     | 19-12-2022 |
| AAYHS6617M | SUMIT KUMAR DHANUKA HUF                           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO. 503878/1/2022    | 19-12-2022 |
| ACLPH2788P | IFTEKHAR HUSSAIN                                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | WTM/MPB/EFD-1-DRA-IV/85/2017 | 19-12-2022 |
| AEFPV2812Q | SHRI DILIP KUMAR VERMA                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | WTM/MPM/EFD-1-DRA-IV/48/2017 | 19-12-2022 |

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| AENPH1494N | MR. MD SHARIFUL HAQUE        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/27/ERO-RLO/IMD/MAY/2016 | 19-12-2022 |
| AEOPH4986G | MR. RAJA MAMUN HASAN         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/27/ERO-RLO/IMD/MAY/2016 | 19-12-2022 |
| AFYPN2168P | SARMISTHA ROY                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/83/2017   | 19-12-2022 |
| AGCPD2335D | SHRI TOOFAN CHANDRA DEY      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/14/IMD-ERO/APR/2016     | 19-12-2022 |
| AGUPC5743L | PRABIR CHAKRABORTY           | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008. | WTM/RKA/EFD/180/2016           | 19-12-2022 |
| AGUPR7778Q | KARUNAMAY ROY                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/83/2017   | 19-12-2022 |
| AHFPH2742C | MR. MORSHED MEHEDI HOSSAIN   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/27/ERO-RLO/IMD/MAY/2016 | 19-12-2022 |
| AIMPD4441Q | SHRI PINTU DUTTA             | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RELIABLE MULTI MANAGERIAL SERVICES LTD.                                    | WTM/AB/EFD-1/DRA-4/17/2018-19  | 19-12-2022 |
| AJCPD8074A | SANKAR DAS                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/65/2017   | 19-12-2022 |
| AJGPC0937R | MR. SUJAY CHAKRABORTY        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008. | WTM/RKA/EFD/135/2016           | 19-12-2022 |
| AJUPM2448K | SHRI KSHITISH CHANDRA MANDAL | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/14/IMD-ERO/APR/2016     | 19-12-2022 |

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| AKKPR3095A | SIDDHARTHA SANKAR ROY        | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                     | WTM/MPB/EFD-1-DRA-IV/27/2018   | 19-12-2022 |
| AKZPR6202Q | LR OF SABYASACHI ROY         | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                     | WTM/MPB/EFD-1-DRA-IV/27/2018   | 19-12-2022 |
| ALUPK1326J | NIMAI KUMBHAKAR              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/85/2017   | 19-12-2022 |
| ANAPD9529Q | PRAMESH DAS                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/65/2017   | 19-12-2022 |
| APUPS6554G | SATYAJEET KUMAR SINGH        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/83/2017   | 19-12-2022 |
| AQTPD5941J | JITENDRA SINGH DAGALA        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 IN THE MATTER OF RELIABLE MEGA PROJECTS LTD. | WTM/GM/WRO/11/2018-19          | 19-12-2022 |
| AQVPK5541K | SHRI KANHAIYA SINGH KUSHWAHA | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RELIABLE MULTI MANAGERIAL SERVICES LTD.                                                                            | WTM/AB/EFD-1-DRA-4/17/2018-19  | 19-12-2022 |
| AQXPA6875G | MR. WASHIM RAJA ANASARI      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/PS/27/ERO-RLO/IMD/MAY/2016 | 19-12-2022 |
| ARIPM6971F | JIBAN MITRA                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/83/2017   | 19-12-2022 |
| ASEPB1952G | NANDALAL BALTI               | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.                                         | WTM/RKA/EFD/180/2016           | 19-12-2022 |

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| ATFPM8729G | MADHUSUDAN MAKWANA    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 IN THE MATTER OF RELIABLE MEGA PROJECTS LTD. | WTM/GM/WRO/11/2018-19          | 19-12-2022 |
| ATTPS0036J | SHRI VIDYASAGAR SINGH | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/48/2017   | 19-12-2022 |
| AVPPB2371M | BHAGWATI BAI          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 IN THE MATTER OF RELIABLE MEGA PROJECTS LTD. | WTM/GM/WRO/11/2018-19          | 19-12-2022 |
| AWBPG1988J | SHRI OMPRAKASH GUPTA  | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RELIABLE MULTI MANAGERIAL SERVICES LTD.                                                                            | WTM/AB/EFD-1/DRA-4/17/2018-19  | 19-12-2022 |
| AXJPP2766J | ROHIT PATWA           | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 IN THE MATTER OF RELIABLE MEGA PROJECTS LTD. | WTM/GM/WRO/11/2018-19          | 19-12-2022 |
| AXVPP2389P | KRISHNA NAND PATHAK   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/65/2017   | 19-12-2022 |
| AYAPM9092Q | APURBA KUMAR MONDOL   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/85/2017   | 19-12-2022 |
| AYNPR1829B | AMIT KUMAR ROY        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/83/2017   | 19-12-2022 |
| AYXPM0255E | MR. MINARUL MONDAL    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/PS/27/ERO-RLO/IMD/MAY/2016 | 19-12-2022 |

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| BDMPK8128B | DEVENDRA KUMAR                        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 IN THE MATTER OF RELIABLE MEGA PROJECTS LTD. | WTM/GM/WRO/11/2018-19        | 19-12-2022 |
| BFCPM9024G | SHRI TAPAN MONDAL                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/53/2017 | 19-12-2022 |
| BHIPP4346J | SANTOSH PANWAR                        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 IN THE MATTER OF RELIABLE MEGA PROJECTS LTD. | WTM/GM/WRO/11/2018-19        | 19-12-2022 |
| BKEPS2204R | BASUDEB SARDAR                        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                      | WTM/MPB/EFD-1-DRA-IV/27/2018 | 19-12-2022 |
| BQEPS6886B | RAHUL KUMAR SHAHI                     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.                                         | WTM/RKA/EFD/180/2016         | 19-12-2022 |
| BZPPS2613N | RAJOO SHAH                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/65/2017 | 19-12-2022 |
| CVFPS3456N | MOHAMMAD SOHAIB                       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/85/2017 | 19-12-2022 |
| AAACV4431F | EN AROMATIC & PETRO CHEMICALS LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/PS/83/NRO/IMD/NOV/2015   | 19-12-2022 |

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| AABCF3920E | M/S FUTURE GOLD<br>INFRABUILD INDIA LIMITED      | UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/GM/EFD/71/2017-18                                 | 19-12-2022 |
| AABCF8236B | FANTASY INFRAVENTURE &<br>AGRIMART INDIA LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/63/2017                          | 19-12-2022 |
| AABCH1425N | HAHNEMANN HERBAL<br>LIMITED                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/127/2018                         | 19-12-2022 |
| AACCI1577A | J S V DEVELOPER INDIA<br>LIMITED                 | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                                                   | WTM/PS/161/IMD/WRO-ILO/FEB/2016                       | 19-12-2022 |
| AACCI3999G | JIVAN SATHI DREAM<br>PROJECTS LIMITED            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/11/2017                          | 19-12-2022 |
| AACCI5266A | J K S PROJECTS LIMITED                           | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/94/2018-19                                     | 19-12-2022 |
| AACCT2471P | TOWER INFOTECH LTD                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/26/2018                          | 19-12-2022 |
| AACCT8417H | TIRUMALA ENCLAVE<br>PRIVATE LIMITED              | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                           | SEBI/HO/LAD1/LAD1_D<br>OP4/P/OW/2022/000<br>0041503/1 | 19-12-2022 |
| AADCD6196N | DREAMWAY INDUSTRIES<br>LTD                       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/IMD/49/2017-18                                 | 19-12-2022 |
| AADCN7151R | M/S NAVA DIGANTA CAPITAL<br>SERVICES LIMITED     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/23/2018                          | 19-12-2022 |

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| AADCR3601C | RIJU CEMENT LIMITED                                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/82/2017                          | 19-12-2022 |
| AADCT2033N | TOPSTAR TRADECOMM PVT LTD                            | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                            | SEBI/HO/LAD1/LAD1_D<br>OP4/P/OW/2022/000<br>0041403/1 | 19-12-2022 |
| AADCV3799B | VASUNDHARA REALCON LIMITED                           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/20/2017                          | 19-12-2022 |
| AADCV4403E | VISWAS REAL ESTATES AND INFRASTRUCTURE INDIA LTD     | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS,1999                                                                     | WTM/PS/04/CIS-SRO/HLO/APR/2015                        | 19-12-2022 |
| AADCV5860F | VIKDAS INDUSTRIES LIMITED                            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                     | WTM/PS/166/ERO/FEB/2016                               | 19-12-2022 |
| AAECG6236F | GOLDEN HEAVEN AGRO PROJECTS INDIA LTD                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                        | WTM/PS/164/ERO/FEB/2016                               | 19-12-2022 |
| AAECK1605J | KEN INFRATECH LIMITED                                | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS,1999                                                                     | WTM/PS/54/CIS/NRO/DEC/2014                            | 19-12-2022 |
| AAECR6197A | RAINBOW INDUSTRIES AND CONSTRUCTION LIMITED          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT, 1956                                                                                                         | WTM/SM/ERO/ERO/9172/2020-21                           | 19-12-2022 |
| AAECR8282J | REAL VISION INTERNATIONAL LIMITED                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED                                                                                                    | WTM/PS/106/ERO/BLO/DEC/2015                           | 19-12-2022 |
| AAFCA7143Q | AROHAN TRUSTEE COMPANY PVT. LIMITED (INDIA ART FUND) | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS,1999 - IN RESPECT OF AND IN THE MATTER OF, AROHAN TRUSTEE COMPANY PRIVATE LIMITED. | WTM/AB/EFD1/EFD1-DRA3/7492/2020-21                    | 19-12-2022 |

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| AAGCA7035E | ASSURE AGROWTECH LTD.                                  | UNDER SECTIONS 11(1), 11(4), 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/25/IMD-CIS/SRO/MAY/2016           | 19-12-2022 |
| AAMCS5786L | SARADA PLEASURE & ADVENTURE LIMITED                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                              | WTM/PS/118/IMD/ERO-PLO/DEC/2015          | 19-12-2022 |
| AAOCS3538A | SKYLARK LAND DEVELOPERS & INFRASTRUCTURE INDIA LIMITED | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO. RA/JP/40- 44/2016 | 19-12-2022 |
| AARCS1081P | SHREEBHUMI CONSTRUCTION LTD                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | WTM/MPB/EFD-1-DRA-IV/4/2018              | 19-12-2022 |
| AASCS8925M | SKYMARG AGRO INDUSTRIES INDIA LIMITED                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | WTM/MPB/EFD-1-DRA-IV/44 /2017            | 19-12-2022 |
| ABAPY8539M | MR. DURGA PRASAD YADAV                                 | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO. RA/JP/40- 44/2016 | 19-12-2022 |
| ABXPY7352F | ASHOK KUMAR YADAV                                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | WTM/PS/164/ERO/FEB/2016                  | 19-12-2022 |
| ACIPI3318R | MOHD ALI IMAM                                          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                 | WTM/GM/94/2018-19                        | 19-12-2022 |
| ACOPN1603L | SMT. SUBARNA NAIK                                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | WTM/MPB/EFD-1-DRA-IV/23/2018             | 19-12-2022 |

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| ACPPY3360C | MR. DATTATRAY MADHAV YADAV | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 - IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 31, 2015 IN THE MATTER OF PROSPERITY AGRO INDIA LIMITED | WTM/GM/EFD/40/2017-18         | 19-12-2022 |
| ACTPC0530E | RAMEN CHATTERJEE           | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                          | WTM/PS/166/ERO/FEB/2016       | 19-12-2022 |
| ADJPP0069J | SHRI KARTIKEYA PARIDA      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/23/2018  | 19-12-2022 |
| ADLPB4942L | UDAYAN BANERJEE            | UNDER SECTIONS 11 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/26/2018  | 19-12-2022 |
| ADOPG8643G | SHILAJIT GHOSH             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/141/2018 | 19-12-2022 |
| AFDPT9966L | SANJAY B TENGINKAI         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                         | WTM/PS/28/EFD/CIS/MAY/2016    | 19-12-2022 |
| AFFPH5989B | SHRI RAMACHANDRA HANSDAH   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/23/2018  | 19-12-2022 |
| AGHPT8453D | BIRENDRA THAKUR            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008                                                                                                                       | WTM/RKA/EFD-DRA-IV/184/2016   | 19-12-2022 |
| AHUPB3853F | PRADIP KUMAR BERA          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/PS/164/ERO/FEB/2016       | 19-12-2022 |
| AICPC0615M | MANISH KUMAR CHAND         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                          | WTM/RKA/EFD/92/2016           | 19-12-2022 |

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| AIFPA8537P | VIDYA BHUSHAN AMBASTHA     | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                              | WTM/AB/NRO/20/2020-21            | 19-12-2022 |
| AIFPN1886Q | PRASANNA KUMAR NAYAK       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED | WTM/PS/106/ERO/BLO/D EC/2015     | 19-12-2022 |
| AIFPV5203P | MR. BHASKAR BHAO VASAGE    | ON REPRESENTATION DATED JANUARY 29, 2018 IN THE MATTER OF NETWORTH MARKETING LIMITED WITH RESPECT TO ORDER DATED AUGUST 28, 2017                  | WTM/GM/EFD/45/2018-19            | 19-12-2022 |
| AIUPC8800E | BANDANA CHAND              | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                  | WTM/RKA/EFD/92/2016              | 19-12-2022 |
| AIXPM8121D | RUNA MAZUMDER              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/MPB/EFD-1-DRA-IV/77/2017     | 19-12-2022 |
| AIXPN4533G | RAFAT NAZ                  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                       | WTM/GM/SEBI/ERO/IM D/01/APR/2017 | 19-12-2022 |
| AIXPY8341D | VINDOD YADAV               | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                              | WTM/AB/NRO/20/2020-21            | 19-12-2022 |
| AJDPB3589R | SHRI HITESH KUMAR BAGARTTI | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/MPB/EFD-1-DRA-IV/23/2018     | 19-12-2022 |
| AJGPM6875J | RASHMI RANJAN MOHANTY      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED | WTM/PS/106/ERO/BLO/D EC/2015     | 19-12-2022 |
| AJHPB0531D | GOUTAM BANERJEE            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/MPB/EFD-1-DRA-IV/127/2018    | 19-12-2022 |
| AJJPC6225B | PRADIP CHAKRABORTY         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/MPB/EFD-1-DRA-IV/11/2017     | 19-12-2022 |
| AJKPB5669B | SUKANTA BISWAL             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED | WTM/PS/106/ERO/BLO/D EC/2015     | 19-12-2022 |

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| AJNPB1075C | SANTI RAJAN BANERJEE              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/127/2018                         | 19-12-2022 |
| AJWPM6802H | HIMANGSHU MUKHERJEE               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/155/2018                         | 19-12-2022 |
| AJZPS9876J | TARA DEVI SHYAMSUKHA              | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                 | SEBI/HO/LAD1/LAD1_D<br>OP4/P/OW/2022/000<br>0039473/1 | 19-12-2022 |
| AKMPR3510N | SHUBHANKAR RAY                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                                                                                                                                            | WTM/PS/118/IMD/ERO-PLO/DEC/2015                       | 19-12-2022 |
| ALAPK2141F | MR. JAIHIND KUMAR                 | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                               | ADJUDICATION ORDER<br>NO. RA/JP/40- 44/2016           | 19-12-2022 |
| ALAPR1414Q | MR. SHANMUGAM<br>RAJENDRAN        | UNDER SECTIONS 11(1), 11(4), 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                          | WTM/PS/25/IMD-CIS/SRO/MAY/2016                        | 19-12-2022 |
| ALAPS2173D | ASHIS SARKAR                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/20/2017                          | 19-12-2022 |
| ALMPB0423H | PRASIT KUMAR BISWAS               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/20/2017                          | 19-12-2022 |
| AMAPR0018H | ASIT ROY                          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/127/2018                         | 19-12-2022 |
| AMHPC6141M | MR. VANSHREE TUKARAM<br>CHIDRAWAR | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 - IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 31, 2015 IN THE MATTER OF PROSPERITY AGRO INDIA LIMITED | WTM/GM/EFD/40/2017-<br>18                             | 19-12-2022 |

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| AMZPC7233N | MANOJ CHAUHAN               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008                                                                                                                                                                                                 | WTM/RKA/EFD-DRA-IV/184/2016   | 19-12-2022 |
| ANNPB2618K | PARAMASISH BHADURY          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/155/2018 | 19-12-2022 |
| ANVPR7210H | SWAPAN ROY                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/82/2017  | 19-12-2022 |
| ANZPD5088R | PRADIP KUMAR DAS            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/44 /2017 | 19-12-2022 |
| AOGPG2613H | RAMESH PRASAD GUPTA         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/94/2018-19             | 19-12-2022 |
| APCPG9678K | TUSHAR GHOSH                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/94/2018-19             | 19-12-2022 |
| APDPA4103J | MOHAMMAD MUKHTAR ATIF       | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                | WTM/AB/NRO/20/2020-21         | 19-12-2022 |
| APDPP0190C | MR VINEET KUMAR PHALKE      | UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/GM/EFD/71/2017-18         | 19-12-2022 |
| APEPG1595F | BHASKAR GANGULY             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/IMD/49/2017-18         | 19-12-2022 |
| APLPM5152R | MR. BHALERAO YASHWANT MISAL | ON REPRESENTATION DATED JANUARY 29, 2018 IN THE MATTER OF NETWORTH MARKETING LIMITED WITH RESPECT TO ORDER DATED AUGUST 28, 2017                                                                                                                                                                                                                                                    | WTM/GM/EFD/45/2018-19         | 19-12-2022 |

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| APNPM2950D | DEVI PRASAD MOHANTY    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED | WTM/PS/106/ERO/BLO/D<br>EC/2015     | 19-12-2022 |
| APPPD3295N | SUKUMAR DEBNATH        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                    | WTM/PS/118/IMD/ERO-<br>PLO/DEC/2015 | 19-12-2022 |
| APRPA3621H | NAKHAT SING AGARWALLA  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/MPB/EFD-1-DRA-<br>IV/155/2018   | 19-12-2022 |
| APSPB9232Q | SIDHARTHA KUMAR BARIK  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED | WTM/PS/106/ERO/BLO/D<br>EC/2015     | 19-12-2022 |
| AQCPD0778N | SAROJANI DEVI          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                       | WTM/GM/SEBI/ERO/IM<br>D/01/APR/2017 | 19-12-2022 |
| AQJPB1669H | BIDESI BEHERA          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED | WTM/PS/106/ERO/BLO/D<br>EC/2015     | 19-12-2022 |
| AQSPC7029H | AVIJIT CHAKRABORTY     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/PS/164/ERO/FEB/2<br>016         | 19-12-2022 |
| ARIPJ8232A | SMT. HARAPRIYA JENA    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/MPB/EFD-1-DRA-<br>IV/23/2018    | 19-12-2022 |
| ARQPM0643J | SUBHASIS MAHATO        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                     | WTM/MPB/EFD-1-DRA-<br>IV/44 /2017   | 19-12-2022 |
| ASPPB7641B | SUBRATA KUMAR BANERJEE | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                       | WTM/GM/IMD/49/2017-<br>18           | 19-12-2022 |
| ASWPS6806J | MALKINDER SINGH        | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                              | WTM/AB/NRO/20/2020-<br>21           | 19-12-2022 |
| ATJPK5597L | PRAMOD KUMAR           | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                              | WTM/AB/NRO/20/2020-<br>21           | 19-12-2022 |

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| ATZPC0321Q | MINU CHAKRABARTI            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992    | WTM/PS/164/ERO/FEB/2016         | 19-12-2022 |
| ATZPC0359C | GOURANGA SUNDAR CHAKRABORTY | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992    | WTM/PS/164/ERO/FEB/2016         | 19-12-2022 |
| AUCPD0859J | MR. R. DEVADOSS             | UNDER SECTIONS 11(1), 11(4), 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/25/IMD-CIS/SRO/MAY/2016  | 19-12-2022 |
| AUPPS3064B | SAVITA SRIVASTAVA           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,   | WTM/PS/118/IMD/ERO-PLO/DEC/2015 | 19-12-2022 |
| AVEPJ1234C | DILIP JANA                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992    | WTM/MPB/EFD-1-DRA-IV/141/2018   | 19-12-2022 |
| AVIPR2257F | BIMALENDU RAKSHIT           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992    | WTM/MPB/EFD-1-DRA-IV/155/2018   | 19-12-2022 |
| AVJPG3285H | ROSHNI GUHA                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992    | WTM/MPB/EFD-1-DRA-IV/11/2017    | 19-12-2022 |
| AVNPK2820L | RAM KAILASH                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992    | WTM/MPB/EFD-1-DRA-IV/63/2017    | 19-12-2022 |
| AVSPA8138L | MD. SARFARAZ ANSARI         | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992             | WTM/AB/NRO/20/2020-21           | 19-12-2022 |
| AWGPK0821R | SAHAB UDDIN KHAN            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992    | WTM/MPB/EFD-1-DRA-IV/20/2017    | 19-12-2022 |
| AYAPM0995J | BAPPADITYA MUKHERJEE        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992    | WTM/MPB/EFD-1-DRA-IV/141/2018   | 19-12-2022 |
| AYUPP6220B | SANDIP PARUI                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992    | WTM/MPB/EFD-1-DRA-IV/20/2017    | 19-12-2022 |

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| AZJPS0671F | MR. NURUDDIN SHAIKH     | ON REPRESENTATION DATED JANUARY 29, 2018 IN THE MATTER OF NETWORTH MARKETING LIMITED WITH RESPECT TO ORDER DATED AUGUST 28, 2017                                                                                                                                                                                                                                                    | WTM/GM/EFD/45/2018-19         | 19-12-2022 |
| AZQPR8625K | RAJOO                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/63/2017  | 19-12-2022 |
| BAFPP4523B | NETAI PRAMANIK          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/141/2018 | 19-12-2022 |
| BBAPP0971P | SANDIP PAUL             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                    | WTM/PS/166/ERO/FEB/2016       | 19-12-2022 |
| BBVPK0966N | MUKESH KUMAR KHARE      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/PS/83/NRO/IMD/NOV/2015    | 19-12-2022 |
| BCBPS1318D | DEEPAK KUMAR SINHA      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/94/2018-19             | 19-12-2022 |
| BDAPM9086Q | ANIL KUMAR MISHRA       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/155/2018 | 19-12-2022 |
| BDMPK7608E | RANJEET KUMAR           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/63/2017  | 19-12-2022 |
| BFDPR1288E | GAURANGA ROY            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/20/2017  | 19-12-2022 |
| BGGPK7521R | DHIRENDRA SINGH KUSHWAH | UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/GM/EFD/71/2017-18         | 19-12-2022 |

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| BHIPK9685D | RAMANUJ KUMAR       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/94/2018-19               | 19-12-2022 |
| BIDPP6796G | MRINAL KANTI PAUL   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/PS/164/ERO/FEB/2016         | 19-12-2022 |
| BKTPS9489M | NANDITA SENGUPTA    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                                                                                                                                                                                                                      | WTM/PS/118/IMD/ERO-PLO/DEC/2015 | 19-12-2022 |
| BQVPP6664H | SMT. SMITA PATRA    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/23/2018    | 19-12-2022 |
| BQXPS7815M | KULDEEP SINGH       | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                                                   | WTM/PS/54/CIS/NRO/DEC/2014      | 19-12-2022 |
| BVOPS6333N | MANABENDRA SARKAR   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/94/2018-19               | 19-12-2022 |
| CBCPK8700N | AMAN KUMAR          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/SEBI/ERO/IMD/01/APR/2017 | 19-12-2022 |
| CBIPS7345R | ABADH KUMAR SINGH   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008                                                                                                                                                                                                 | WTM/RKA/EFD-DRA-IV/184/2016     | 19-12-2022 |
| CDDPS5928P | MR. SATYENDRA SINGH | UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/GM/EFD/71/2017-18           | 19-12-2022 |
| CEKPS6290G | PINTU SINGH         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/94/2018-19               | 19-12-2022 |

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| CGCPS8873D | NIRUPAM SANTRA      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/IMD/49/2017-18         | 19-12-2022 |
| CLHPK5064N | MR. AFASAR KHAN     | UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/GM/EFD/71/2017-18         | 19-12-2022 |
| CLJPS2300B | CHHOTELAL SHUKLA    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/PS/83/NRO/IMD/N OV/2015   | 19-12-2022 |
| CLPPS9856Q | SMT. NIRUPAMA SAHOO | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/23/2018  | 19-12-2022 |
| CMGPS0600A | HARI GOVIND SINGH   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                    | WTM/RKA/EFD/92/2016           | 19-12-2022 |
| COBPS2672P | SUMAN SINGH         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/94/2018-19             | 19-12-2022 |
| CRRPS1400A | MAHAVIR SINGH       | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                                                   | WTM/PS/54/CIS/NRO/DE C/2014   | 19-12-2022 |
| CRYPS4172E | NABA KUMAR SANTRA   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/IMD/49/2017-18         | 19-12-2022 |
| CUEPS1687K | SUKHWINDER SINGH    | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                                                   | WTM/PS/54/CIS/NRO/DE C/2014   | 19-12-2022 |
| CUJPS7833J | SUTANU SARCAR       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/155/2018 | 19-12-2022 |

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| CUXPS6610M | RUPAM SANTRA                               | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                      | WTM/GM/IMD/49/2017-18                            | 19-12-2022 |
| CVNPS6323Q | ANWAR SADAT                                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                      | WTM/GM/94/2018-19                                | 19-12-2022 |
| CXDPS9936B | DEEPAK KUMAR SAH                           | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                             | WTM/AB/NRO/20/2020-21                            | 19-12-2022 |
| CXHPS0704D | KABITA KUMARI SAH                          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                      | WTM/GM/94/2018-19                                | 19-12-2022 |
| DANPS8829H | RAJABALBHA SINGH                           | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                      | WTM/GM/94/2018-19                                | 19-12-2022 |
| DPTPS7499Q | HARJINDER SINGH                            | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                             | WTM/AB/NRO/20/2020-21                            | 19-12-2022 |
| BFCPM9024G | MR. TAPAN MONDAL                           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                    | WTM/PS/14/IMD-ERO/APR/2016                       | 19-12-2022 |
| AAFCR8322L | M/S. RELIABLE MEGA PROJECTS LTD.           | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 IN THE MATTER OF RELIABLE MEGA PROJECTS LTD. | WTM/ GM/WRO /11/2018-19                          | 19-12-2022 |
| ABRPT1545K | USHA DEVI TAPARIA                          | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                        | SEBI/HO/EFD1/EFD01_D RA1/P/OW/2022/401 60/1      | 26-12-2022 |
| ALWPP2275K | USHA PAREEKH                               | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                        | SEBI/HO/EFD1/EFD01_D RA1/P/OW/2022/400 78/1      | 26-12-2022 |
| AAAHU2294L | UTTAM PADIA HUF                            | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                        | SEBI/HO/EFD1/EFD01_D RA1/P/OW/2022/000 0040107/1 | 26-12-2022 |
| AAATV5045Q | VAISHALI PERIWAL FAMILY TRUST              | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                        | SEBI/HO/EFD1/EFD01_D RA1/P/OW/2022/401 85/1      | 26-12-2022 |
| AADCV6935D | VALUABLE COMMODITIES TRADE PRIVATE LIMITED | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                        | SEBI/HO/EFD1/EFD01_D RA1/P/OW/2022/401 97/1      | 26-12-2022 |
| AACCV7295D | VALUEADDED MERCHANTS PRIVATE LIMITED       | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                        | SEBI/HO/EFD1/EFD01_D RA1/P/OW/2022/401 82/1      | 26-12-2022 |

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| AAACU5643G | USG HOLDINGS PVT. LTD.                     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLUQUID STOCK OPTIONS AT BSE                | SEBI/ERO/MD/AK/OW/2022/42209/1    | 26-12-2022 |
| AAACU6742L | ULIKE CARRIERS AND FINANCE PRIVATE LIMITED | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLUQUID STOCK OPTIONS (ISO) AT BSE                                                                                                  | SEBI/ERO/DM/AK/P/OW/2022/037632/1 | 26-12-2022 |
| AAACZ2996D | ZOLTON PROPERTIES PRIVATE LIMITED          | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | EAD-4/ADJ/GR/HK/OW/P/21332/2/2022 | 26-12-2022 |
| AABCU1364K | URO AGRO INDIA LIMITED                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/SR/SEBI-ERO/IMD/35/07/2016    | 26-12-2022 |
| AACCE6725D | EVERLIGHT REALCON INFRASTRUCTURE LIMITED   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/163/ERO/RLO/FEB/2016       | 26-12-2022 |
| AACCK2183P | KERALA HOUSING FINANCE LTD                 | IN RESPECT OF LINTERIM ORDERS DATED JULY 31, 2015 AND NOVEMBER 20, 2015 IN THE MATTER OF KERALA HOUSING FINANCE LTD. (KHFL)                                                                | WTM/GM/CFD-IMD/41/2017-18         | 26-12-2022 |
| AACCT6018N | TRIBHUVAN AGRO PROJECT LIMITED             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/13/ERO/APR/2016            | 26-12-2022 |
| AADCG9891P | GURUKUL PROJECT LIMITED                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/MPB/EFD-1-DRA-IV/79/2017      | 26-12-2022 |
| AADCP2087Q | PAILAN PARK DEVELOPMENT AUTHORITY LTD.     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/MPB/EFD-1-DRA-IV/103/2017     | 26-12-2022 |
| AAECM7687C | MICRO LEASING AND FUNDING LIMITED          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/200/ERO-BLO/MAR/2016       | 26-12-2022 |
| AAECP2476Q | PHENIX PROPERTIES LIMITED                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/11/ERO-GLO/APR/2016        | 26-12-2022 |

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| AAHCA8718R | AAPNA PARIWAR AGRO FARMING DEVELOPERS INDIA LIMITED | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 21, 2015 IN THE MATTER OF AAPNA PARIWAR AGRO FARMING DEVELOPERS INDIA LTD.                            | WTM/GM/EFD/DRAIII/15/2018-19    | 26-12-2022 |
| AAICS3938E | SHIVALIK COTEX LTD.                                 | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF: | WTM/RKA/EFD/123/2016            | 26-12-2022 |
| AAJCA8863D | ACTIVE RURAL DEVELOPMENT INDIA LIMITED              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/115/2018   | 26-12-2022 |
| AANPP0136H | P. PARAMESHWARAN                                    | IN RESPECT OF LINTERIM ORDERS DATED JULY 31, 2015 AND NOVEMBER 20, 2015 IN THE MATTER OF KERALA HOUSING FINANCE LTD. (KHFL)                                                                                                                             | WTM/GM/CFD-IMD/41/2017-18       | 26-12-2022 |
| AAPCS0366M | SUVIDHA LAND DEVELOPERS INDIA LIMITED               | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                        | WTM/PS/156/IMD/WRO/ILO/FEB/2016 | 26-12-2022 |
| AATPI5977M | MR. BADRUL ISLAM                                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                           | WTM/PS/11/ERO-GLO/APR/2016      | 26-12-2022 |
| AATPU6479N | KOMALA UNNIKRISHNAN                                 | IN RESPECT OF LINTERIM ORDERS DATED JULY 31, 2015 AND NOVEMBER 20, 2015 IN THE MATTER OF KERALA HOUSING FINANCE LTD. (KHFL)                                                                                                                             | WTM/GM/CFD-IMD/41/2017-18       | 26-12-2022 |
| ABGPD2004E | SHRI DILIP KUMAR DIWAKAR                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/115/2018   | 26-12-2022 |
| ABMPH3009D | HASTIBUL HAQUE                                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/74/2017    | 26-12-2022 |
| ACLPH0322F | TIRTHA HALDER                                       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/96/2017    | 26-12-2022 |

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| ADRP8145D  | MALAY HALDER            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/MPB/EFD-1-DRA-IV/96/2017       | 26-12-2022 |
| AFUPD9977N | MR. GOPAL DEKA          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/11/ERO-GLO/APR/2016         | 26-12-2022 |
| AGBPJ8881F | SUNAYANA JAIN           | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | EAD-4/ADJ/GR/PU/OW/P/3997 5/1/2022 | 26-12-2022 |
| AGGPG9365G | MR. SOMNATH GUPTA       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/11/ERO-GLO/APR/2016         | 26-12-2022 |
| AGTPP2815R | BANAJA PATTNAIK         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/200/ERO-BLO/MAR/2016        | 26-12-2022 |
| AHLPC8055B | MR. SAURABH CHAKRABORTY | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/11/ERO-GLO/APR/2016         | 26-12-2022 |
| AHVPG3958R | DIPANKAR GHOSH          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/MPB/EFD-1-DRA-IV/96/2017       | 26-12-2022 |
| AHXP7948N  | BIPLAB KUMAR DEY        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/163/ERO/RLO/FEB/2016        | 26-12-2022 |
| AHZPG4939L | MALOY KUMAR GUHA        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/MPB/EFD-1-DRA-IV/96/2017       | 26-12-2022 |
| AIBPR3316B | BIJOY KUMAR ROUTRAY     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/200/ERO-BLO/MAR/2016        | 26-12-2022 |
| AILPD1367L | IPSITA DAS GIRI         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/SR/SEBI-ERO/IMD/35/07/2016     | 26-12-2022 |
| AILPG0108L | RANJIT GOPE             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/13/ERO/APR/2016             | 26-12-2022 |

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| AINPD1762F | ALOKE DAS                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/PS/13/ERO/APR/2016          | 26-12-2022 |
| AINPD1762F | ALOKE DAS                | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                     | WTM/MPB/EFD-1-DRA-IV/22/2018    | 26-12-2022 |
| AINPD9015B | MR. PRITHIISH DAS        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/PS/11/ERO-GLO/APR/2016      | 26-12-2022 |
| AISPB3975F | MR. KAMDEV BHATTACHARJEE | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/PS/11/ERO-GLO/APR/2016      | 26-12-2022 |
| AIXPG7534N | BISWAPRIYA GIRI          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/SR/SEBI-ERO/IMD/35/07/2016  | 26-12-2022 |
| AJGPR9741N | CHANDAN SINHA ROY        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/PS/163/ERO/RLO/FEB/2016     | 26-12-2022 |
| AJHPG9603K | MR. PARTHA GOPE MAZUMDER | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 21, 2015 IN THE MATTER OF AAPNA PARIWAR AGRO FARMING DEVELOPERS INDIA LTD. | WTM/GM/EFD/DRAIII/15/2018-19    | 26-12-2022 |
| AJTPD9357P | MR. AMAR KUMAR DAS       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/PS/11/ERO-GLO/APR/2016      | 26-12-2022 |
| AKAPD6978N | NARUGOPAL DASADHIKARI    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF -                                                                                                                  | WTM/PS/177/IMD/ERO-RLO/MAR/2016 | 26-12-2022 |
| AKAPS2175E | MR. SHEKHAR SAHA         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/PS/11/ERO-GLO/APR/2016      | 26-12-2022 |
| AKHPP5583F | G UNNIKRIISHNAN NAIR     | IN RESPECT OF INTERIM ORDERS DATED JULY 31, 2015 AND NOVEMBER 20, 2015 IN THE MATTER OF KERALA HOUSING FINANCE LTD. (KHFL)                                                                                                   | WTM/GM/CFD-IMD/41/2017-18       | 26-12-2022 |

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| AKNPV5025B | AMIT KUMAR VASISHTHA | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995       | EAD-4/ADJ/GR/PU/OW/P/2906 7/5/2022 | 26-12-2022 |
| ALFPM5139C | PRASUN MONDAL        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/SR/SEBI-ERO/IMD/35/07/2016     | 26-12-2022 |
| AMRPD2405P | MR. ASHIM DAS        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/PS/11/ERO-GLO/APR/2016         | 26-12-2022 |
| ANRPB4794Q | MIHIR BAISNOB        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/PS/13/ERO/APR/2016             | 26-12-2022 |
| ANZPM6759L | KALI PRASAD MISHRA   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/PS/200/ERO-BLO/MAR/2016        | 26-12-2022 |
| APSPD5747C | SATYA RANJAN DEBNATH | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MAY 20, 2015 IN THE MATTER OF VERINDER FINANCE LIMITED | WTM/GM/EFD/DRAIII/34/2017-18       | 26-12-2022 |
| APXPR7152Q | AJIT KUMAR ROUTH     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/SR/SEBI-ERO/IMD/35/07/2016     | 26-12-2022 |
| AQBPM0366L | DEBJANARDAN MONDAL   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/MPB/EFD-1-DRA-IV/79/2017       | 26-12-2022 |
| ARCPC9106E | CHANDAN CHAKRABORTY  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/MPB/EFD-1-DRA-IV/103/2017      | 26-12-2022 |
| ARMPG3713B | SUNIRMAL GOSWAMI     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/MPB/EFD-1-DRA-IV/74/2017       | 26-12-2022 |

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| ATRPM4285D | PRIYANKA PRAMOD MHAPSEKAR | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995       | EAD-4/ADJ/GR/PU/OW/P/3998 5/3/2022 | 26-12-2022 |
| AUIPS7765C | APURBA KUMAR SAHA         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/MPB/EFD-1-DRA-IV/103/2017      | 26-12-2022 |
| AVAPG0570A | BASUDEV GHOSH             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/MPB/EFD-1-DRA-IV/74/2017       | 26-12-2022 |
| AVXPG2603H | G SURESH KUMAR            | IN RESPECT OF LINTERIM ORDERS DATED JULY 31, 2015 AND NOVEMBER 20, 2015 IN THE MATTER OF KERALA HOUSING FINANCE LTD. (KHFL)                                                                      | WTM/GM/CFD-IMD/41/2017-18          | 26-12-2022 |
| AXAPP3680J | NUPUR PURKAYASTHA         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/MPB/EFD-1-DRA-IV/79/2017       | 26-12-2022 |
| AXVPS8485R | SHAIKH MOKHLESUR RAHAMAN  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/PS/13/ERO/APR/2016             | 26-12-2022 |
| AZAPS2983D | DURGA PRASAD SHADANGI     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/PS/200/ERO-BLO/MAR/2016        | 26-12-2022 |
| AZQPM4641Q | JAFAR ALI MOLLA           | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF -                                                                                      | WTM/PS/177/IMD/ERO-RLO/MAR/2016    | 26-12-2022 |
| AZTPD6449C | KARTICK CHANDAR DAS       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF -                                                                                      | WTM/PS/177/IMD/ERO-RLO/MAR/2016    | 26-12-2022 |
| BBSPP5763P | SUDHAKAR PANDA            | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MAY 20, 2015 IN THE MATTER OF VERINDER FINANCE LIMITED | WTM/GM/EFD/DRAIII/34/2017-18       | 26-12-2022 |
| BGBPS1226C | PRADIP SARDAR             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                    | WTM/PS/13/ERO/APR/2016             | 26-12-2022 |

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| BJMPS7143A | MR. SAMIR SAHA                         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/11/ERO-GLO/APR/2016          | 26-12-2022 |
| BNGPS8347N | AMAL SEN                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/13/ERO/APR/2016              | 26-12-2022 |
| BNOPS7521Q | SIDHARTHA SARDAR                       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/13/ERO/APR/2016              | 26-12-2022 |
| BOGPS0921F | BIPIN KUMAR SINGH                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/MPB/EFD-1-DRA-IV/103/2017       | 26-12-2022 |
| BQYPK5654D | N KRISHNAN NAIR                        | IN RESPECT OF LINTERIM ORDERS DATED JULY 31, 2015 AND NOVEMBER 20, 2015 IN THE MATTER OF KERALA HOUSING FINANCE LTD. (KHFL)                                                                | WTM/GM/CFD-IMD/41/2017-18           | 26-12-2022 |
| CNAPS8962G | ASIFA TANVEER M SHAIKH                 | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | EAD-4/ADJ/GR/PU/OW/P/40052/5/2022   | 26-12-2022 |
| DFDPS3198A | MS. VANDANA SAHA                       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/MPB/EFD-1-DRA-IV/115/2018       | 26-12-2022 |
| DNRPK1802D | SEIKH KUTUBUDDIN                       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                              | WTM/PS/163/ERO/RLO/FEB/2016         | 26-12-2022 |
| AABCF0079J | FAIRWEALTH COMMODITY BROKING PVT. LTD. | SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF THE SEBI (INTERMEDIARIES REGULATIONS, 2008 IN RESPECT OF ENQUIRY CONDUCTED AGAINST FAIRWEALTH COMMODITY BROKING PVT LTD. (NOTICEE)             | SEBI/HO/EFD1/DRA3/P/OW/2022/29399/1 | 26-12-2022 |
| AAACF8795N | FAIRWEALTH SECURITIES LTD              | SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF THE SEBI (INTERMEDIARIES REGULATIONS, 2008 IN RESPECT OF ENQUIRY CONDUCTED AGAINST FAIRWEALTH SECURITIES LIMITED (NOTICEE)                     | SEBI/HO/EFD1/DRA3/P/OW/2022/29403/1 | 26-12-2022 |
| AKVPA7135K | BABAR ALI                              | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                     | WTM/MPB/EFD-1-DRA-IV/87/2017        | 26-12-2022 |

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| AHGP6624N  | BIPLAB HALDER                             | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/GM/EFD/48/2017-18        | 26-12-2022 |
| AAWPM1136F | BRIJ MOHAN MAHAJAN                        | UNDER SECTION 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992           | WTM/PS/38/NRO/AUG/2015       | 26-12-2022 |
| AADCC6855H | CHAKRA INFRASTRUCTURE LIMITED             | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/GM/EFD/48/2017-18        | 26-12-2022 |
| BIMPB9488A | DINESH BHURIYA                            | UNDER SECTION 11,11(4)AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992      | WTM/GM/EFD/25/2018-19        | 26-12-2022 |
| AHQPN4086L | DINESH NAYAK                              | UNDER SECTION 11,11(4)AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992      | WTM/GM/EFD/25/2018-19        | 26-12-2022 |
| AABCF3789K | FALCON INFRA PROJECTS LTD                 | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/MPB/EFD-1-DRA-IV/87/2017 | 26-12-2022 |
| AFTPD7822F | INDRANIL DAS                              | UNDER SECTION 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992           | WTM/MPB/EFD-1-DRA-IV/81/2017 | 26-12-2022 |
| AABCJ2925P | MIDAS TOUCH ASSETS AND SECURITIES LIMITED | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/GM/EFD/51/2017-18        | 26-12-2022 |
| AGGPT2796Q | NIRUPAMA SAMAL/THATOI                     | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/GM/EFD/51/2017-18        | 26-12-2022 |
| BAHPA6188D | RAKESH ARYA                               | UNDER SECTION 11,11(4)AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992      | WTM/GM/EFD/25/2018-19        | 26-12-2022 |
| AERPN2244Q | RAMESH CHANDRA NAYAK                      | UNDER SECTION 11,11(4)AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992      | WTM/GM/EFD/25/2018-19        | 26-12-2022 |
| AEKPC9920P | SOMA CHAKRABORTI                          | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/GM/EFD/48/2017-18        | 26-12-2022 |
| AHJPA9471D | SONIA PARVIN ALIM                         | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/MPB/EFD-1-DRA-IV/87/2017 | 26-12-2022 |
| AMYPS3013P | SOUBHAGYA KUMAR SAMAL                     | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/GM/EFD/51/2017-18        | 26-12-2022 |
| BLEPB3468F | SUBHAS BOSE                               | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/GM/EFD/48/2017-18        | 26-12-2022 |

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| AARCS2487F | SUNSHINE HI-TECH<br>INFRACON LIMITED          | UNDER SECTION 11,11(4)AND<br>11B OF SECURITIES AND<br>EXCHANGE BOARD OF<br>INDIA ACT, 1992                                                                                                                                                                      | WTM/GM/EFD/25/2018-<br>19         | 26-12-2022 |
| AAJCS1625B | SURAKSHA FAMILY<br>SERVICES LIMITED           | UNDER SECTION 11 AND 11B OF<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA ACT, 1992                                                                                                                                                                              | WTM/MPB/EFD-1-DRA-<br>IV/81/2017  | 26-12-2022 |
| CILPS3142L | SWAPAN KUMAR SEN                              | UNDER SECTION 11,11(4),11A AND<br>11B OF<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA ACT, 1992                                                                                                                                                                 | WTM/GM/EFD/48/2017-<br>18         | 26-12-2022 |
| AKJPM4426D | SWAPAN MAJUMDAR                               | UNDER SECTION 11,11(4),11A AND<br>11B OF<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA ACT, 1992                                                                                                                                                                 | WTM/GM/EFD/48/2017-<br>18         | 26-12-2022 |
| ARCPS6416R | SWARNA LATA SAMAL                             | UNDER SECTION 11,11(4),11A AND<br>11B OF<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA ACT, 1992                                                                                                                                                                 | WTM/GM/EFD/51/2017-<br>18         | 26-12-2022 |
| AAECK3511F | KRUTIBIBHA CORPORATION<br>LTD                 | UNDER SECTIONS 11(1), 11(4), 11A AND<br>11B OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992, IN THE MATTER OF<br>KRUTIBIBHA CORPORATION LIMITED                                                                                                   | WTM/PS/124/ERO/BLO/D<br>EC/2015   | 26-12-2022 |
| AAACN4793N | RHINE & RAAVI CREDITS<br>AND HOLDINGS LIMITED | UNDER SECTIONS 11 AND 11B OF<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA ACT, 1992                                                                                                                                                                             | WTM/PS/92/NRO/MAR/2<br>015        | 26-12-2022 |
| AABCG0145L | GILTEDGE VINCOM PVT LTD                       | ADJUDICATION PROCEEDINGS IN<br>THE MATTER OF DEALINGS IN<br>ILLIQUID STOCK<br>OPTIONS (ISO) AT BSE                                                                                                                                                              | IMD/DOF3/P/OW/2022/34<br>428/1    | 26-12-2022 |
| AABCO6415H | OPTIONONE TRADE AND<br>MERCANTILE PVT. LTD.   | UNDER SECTIONS 11, 11(4), 11A AND<br>11B OF THE SECURITIES AND<br>EXCHANGE BOARD OF<br>INDIA ACT, 1992                                                                                                                                                          | WTM/MPB/EFD-1-DRA-<br>IV/159/2018 | 26-12-2022 |
| AACCI5234R | IDOL INDIA<br>INFRASTRUCTURES LIMITED         | UNDER SECTIONS 11(1), 11(4)<br>11A(1)(B) AND 11B OF THE<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA ACT, 1992 READ<br>WITH REGULATION 28 OF THE<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA (ISSUE AND<br>LISTING OF DEBT<br>SECURITIES)<br>REGULATIONS, 2008 | WTM/PS/08/IMD-<br>DOF/MAY/2014    | 26-12-2022 |
| AACCL2342M | LIFE CARE<br>INFRASTRUCTURES INDIA<br>LIMITED | UNDER SECTION 11,11(4),11A AND<br>11B OF SECURITIES AND<br>EXCHANGE BOARD OF<br>INDIA ACT, 1992                                                                                                                                                                 | WTM/MPB/EFD-1-DRA-<br>IV/131/2018 | 26-12-2022 |
| AADCD2895N | DGR FARMS & LEISURE<br>LIMITED                | UNDER SECTION 11,11(4),11A AND<br>11B OF SECURITIES AND<br>EXCHANGE BOARD OF<br>INDIA ACT, 1992                                                                                                                                                                 | WTM/MPB/EFD-1-DRA-<br>IV/91/2017  | 26-12-2022 |
| AADCG7443H | GILT COMMODITIES PRIVATE<br>LIMITED           | ADJUDICATION PROCEEDINGS IN<br>THE MATTER OF DEALINGS IN<br>ILLIQUID STOCK<br>OPTIONS (ISO) AT BSE                                                                                                                                                              | IMD/DOF3/OW/2022/344<br>10/1      | 26-12-2022 |

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| AAECC9934A | CELL REALCON CORPORATION LIMITED              | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/MPB/EFD-1-DRA-IV/49/2017                    | 26-12-2022 |
| AAECG5218M | GOKUL RETAILERS PRIVATE LIMITED               | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                | SEBI/HO/IMD/IMD-II DOF3/P/OW/2022/31526/1       | 26-12-2022 |
| AAECG8991M | GERENT TRADECOM PRIVATE LIMITED               | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                | SEBI/HO/IMD/IMD-II DOF3/P/OW/2022/000004 8473/1 | 26-12-2022 |
| AAECS0861Q | SPECIALITY PAPER LTD                          | SERVICE PF PRDERS IN TERMS OF CIRCULAR NO. SEBI/HO/EFD1/EFD_DR4/P/CIR/2022/104                                                                                                           | EFD-1/DRA-1/KSB/ON/39135/2022                   | 26-12-2022 |
| AAGCC0137R | CAPQUEST RESEARCH PVT LTD                     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008. | WTM/RKA/EFD-DRA-IV/189/2016                     | 26-12-2022 |
| AAICA3913D | AVM REAL ESTATE & ALLIED LIMITED              | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/RKA/EFD/EFD-DRA-III/191/2016                | 26-12-2022 |
| AAKCA9069J | ANGEL ALLIED INDIA LIMITED                    | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/MPB/EFD-1-DRA-IV/45/2017                    | 26-12-2022 |
| AALCS5520M | SAMPRIITI PROJECTS LTD                        | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/PS/178/ERO/MAR/2016                         | 26-12-2022 |
| AAMCS2792J | SUNCITY INFRACON CORPORATION (INDIA ) LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/18/2017                    | 26-12-2022 |
| AANPI7704G | MD. OBAY DUL ISLAM                            | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/PS/178/ERO/MAR/2016                         | 26-12-2022 |
| AANPI7705H | SONALI ISLAM                                  | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/PS/178/ERO/MAR/2016                         | 26-12-2022 |
| AAOPU9033B | HARENDRA KUMAR UPADHYAY                       | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/PS/NRO/SEPT/2015                            | 26-12-2022 |
| ADAPB7401P | SAJAL BHOWMICK                                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/18/2017                    | 26-12-2022 |
| ADDPT0119K | BHARDWAJ MUNI TRIPATHI                        | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/PS/NRO/SEPT/2015                            | 26-12-2022 |

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| ADXPB7335B | KUMAR KANTI BHATTACHARYA | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/MPB/EFD-1-DRA-IV/49/2017     | 26-12-2022 |
| AETPA7820D | GOPAL HARI AGARWAL       | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE     | IMD/DOF3/P/OW/2022/35355/1       | 26-12-2022 |
| AEWPM1966K | DEBI PRASAD MOKHERJEE    | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/MPB/EFD-1-DRA-IV/49/2017     | 26-12-2022 |
| AFAPD7831F | SUSHIL KUMAR DUBEY       | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/MPB/EFD-1-DRA-IV/91/2017     | 26-12-2022 |
| AGFPD9237P | RAJESHWAR PRASAD DWIVEDI | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/RKA/EFD/EFD-DRA-III/191/2016 | 26-12-2022 |
| AGMPG4657M | SHANKAR LAL GUPTA        | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/MPB/EFD-1-DRA-IV/91/2017     | 26-12-2022 |
| AHVPC3063F | VIVEK CHAURASIA          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/MPB/EFD-1-DRA-IV/159/2018    | 26-12-2022 |
| AILPD7952R | KAUSHIK DHAR             | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/PS/178/ERO/MAR/2016          | 26-12-2022 |
| AIZPB6070C | SOURAV BARDHAN           | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/MPB/EFD-1-DRA-IV/49/2017     | 26-12-2022 |
| AJDPB9583B | MANAS BISWAS             | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/PS/178/ERO/MAR/2016          | 26-12-2022 |
| AJKPD1494Q | SUBRATA DAS              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/MPB/EFD-1-DRA-IV/18/2017     | 26-12-2022 |
| AKGPS7982R | ASHOK KUMAR SINGH        | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/PS/NRO/SEPT/2015             | 26-12-2022 |
| AKLPD0722D | ABHIJIT DHAR             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/MPB/EFD-1-DRA-IV/18/2017     | 26-12-2022 |
| AKOPP8093N | JAINENDRA KUMAR PATEL    | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/MPB/EFD-1-DRA-IV/91/2017     | 26-12-2022 |

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| AKRPS9594C | GODAWARI DEVI SHARMA | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE     | SEBI/HO/IMD/IMD-II/DOF3/P/OW/2022/31496/1 | 26-12-2022 |
| ALNPD0787H | RAJESH KUMAR DAS     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/MPB/EFD-1-DRA-IV/18/2017              | 26-12-2022 |
| AMMPG9367Q | ANSHUMAN GHOSH       | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/PS/149/ERO/FEB/2016                   | 26-12-2022 |
| APEPD6402Q | GURUPADA DAS         | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/MPB/EFD-1-DRA-IV/76/2017              | 26-12-2022 |
| AQDPM7488B | SHYAMAL KUMAR MITRA  | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/PS/178/ERO/MAR/2016                   | 26-12-2022 |
| ARCPG5694H | NAZRUL ISLAM GAZI    | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/PS/178/ERO/MAR/2016                   | 26-12-2022 |
| ASOPR6898P | SAIKAT ROY           | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/PS/149/ERO/FEB/2016                   | 26-12-2022 |
| ASRPK2076K | PRAFULLA KUMAR KUNDU | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/PS/149/ERO/FEB/2016                   | 26-12-2022 |
| ASVPG8313M | RAKESH GUPTA         | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                 | WTM/PS/92/NRO/MAR/2015                    | 26-12-2022 |
| ATVPJ2418H | GITA DEVI JALAN      | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE     | SEBI/HO/IMD/IMD-II/DOF3/P/OW/2022/33154/1 | 26-12-2022 |
| ATWPD6907G | ASHUTOSH DWIVEDI     | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/RKA/EFD/EFD-DRA-III/191/2016          | 26-12-2022 |
| AUVPD8794M | PRASHANTA DAS        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/MPB/EFD-1-DRA-IV/18/2017              | 26-12-2022 |
| AVYPA7767K | NIAMAT ALI           | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/MPB/EFD-1-DRA-IV/76/2017              | 26-12-2022 |
| AWJPS1018D | ALOK KUMAR SINGH     | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992        | WTM/MPB/EFD-1-DRA-IV/91/2017              | 26-12-2022 |

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| AWUPB3897Q | DAYANIDHY BEHERA     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF KRUTIBIBHA CORPORATION LIMITED                                                                                    | WTM/PS/124/ERO/BLO/D<br>EC/2015   | 26-12-2022 |
| BCSPM6763R | SANTOSH KUMAR MISHRA | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-<br>IV/45/2017  | 26-12-2022 |
| BDFPS5895A | RAMPRASAD SARKAR     | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-<br>IV/131/2018 | 26-12-2022 |
| BOSPK3303R | BASIR UDDIN KHAN     | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/PS/29/ERO/IMD/M<br>AY/2016    | 26-12-2022 |
| BSFPS9624C | RAMASHISH SINGH      | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/PS/NRO/SEPT/2015              | 26-12-2022 |
| BSIPK9909F | BIRENDRA KAJI        | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                        | WTM/PS/92/NRO/MAR/2<br>015        | 26-12-2022 |
| BTCPS3876E | JAGDISH SARANGI      | UNDER SECTIONS 11(1), 11(4) 11A(1)(B) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/MPB/EFD-1-DRA-<br>IV/68/2017  | 26-12-2022 |
| BTKPS1732H | UMESH SONI           | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-<br>IV/91/2017  | 26-12-2022 |
| CBFPK9464A | SURENDRA KUMAR       | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                        | WTM/PS/92/NRO/MAR/2<br>015        | 26-12-2022 |
| CCDPS1488R | ROHIT SINGHAI        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                        | WTM/MPB/EFD-1-DRA-<br>IV/159/2018 | 26-12-2022 |
| CCMPS5571E | APU SAHA             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                        | WTM/MPB/EFD-1-DRA-<br>IV/18/2017  | 26-12-2022 |
| CCRPS8635J | RANJIT KUMAR SETHI   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF KRUTIBIBHA CORPORATION LIMITED                                                                                    | WTM/PS/124/ERO/BLO/D<br>EC/2015   | 26-12-2022 |
| CJSPS8001G | DULAL SENAPATI       | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-<br>IV/76/2017  | 26-12-2022 |

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| CMCPS8260C | VINOD KUMAR<br>SHRIVASTAVA          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                               | WTM/MPB/EFD-1-DRA-IV/159/2018       | 26-12-2022 |
| CQDPS7744E | MAHENDRA KUMAR SAHU                 | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                      | WTM/RKA/EFD/EFD-DRA-III/191/2016    | 26-12-2022 |
| CTTPS8720B | PUSPA SETHI                         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF KRUTIBIBHA CORPORATION LIMITED                           | WTM/PS/124/ERO/BLO/D EC/2015        | 26-12-2022 |
| AAFCG2360M | GROVALUE COMMODITY PVT. LTD         | PERSOAL HEARING BEFORE QUASI JUDICIAL AUTHORITY IN THE MATTER OF /M/S. GROVALUE COMMODITY PVT. LTD. (NOTICE)                                                                | SEBI/HO/EFD1/DRA3/P/OW/2022/53641/1 | 26-12-2022 |
| AAACL4660L | LOHARU PROPERTIES PRIVATE LIMITED   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/24606/2021               | 26-12-2022 |
| AAACL5317L | LOVEJOY COMMODITIES PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/24603/2021               | 26-12-2022 |
| AAACL5327N | LUCKY PRIME DEALERS PVT LTD         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/28230/2021               | 26-12-2022 |
| AAACL5741Q | LCI INDIA LTD                       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/17883/2021               | 26-12-2022 |

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| AAACL6157G  | LARCENY MERCANTILES PRIVATE LIMITED  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/17872/2021 | 26-12-2022 |
| AA AHL5497G | L K HARLALKA HUF                     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/HP/26631/2021 | 26-12-2022 |
| AA AHL8741B | LAKHAN LAL BHAWSAR (HUF)             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/27405/2021 | 26-12-2022 |
| AAATM9083B  | MADHAV PERIWAL FAMILY TRUST          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/2284/2022  | 26-12-2022 |
| AABCK0710B  | KWALITY CREDIT & LEASING LTD.        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/25498/2021 | 26-12-2022 |
| AABCL0366N  | LACTOSE VINIMAY PRIVATE LIMITED      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/HP/27394/2021 | 26-12-2022 |
| AABCL1484F  | LAMBODAR MERCHANDISE PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/17055/2021 | 26-12-2022 |

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| AABCL2925R | LOYAL MERCHANT PVT LTD                | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/24601/2021 | 26-12-2022 |
| AABCL7829A | LEMON VINCOM PRIVATE LIMITED          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/19825/2021 | 26-12-2022 |
| AABCL9320L | LINKWISE DISTRIBUTORS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/19836/2021 | 26-12-2022 |
| AABCL9716C | LIFELONG NIRMAN PVT LTD               | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/19515/2021 | 26-12-2022 |
| AABHL6169A | LALIT MOHAN HUF                       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/17058/2021 | 26-12-2022 |
| AACCL1777G | LOOKLINE VINIMAY PRIVATE LIMITED      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/25160/2021 | 26-12-2022 |
| AACCL1889R | LEMONMINT COMMERCIAL PVT LTD          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/17885/2021 | 26-12-2022 |

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| AACCR5855M | RASHMI TOWER PVT LTD                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD-8/AS/VS/35909/2022                    | 26-12-2022 |
| AACHL1904L | LALIT HUF                              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/17077/2021                     | 26-12-2022 |
| AAECM1456D | MAA MAHAMAYA ROLLING MILL PVT LTD      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | SEBI/HO/EFD1/EFD1_DR A4/P/CIR/2022/104    | 26-12-2022 |
| AAFHM0567B | M K KEJRIWAL AND SONS HUF              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/28337/2021                     | 26-12-2022 |
| AAGCM2377R | MAA BHAGAWATI RE ROLLING MILLS PVT LTD | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | MAIL RECIEVED FROM SEBI AS ON 04-10- 2022 | 26-12-2022 |
| AAGCM8442H | MAA AMBAY COMMOALES PVT LTD            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | MAIL RECIEVED FROM SEBI AS ON 04-10- 2022 | 26-12-2022 |
| AAIHM2560H | MADAN MOHAN HUF                        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS AT BSE | EAD5/AA/PR/2022/42683                     | 26-12-2022 |

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| AAJHM2310J | M.K. AGRAWAL HUF      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/28496/2021                     | 26-12-2022 |
| AAMFM4254G | M L SHUKLA GRAND SONS | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/28490/2021                     | 26-12-2022 |
| AAMHM3891D | M K SHARMA HUF        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE | EAD5/MC/RM/28479/2021                     | 26-12-2022 |
| AAQFM0500M | MACHI WAL & SONS      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE | MAIL RECIEVED FROM SEBI AS ON 04-10- 2022 | 26-12-2022 |
| ADEPB1185G | LEELA DEVI BAJAJ      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING LNQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE | MAIL RECIEVED FROM SEBI AS ON 04-10- 2022 | 26-12-2022 |
| AENPG1257N | LAXMI GUPTA           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES 1995 IN MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE    | EAD5/MC/RM/18932/2021                     | 26-12-2022 |
| AEOPP3917K | PATAWARI KUSUM DEVI   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES 1995 IN MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE    | EAD5/MC/HP/24508/2021                     | 26-12-2022 |

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| AESPN6952N | LAXMI B NAIR        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES 1995 IN MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE          | EAD5/MC/RM/18937/2021                  | 26-12-2022 |
| AETPJ0960R | LEELA JAIN          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES 1995 IN MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE          | EAD5/AA/PR/2022/42428                  | 26-12-2022 |
| AFAPJ1409F | JAILANI M MEHABOOB  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-04-2022 | 26-12-2022 |
| AFCPK4431Q | KUSUM KANODIA       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD5/MC/HP/23949/2021                  | 26-12-2022 |
| AFLPA0272N | KUSUM JASWANT AHUJA | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD5/MC/HP/25105/2021                  | 26-12-2022 |
| AFLPA4345Q | KUSUM DEVI AGARWAL  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD5/MC/HP/23449/2021                  | 26-12-2022 |
| AFNPP8937P | KUSUM DEVI PATWA    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD5/MC/HP/24509/2021                  | 26-12-2022 |

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| AFTPK7864A | KUSUM KANODIA                                           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD5/MC/HP/23948/2021                  | 26-12-2022 |
| AGGPP2951B | KUSUM SHAH                                              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD5/MC/HP/23447/2021                  | 26-12-2022 |
| AHPPB3821J | BEEHVIM MARIYAM                                         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-04-2022 | 26-12-2022 |
| AIHPJ4415B | KUSHAL CHAND JAIN                                       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD5/MC/HP/20653/2021                  | 26-12-2022 |
| AJGPS4080D | LALIT KUMAR SINGHANIA                                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD5/MC/RM/17079/2021                  | 26-12-2022 |
| AQCPA9517C | MADHU AGRAWAL                                           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD5/MC/RM/1660/2022                   | 26-12-2022 |
| AACCV8086C | VISHWARAJA PROPERTIES AND CONSULTANCIES PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 08-08-2022 | 26-12-2022 |

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| AACCV8127C | VISTA PROMOTERS PRIVATE LIMITED        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 08-08-2022 | 26-12-2022 |
| AACHC8112P | CHIRAG SHARAD VORA HUF                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| AACHV4748L | VISHAL AGARWAL HUF                     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 05-08-2022 | 26-12-2022 |
| AADCC3724B | CONFIDENT VINIMAY PRIVATE LIMITED      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-08-2022 | 26-12-2022 |
| AAECS8505M | SANKAT MOCHAN HOLDINGS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 05-08-2022 | 26-12-2022 |
| AAEHB9860R | BHAGAT RAM GUPTA HUF                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-08-2022 | 26-12-2022 |
| AAEHV8384G | VIRAT AGARWAL HUF                      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 04-08-2022 | 26-12-2022 |

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| AAFHS4954Q | SUBHASH CHOWDHARY HUF              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| AAGCS0343F | SUKHISANSAR CONSTRUCTION PVT LTD   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 12-08-2022 | 26-12-2022 |
| AAGHV6997P | VIRENDRA KUMAR MISHRA HUF          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-08-2022 | 26-12-2022 |
| AAIHV4124N | VINEET JAIN HUF                    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD6/GG/VP/32129/1/2022                | 26-12-2022 |
| AAJHP0816Q | PAWAN KUMAR PODDAR HUF             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 03-08-2022 | 26-12-2022 |
| AAJTS1781M | SRISHTI BHALOTIA BENEFICIARY TRUST | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 04-08-2022 | 26-12-2022 |
| AAKCS2326Q | SECOND LAND DEVELOPERS PVT LTD     | UNDER SECTIONS 11(B), 11(1) AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA                                                                                               | WTM/MPB/EFD-1-DRA-111/115/2020         | 26-12-2022 |

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| AALCS9370B | SUBHLABH SHARE BROKERS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| AARCS1799L | SUBHKARI COMMODITIES PRIVATE LIMITED   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| AASPG3094N | SUBHASH CHANDRA GUPTA                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 01-09-2022 | 26-12-2022 |
| AAYHS6731A | SUDHIR SEHGAL HUF                      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| AEHPB9348F | SANJEEV BUTIA HUF                      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 05-08-2022 | 26-12-2022 |
| AFAPM6986L | SUCHITRA MOHTA                         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| AMTPK1562E | SUDHA DEVI KEDIA                       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |

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| ASTPS5934N | SUDHIR SINGH                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| ATLPP3443L | SUDHABEN ASHOKBHAI PATEL      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| ATQPG4948N | AVIRAL GUPTA                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 04-08-2022 | 26-12-2022 |
| BLVPA7861A | SUMIT AGARWAL                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-08-2022 | 26-12-2022 |
| AABHA2977D | ATUL KUMAR FATEHLAL HUF       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 04-08-2022 | 26-12-2022 |
| AABCC0213H | CORE RESOURCE FINANCE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-08-2022 | 26-12-2022 |
| ACOPC6432A | BABU LAL CHOUDHARY            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 08-08-2022 | 26-12-2022 |

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| AACCV8954B | ASK BHOOMI DEVELOPERS PVT LTD.      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| AAGCA6564J | ASK REALTY AND DEVELOPERS LTD.      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| AAICA0430D | ASPOLIGHT MERCHANTS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 11-08-2022 | 26-12-2022 |
| AEGPG4399J | BABITA GOEL                         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 08-08-2022 | 26-12-2022 |
| ELYPS3423N | CHIRAG SHARMA                       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-08-2022 | 26-12-2022 |
| ANPPM3883R | BELA MUKHERJEE                      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-08-2022 | 26-12-2022 |
| AAFHV4924B | VISHAL KUMAR NARANG HUF             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 05-08-2022 | 26-12-2022 |

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| AAECB8238J | BESTWAY DEALCOM PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-08-2022       | 26-12-2022 |
| AADHB7155A | BHAGAT RAM GUPTA SONS           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EMAIL FROM SEBI DATED AS ON 10-08-2022       | 26-12-2022 |
| AFBPJ6529B | RANJITSINGH JUNEJA              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULE, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE  | EAD-8/AS/SM/32312/1/2022                     | 26-12-2022 |
| AAEHG3098J | GURJIT SINGH HUF                | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | HRD/ADJ/PM/OW/P/41143/1/2022                 | 26-12-2022 |
| AJCPA6064F | MOHAMMED AFAQUE AHMAD           | UNDER SECTIONS 11, 11(4), 11A AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                 | WTM/MPB/ERO/ERO-RLO/ 105/2020                | 26-12-2022 |
| AGVPC5307K | SANTANU SEN CHOUDHURY           | UNDER SECTIONS 11, 11(4), 11A AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                 | WTM/MPB/ERO/ERO-RLO/105/2020                 | 26-12-2022 |
| BOHPA8990M | EKANKI AGARWAL                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/TVD/ID8/SCN/AO-SSNS/35395/1/2022     | 26-12-2022 |
| AHJPM6572H | MOHAMMAD YOUNUS                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | WTM/PS/15/ERO/APR/2016                       | 26-12-2022 |
| AMYPM4378H | RASHMI MISHRA                   | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/MRD/MRD-POD-3/P/OW/2022/0000039706/1 | 26-12-2022 |

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| ARTPP9101B | BHARATKUMAR<br>BALDEVBHAI PARMAR     | UNDER SECTION- 1-S-I OP<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA ACT, 1992 READ WITH<br>RULE 5 OF SHBI (PROCEDURE FOR<br>HOLDING INQUIRY AND<br>IMPOSING PENALTIES BY<br>ADJUDICATING OFFICER)<br>RULES, 1995.                                                                                                                                                                                 | EAD-2/DSR/RG/PU/345-<br>403/2015 | 26-12-2022 |
| ALBPS3314F | SUMANTA SINHA                        | UNDER SECTIONS 11(1), 11(4) AND<br>11B OF SECURITIES AND EXCHANGE<br>BOARD OF INDIA ACT, 1992 READ<br>WITH REGULATION 65 OF THE<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA (COLLECTIVE<br>INVESTMENT SCHEMES)<br>REGULATIONS, 1999, IN RESPECT OF<br>INTERIM ORDER CUM SHOW<br>CAUSE NOTICE DATED DECEMBER<br>09, 2015 IN THE MATTER OF<br>SUNPLANT BIO ENERGY PRIVATE<br>LIMITED (SBEPL).       | WTM/GM/EFD/52/2017-<br>18        | 26-12-2022 |
| AGMPA1004E | MR. RAJESH AWASTHI                   | UNDER SECTIONS 11(1), 11(4) AND 11B<br>OF THE SECURITIES AND EXCHANGE<br>BOARD OF INDIA ACT, 1992 READ<br>WITH REGULATION 65 OF THE SEBI<br>(COLLECTIVE INVESTMENT<br>SCHEMES) REGULATIONS, 1999                                                                                                                                                                                                   | WTM/PS/<br>22/EFD/MAY/2016       | 26-12-2022 |
| BTUPP0108C | PUNAM CHAND PATIDAR                  | UNDER SECTIONS 11(1), 11(4), 11B<br>AND 11AA OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 READ WITH REGULATION<br>65 OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA<br>(COLLECTIVE INVESTMENT SCHEMES)<br>REGULATIONS, 1999 AND<br>REGULATION 11 OF THE SEBI<br>(PROHIBITION OF FRAUDULENT<br>AND UNFAIR TRADE PRACTICES<br>RELATING TO SECURITIES<br>MARKET) REGULATIONS, 2003 | WTM/AB/WRO/WRO/717<br>0/2019-20  | 26-12-2022 |
| AAICA9057G | AKRITI ADVISORY SERVICES<br>PVT LTD. | UNDER SECTIONS 11(1), 11(4) AND<br>11B OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 READ WITH REGULATION<br>65 OF THE SEBI (COLLECTIVE<br>INVESTMENT SCHEMES)<br>REGULATIONS, 1999 IN THE<br>MATTER OF TOUCH WOOD LIMITED.                                                                                                                                                        | WTM/GM/EFD/47/2018-<br>19        | 26-12-2022 |

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| AAJHR7550P | RAMESH CHAND AGRAWAL HUF | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE          | EAD-8/AS/AK/40890/1/2022                 | 26-12-2022 |
| ABFPJ7548A | PRADEEP JOHARI           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES 1995 IN MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                   | EAD-8/AS/AK/41761/1/2022                 | 26-12-2022 |
| AHAPS0240F | ANIL SOLANKI             | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. BM/AO- 109/2010   | 26-12-2022 |
| AADPT4715C | NAVIN TRIKAMDAS THAKKAR  | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. BM/AO- 103/2010   | 26-12-2022 |
| AAZPL6285F | JIGNESH P LAKHLANI       | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. BM/AO- 105/2010   | 26-12-2022 |
| AAACI4383H | IFSL LTD.                | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO :. - SD/AO/69/2010 | 26-12-2022 |
| AASHS0443M | SANJEEV KANODIA HUF      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE          | EAD-6/AK/BS/50513/1/2022                 | 26-12-2022 |

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| AACHK5312H | KISHAN KUMAR JAJODIA HUF            | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/MRD2/MRD2-DDAP/P/OW/2022/39516/1 | 02-01-2023 |
| AAFHB1057D | BHAGWAN NUHAL HUF                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI EMAIL DATED 10-08-2022              | 02-01-2023 |
| AABCK8634L | KIRTI TRACON PRIVATE LIMITED        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD3/P/OW/B M/GN/2022/39171      | 02-01-2023 |
| AABCO1930D | OCTAGON MEDIA MATRIX PVT LTD.       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD3/P/OW/B M/GN/2022/38004      | 02-01-2023 |
| AABHD7786D | DALAM CHAND BHURAT & SONS           | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/ERO/AP/AS/OW/2022/042433/1          | 02-01-2023 |
| AABHN6572P | NAGARMAL PERIWAL                    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD3/P/OW/B M/GN/2022/39418      | 02-01-2023 |
| AACCD9973A | DAKSH SHARE BROKERS PRIVATE LIMITED | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/ERO/AP/AS/OW/2022/42444/1           | 02-01-2023 |
| AADCC4988P | CHIRAG COMMODEAL PVT LTD            | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/ERO/AP/AS/OW/2022/42691/1           | 02-01-2023 |
| AADCC8834G | CIRCLE DEAL TRADE PRIVATE LIMITED   | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/ERO/AP/AS/OW/2022/42550/1           | 02-01-2023 |

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| AADCK9786H | KHAITAN BEVERAGES PVT LTD        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD3/P/OW/BM/GN/2022/39160  | 02-01-2023 |
| AADHR9245K | RAJ KUMAR MUKESH KUMAR           | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/EAD/EAD-3/BM/DS/35043/2022  | 02-01-2023 |
| AAECK2274R | KHYATI MERCHANTS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/EAD-3/BM/JR/44281/2022         | 02-01-2023 |
| AAECK3234H | KASVI COMMO SALES PVT LTD        | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | EAD-3/BM/UR/31833/2022              | 02-01-2023 |
| AAECK3321R | KASVI TRADING COMPANY PVT LTD    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/EAD-3/BM/JR/37074/10/2022      | 02-01-2023 |
| AAECP9024A | PUSHPANJALI INTRADE PVT LTD      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD-3/P/OW/BM/GN/2022/38929 | 02-01-2023 |
| AAEHN9629L | NARESH KUMAR AND SONS HUF        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-3/BM/UR/37604/2022              | 02-01-2023 |
| AAFHM9289Q | MOHAN LAL VARMA AND SONS HUF     | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/ERO/VSS/SB/OW/2022/37712/1     | 02-01-2023 |

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| AANCS7786B | SAMRIDHI TREXIM PRIVATE LIMITED     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD/EAD-3/BM/DS/OW/37247/2022 | 02-01-2023 |
| AAOCS7491L | SAKAMBARI MERCHANTS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD/EAD-3/BM/DS/OW/42417/2022 | 02-01-2023 |
| AAUPN5467E | RADHIKA NEVATIA                     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD/EAD-3/BM/DS/OW/37310/2022 | 02-01-2023 |
| AAXHS9992Q | SANDIP PRIYA HUF                    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD/EAD-3/BM/DS/OW/37318/2022 | 02-01-2023 |
| ACIPA1867D | PUSHPA DEVI AGARWAL                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD-3/P/OW/BM/GN/2022/38993   | 02-01-2023 |
| ACQPA9453K | KASTURI LAL AGGARWAL                | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | EAD-3/BM/UR/31836/2022                | 02-01-2023 |
| AFFPP2942C | NEELAM PADIA                        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-3/BM/UR/37172/2022                | 02-01-2023 |
| AGTPK7570L | RADHEY SHIAM KHANNA                 | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | SEBI/HO/EAD/EAD-3/BM/DS/37434/2022    | 02-01-2023 |

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| ALGPC3438B | NISHA CHATURVEDI               | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | EAD-3/BM/UR/36680/2022                | 02-01-2023 |
| AQNPA1159K | NEHA AGARWAL                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-3/BM/UR/34878/2022                | 02-01-2023 |
| ARDPR2733D | SANCHITA ROY                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD/EAD-3/BM/DS/OW/42305/2022 | 02-01-2023 |
| AYFPA9042F | NAMITA AGGARWAL                | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD/BM/JR/35847/9/2022                | 02-01-2023 |
| AYWPK0382M | SANGITA KARMAKAR               | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/HO/EAD/EAD-3/BM/DS/OW/37482/2022 | 02-01-2023 |
| BDQPP9419J | KARISMA PADIA                  | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | EAD-3/BM/UR/31850/2022                | 02-01-2023 |
| BGIPK1734J | KIRAN DEVI KARNANI             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD/BM/JR/35847/3/2022                | 02-01-2023 |
| AAACU3542J | UPLINE TRADERS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AE/37333/1/2022             | 02-01-2023 |

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| AABCM7537N | MONTROSE COMMODITIES PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.44717/2022   | 02-01-2023 |
| AACCM2227N | MOTILAL MAKHANLAL HOLDING PVT LTD    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO. 44737/2022  | 02-01-2023 |
| AACCT2493D | TRIVENI TIE UP PRIVATE LIMITED       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/DD/34505/2022 | 02-01-2023 |
| AAECT4878Q | TRILOKESH TRADERS PRIVATE LIMITED    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AE/37372/2022 | 02-01-2023 |
| AAEFT8280B | TIRUPATI LOGISTIC                    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AE/37446/2022 | 02-01-2023 |
| AAGCS7465L | SUR SADHNA BARTER P.LTD              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/DD/41106/2022 | 02-01-2023 |
| AAGHP2383B | PANKAJ KUMAR BALASARIA HUF           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO. 44617/2022  | 02-01-2023 |

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| AAHFT6013B | TOUCHWOOD PROJECTS LIMITED LIABILITY PARTNERSHIP | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AE/37457/2022   | 02-01-2023 |
| AALHM7180A | MRINAL BERRY (HUF)                               | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO. 35309/2022    | 02-01-2023 |
| AALHP4980R | PANKAJ KUMAR AGRAWAL HUF                         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO. 44618/2022    | 02-01-2023 |
| AATPV7629K | SATYEN VYAS                                      | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | EAD-10/SM/DD/32000/1/2022 | 02-01-2023 |
| ABCPD9261H | UMESH JAYANTILAL DESAI                           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AE/36543/2022   | 02-01-2023 |
| ACTPG7828D | PANKAJ GOEL                                      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.44623/2022     | 02-01-2023 |
| AEMPG2623P | SHROFF TRIPTA TRIPTA                             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AE/37663/2022   | 02-01-2023 |

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| AFPPG3335Q | MOHIT GOEL                          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | OUTWARD NO.45341/2022      | 02-01-2023 |
| AQDPD7057P | DEBNATH KALYAN                      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SAMRUDHI DEVBUILD INDUSTRIES INDIA LTD.                             | WTM/GM/IMD/69/2018-19      | 02-01-2023 |
| BGKPS2192E | VIDHU SHEKHAR SINGH                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AD/40455/2022    | 02-01-2023 |
| AACCG0885C | G R INDUSTRIES AND FINANCE LTD      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SMAD/36001/2022     | 02-01-2023 |
| AWJPS4793B | SUDARSHAN VENKATARAMAN              | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                          | WTM/SM/IVD/ID10/34/2021-22 | 02-01-2023 |
| AAPCS4873D | SUNGOLD PROPERTIES PVT LTD          | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | EAD-10/SM/DD/32265/1/2022  | 02-01-2023 |
| AAOCS7903F | SUNBRIGHT COMMODITIES TRADE PVT LTD | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                         | EAD-10/SM/DD/32386/1/2022  | 02-01-2023 |
| AABCU4261B | UNIFOUR COMMOSALE PVT LTD           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AE/35191/2022    | 02-01-2023 |

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| AFIPG7902C | USHA GUPTA                             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AD/35213/2022 | 02-01-2023 |
| AAFFH7794Q | GALAXY ENTERPRISES                     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/S/38983/2022  | 02-01-2023 |
| AABCU2641M | UJJWAL CLOTH MARKETING PVT LTD         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/DD/34785/2022 | 02-01-2023 |
| AADCT3937F | TRISHUL GEM JEWELLERY PRIVATE LIMITED  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/DD/34531/2022 | 02-01-2023 |
| AADCT6881G | TRIMURTI VINCOM PRIVATE LIMITED        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AE/37350/2022 | 02-01-2023 |
| AAACT9655R | TOMORROWS SALES AGENCY PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AE/37450/2022 | 02-01-2023 |
| AFRPP7787H | SUSHIL KUMAR PALRIWAL                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/DD/35220/2022 | 02-01-2023 |

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| AFTPK7746P | SUNITA KOCHAN                     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/DD/34262/2022   | 02-01-2023 |
| AAIHD5800M | DULAL GHOSH HUF                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AD/36149/2022   | 02-01-2023 |
| AABCE9161A | EMBLEM TRADELINK PRIVATE LIMITED  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AD/36104/2022   | 02-01-2023 |
| AABCF2706L | FORTUNE TREXIM PRIVATE LIMITED    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/S/37421/1/2022  | 02-01-2023 |
| AADCV5277G | VERSATILE SAREE TRADER PVT LTD    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AD/39829/1/2022 | 02-01-2023 |
| AAOCS3890H | SUPARSHVAMATI COMMODITIES PVT LTD | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/DD/40711/1/2022 | 02-01-2023 |
| AAGCP2760D | PREETI VYPAAR PRIVATE LIMITED     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/S/40434/2022    | 02-01-2023 |

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| AABCU1506F | UTTAM DEALERS PVT LTD       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/AD/37557/2022   | 02-01-2023 |
| AAFCP4810K | PREETI TRADECOM PRIVATE LTD | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/S/40742/1/2022  | 02-01-2023 |
| AAGCP2872C | PREETI COMMODITIES PVT LTD  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/S/40745/1/2022  | 02-01-2023 |
| AAFCP5386A | PREVIEW VINIMAY PRIVATE LTD | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/S/40735/1/2022  | 02-01-2023 |
| AAFHV7052L | VIKAS HUF                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/S/40768/1/2022  | 02-01-2023 |
| AAXHS2222P | SUSHIL GARG HUF             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/DD/40700/1/2022 | 02-01-2023 |
| AAACE3703B | EXCEL TECHNOVATION PVT LTD  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-10/SM/2022            | 02-01-2023 |

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| AACCM2844B | MULTIWYN COMMERCIAL PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                    | OUTWARD NO.45088/2022        | 02-01-2023 |
| AAHCA5130D | AMRIT PROJECTS (N.E.) LIMITED       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                        | WTM/PS/165/ERO/FEB/2016      | 02-01-2023 |
| ACOPC0503E | SHRI RANJAN KUMAR CHOWDHURY         | UNDER SECTIONS 11, 11(4), 11A AND 11(B) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                      | WTM/PS/165/ERO/FEB/2016      | 02-01-2023 |
| AHLPR2153F | SHRI SYED KAZIM RAZA                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                        | WTM/PS/165/ERO/FEB/2016      | 02-01-2023 |
| AACCA5192L | AMRIT PROJECTS LTD.                 | UNDER SECTIONS 11(1), 11(4), 11A AND 11(B) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND CLAUSE 17 OF SEBI (DISCLOSURE AND INVESTOR PROTECTION) GUIDELINES, 2000 READ WITH REGULATION 111 OF THE SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 | WTM/PS/169/ERO/FEB/2016      | 02-01-2023 |
| BJKPS6178P | SHRI SASANKA ROY SARKAR             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                        | WTM/PS/165/ERO/FEB/2016      | 02-01-2023 |
| AACCE5924A | EMINENCE INFRAPROJECTS LIMITED      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/73/2017 | 02-01-2023 |
| AKFPR8752F | SUPRIYA SINGHA ROY                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/73/2017 | 02-01-2023 |
| ANIPD2315E | SHRI TARUN KUMAR DAS                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/73/2017 | 02-01-2023 |
| BACPM7482D | SHRI KOUSHIK MUKHERJEE              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/73/2017 | 02-01-2023 |

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| BBFPM1003G | TANMOY MRIDHA               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/47/2017                         | 02-01-2023 |
| ASSPD0037G | MANOJ KUMAR DHALI           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/47/2017                         | 02-01-2023 |
| AYDPD5439P | ASHISH DHALI                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/47/2017                         | 02-01-2023 |
| AZUPB7887R | SANKAR BAIDYA               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/47/2017                         | 02-01-2023 |
| AVQPK4359M | MR. SHIVRAM KUSHWAH         | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995  | ADJUDICATION ORDER NO: ORDER/SM/SM/2019-20/7197-7203 | 02-01-2023 |
| AUAPR1861N | SURAJEETRAY                 | UNDER SECTIONS 11 (1), 11(4), 11A AND 1111 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/142/2016                                 | 02-01-2023 |
| ALGPB7497M | SANJAY BAHADUR              | UNDER SECTIONS 11 (1), 11(4), 11A AND 1111 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/142/2016                                 | 02-01-2023 |
| AKJPM5712E | NONIGOPAL MONDAL            | UNDER SECTIONS 11 (1), 11(4), 11A AND 1111 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/142/2016                                 | 02-01-2023 |
| AADCG4144R | GOLDMINE INDUSTRIES LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                               | WTM/MB/SEBI/EFD-DRA4/4/2017                          | 02-01-2023 |

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| BYHPS7846G | SHAMBHU NATH SAH | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/134/2016  | 02-01-2023 |
| AIEPD2431N | BABLU DEBNATH    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF:                    | WTM/RKA/EFD/146/2016  | 02-01-2023 |
| AOGPD1999H | SUBRATA DE       | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF:                    | WTM/RKA/EFD/146/2016  | 02-01-2023 |
| APIPD6321E | BINOY DEBNATH    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SAMRUDHI DEVBUILD INDUSTRIES INDIA LTD.                                                                      | WTM/GM/IMD/69/2018-19 | 02-01-2023 |
| AFLPN0768C | MOHAMMAD NESAR   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SAMRUDHI DEVBUILD INDUSTRIES INDIA LTD.                                                                      | WTM/GM/IMD/69/2018-19 | 02-01-2023 |
| AQDPD7058C | RITA DEBNATH     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SAMRUDHI DEVBUILD INDUSTRIES INDIA LTD.                                                                      | WTM/GM/IMD/69/2018-19 | 02-01-2023 |
| ARAPD2677F | MOUSUMI DAS      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SAMRUDHI DEVBUILD INDUSTRIES INDIA LTD.                                                                      | WTM/GM/IMD/69/2018-19 | 02-01-2023 |

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| CRGPS3281N | BALDEVRAJ SHARMA          | UNDER SECTIONS 11, 11(4),AND 11(B)OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF THE SEBI(ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS)REGULATION AND REGULATION 11OF SEBI(PROHIBITON OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATION 2003 | WTM/RKA/IVD/NRO/01/2013                               | 02-01-2023 |
| AUTPR3288E | RAMESH SHARMA             | UNDER SECTIONS 11, 11(4),AND 11(B)OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF THE SEBI(ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS)REGULATION AND REGULATION 11OF SEBI(PROHIBITON OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATION 2003 | WTM/RKA/IVD/NRO/01/2013                               | 02-01-2023 |
| AHWPJ3775G | MONIKA JAIN               | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                  | OUTWARD NO.45482/2022                                 | 02-01-2023 |
| ABNPL7384C | VINEETA KABRA             | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                          | SEBI/HO/DEPA-III/DEPA-III_SSU/P/OW/2022/0000039376/1  | 02-01-2023 |
| ADIPG6724E | VIMLA DEVI GOLECHHA       | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                          | SEBI/HO/DEPA-III/DEPA-III_SSU/P/OW/2022/0000039380/1  | 02-01-2023 |
| AGTPP6067F | LAXMANBHAI PATEL          | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                | ADJUDICATING ORDER NO.IVD/WOL/AO/DRK/ASG/EAD3-68/2009 | 02-01-2023 |
| KLRPS2627R | SHETH NILESH VINODCHANDRA | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                | ADJUDICATING ORDER NO.EAD- 2/AO/37/2012               | 02-01-2023 |

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| AITPM8547R | AMIT MEHTA                          | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995               | ADJUDICATING ORDER NO.EAD- 2/AO/35/2012 | 02-01-2023 |
| AAACY2254M | VAANA APPARELS PVT LTD              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-6/AK/VV/55804/1/2022                | 02-01-2023 |
| AABCS0614E | SPS BUILDERS PRIVATE LIMITED        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI LETTER NOT                         | 02-01-2023 |
| AABPA5556C | VIVEK ARORA                         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI LETTER NOT                         | 02-01-2023 |
| AAECC7554L | CRABEL DISTRIBUTORS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI LETTER NOT                         | 02-01-2023 |
| AAFHD3466C | DIPAK GUPTA HUF                     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/NRO/JS/ASR/ISO/48812/1/2022        | 02-01-2023 |
| AAGHS1170K | SHRI RAM GUPTA HUF                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI LETTER NOT                         | 02-01-2023 |

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| AAHCA2103Q | AMBITION COMMODEAL PVT LTD.                | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                   | SEBI/NRO/JS/ASR/ISO/48785/1/2022 | 02-01-2023 |
| AAICA2282P | XERSUS SALES PVT LTD                       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                   | SEBI LETTER NOT                  | 02-01-2023 |
| AANFV4919L | VIMUK ENTERPRISES                          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 FOR ADJUDICATION U/S 15 HA AND 15HB OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF "TRADING BY CERTAIN ENTITIES IN MENTHA OIL FUTURES CONTRACTS AT MULTI COMMODITY EXCHANGE OF LNDIA LIMITED | EAD-6/AK/BS/49540/1/2022         | 02-01-2023 |
| AAOCS7016F | SPECTRUM<br>TECHNOPROJECTS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                   | SEBI LETTER NOT                  | 02-01-2023 |
| AAOPG1467H | VIKRAM GUPTA                               | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 FOR ADJUDICATION U/S 15 HA AND 15HB OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF "TRADING BY CERTAIN ENTITIES IN MENTHA OIL FUTURES CONTRACTS AT MULTI COMMODITY EXCHANGE OF LNDIA LIMITED | EAD-6/AK/BS/49548/1/2022         | 02-01-2023 |
| AEYPP7292M | AMARJEET KAUR PARMAR                       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                   | SEBI/NRO/OW/JS/ASR/48769/1/2022  | 02-01-2023 |

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| AJOPG5806B | NEETU GUPTA                             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 FOR ADJUDICATION U/S 15 HA AND 15HB OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF "TRADING BY CERTAIN ENTITIES IN MENTHA OIL FUTURES CONTRACTS AT MULTI COMMODITY EXCHANGE OF LNDIA LIMITED | EAD-6/AK/BS/49547/1/2022         | 02-01-2023 |
| BEJPS1492A | AMIT SHAW                               | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                   | SEBI/NRO/JS/ASR/ISO/48804/1/2022 | 02-01-2023 |
| BSFPK6683P | KRISHNAMURTHY G                         | SHOW CAUSE NOTICE UNDER SECTIONS 11B, 11B(1), 11B(2), 11(4) AND 11(4A) OF SEBI ACT, 1992 FOR ALLEGED VIOLATION OF SECTION 12(1) OF SEBI ACT, 1992 READ WITH REGULATION 3(1) OF THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013                                                                                                     | SRO/UIA/SC/SK/OW/P/28390/1/2022  | 02-01-2023 |
| AVLPD3177H | SANJAL KANTI DAS                        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                                                                                                                                             | WTM/RKA/EFD-DRA-IV/189/2016      | 02-01-2023 |
| AACCM1043Q | MASKARA FINVEST PVT LTD                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                   | SEBI/EAD5/AA/43095               | 02-01-2023 |
| AAFHM1072D | MANISH PERIWAL HUF                      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                   | EAD5/AA/HP/2022/42888            | 02-01-2023 |
| AAHCM1736B | MANMOHAK INFRASTRUCTURE PRIVATE LIMITED | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                           | EAD5/AA/HP/2022/42893            | 02-01-2023 |

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| AAHCM2762P | MANOMAY DEALMARK PVT LTD    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/EAD5/AA/43079     | 02-01-2023 |
| AAHCM7463R | MAO VYAPAAR PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/EAD5/AA/42963     | 02-01-2023 |
| AAICM7417L | MARITECH COMMOTRADE PVT LTD | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/EAD5/AA/43072     | 02-01-2023 |
| AAIHM2874E | MANOJ GARG HUF              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/EAD5/AA/42974     | 02-01-2023 |
| AAKHM1813M | MANOJ KUMAR TIWARY HUF      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | SEBI/EAD5/AA/43060     | 02-01-2023 |
| AAMHM2532F | MANISH RATHI HUF            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-5/AA/HP/2022/42877 | 02-01-2023 |
| AANHM8407J | MANISH BUBNA HUF            | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE | EAD-5/AA/HP/47653/2022 | 02-01-2023 |

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| AAOCS5535R | SGI RESEARCH & ANALYSIS LTD. | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 AND REGULATION 11 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING SECURITIES MARKET REGULATIONS, 2003. | WTM/RKA/IVD/NRO/01/2013 | 02-01-2023 |
| AARPS7233G | SANJEEV SHARMA               | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 AND REGULATION 11 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING SECURITIES MARKET REGULATIONS, 2003. | WTM/RKA/IVD/NRO/01/2013 | 02-01-2023 |
| ABTPA4805B | MANOJ AGRAWAL                | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                          | SEBI/EAD5/AA/45411      | 02-01-2023 |
| ACCPM3981C | MANISHA MEHTA                | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                          | EAD-5/AA/HP/2022/42857  | 02-01-2023 |
| ACZPG2014R | MANIKA CHORARIA              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                          | EAD-5/AA/HP/2022/42824  | 02-01-2023 |

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| AGWPB2141F | MANISHA BATHWAL                         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                          | SEBI LETTER NOT                       | 02-01-2023 |
| AHZPA2178F | MANISH AGARWAL                          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                          | EAD-5/AA/HP/47641/2022                | 02-01-2023 |
| BCIPD7293J | PRIYANKA DEV                            | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 AND REGULATION 11 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING SECURITIES MARKET REGULATIONS, 2003. | WTM/RKA/IVD/NRO/01/2013               | 02-01-2023 |
| AAEHB1859G | BHARATIA NANDA KISHORE                  | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                  | SEBI/HO/MIRSD-RAC-1/P/OW/2022/34957/1 | 02-01-2023 |
| AJSPD8240L | RAMDULARI DEVI                          | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                  | SEBI/IVD-13/SCN/AO-DJ/AG/2022/33965/1 | 02-01-2023 |
| AAJHS6712E | S K AGARWAL AND SONS HUF                | ADJUDICATION PROCEEDINGS IN RESPECT OF S K AGARWAL AND SONS HUF IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE: SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                               | SEBI/HO/IVD/ID17/BSR/AS/2022/13638/1  | 02-01-2023 |
| AACCS6622B | BHUMIKA FISCAL SERVICES PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                          | OUTWARD NO.38954/2022                 | 02-01-2023 |

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| AAECB8579J | BHUJADHARI AGENCIES PRIVATE LIMITED                           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE  | OUTWARD NO.<br>38959/2022    | 02-01-2023 |
| APTPJ9146A | BIMALA JOSHI                                                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE  | OUTWARD NO.<br>36448/2022    | 02-01-2023 |
| AACCI0550Q | IMPROVE VINCOME PRIVATE LIMITED                               | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                          | OUTWARD NO.<br>41114/2022    | 02-01-2023 |
| AACCH3927N | HORA TIE-UP PRIVATE LIMITED                                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE  | OUTWARD NO.<br>39026/2022    | 02-01-2023 |
| AACCB2213R | Q & B RETAIL LIMITED (EARLIER KNOWN AS BASIL EXPRESS LIMITED) | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF Q & B RETAIL LIMITED (EARLIER KNOWN AS "M/S BASIL EXPRESS LIMITED") | WTM/MPB/EFD-1-DRA-IV/54/2019 | 02-01-2023 |
| AACCH5858G | HUM PROJECTS LIMITED                                          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF HUM PROJECTS LIMITED                                            | WTM/PS/110/ERO/BLO/D EC/2015 | 02-01-2023 |
| AAHCA4914B | ABYSS ASSAM REAL ESTATE LIMITED                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ABYSS ASSAM REAL ESTATE LIMITED                                     | WTM/MPB/EFD-1-DRA-IV/86/2017 | 02-01-2023 |
| ABOPK6136M | SUBHAS KUNDU                                                  | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF HUM PROJECTS LIMITED                                            | WTM/PS/110/ERO/BLO/D EC/2015 | 02-01-2023 |
| ACOPA1462G | SHEIK SAUKAT ALI                                              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF MARS AGTOFARM DEVELOPERS LIMITED                                    | WTM/MPB/EFD-1-DRA-IV/05/2017 | 02-01-2023 |

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| AEDPH4898E | ASHOK HALDER            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF MASS INFRA REALTY LIMITED                                                                                        | WTM/PS/10/ERO/APR/2016             | 02-01-2023 |
| AFCPK5730L | SURANJAN KAR            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF HUM PROJECTS LIMITED                                                                                             | WTM/PS/110/ERO/BLO/D<br>EC/2015    | 02-01-2023 |
| AFNPC6695P | DILIP KUMAR CHAKRABORTY | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF MASS INFRA REALTY LIMITED                                                                                        | WTM/PS/10/ERO/APR/2016             | 02-01-2023 |
| AGRPB6998B | SUMEET KUMAR BHAGAT     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF MASS INFRA REALTY LIMITED                                                                                        | WTM/PS/10/ERO/APR/2016             | 02-01-2023 |
| AHGPN9138H | RATAN NASKAR            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF -                                                                                                                     | WTM/GM/SEBI/ERO/IM<br>D/39/2017-18 | 02-01-2023 |
| AHIPR2184B | SANDIP ROY              | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF HUM PROJECTS LIMITED                                                                                             | WTM/PS/110/ERO/BLO/D<br>EC/2015    | 02-01-2023 |
| AIFPB0585Q | SADHON BACHHAR          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF -                                                                                                                     | WTM/GM/SEBI/ERO/IM<br>D/39/2017-18 | 02-01-2023 |
| AJIPR6467K | MD. MAZIBAR RAHMAN      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF ABYSS ASSAM REAL ESTATE LIMITED                                                                                      | WTM/MPB/EFD-1-DRA-<br>IV/86/2017   | 02-01-2023 |
| AJJPT2318L | SONI TODI               | SHOW CAUSE NOTICE UNDER RULE 4 (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN RESPECT OF SONI TODI IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT | RRD/AO-JS/N/182/2022               | 02-01-2023 |
| AKCPT3295J | MR. AYNAL HOQUE         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF ABYSS ASSAM REAL ESTATE LIMITED                                                                                      | WTM/MPB/EFD-1-DRA-<br>IV/86/2017   | 02-01-2023 |

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| AKUPP4675Q | YOGANAND PRASAD        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF SUNPLANT CONSTRUCTIONS LIMITED  | WTM/MPB/EFD-1-DRA-IV/99/2017    | 02-01-2023 |
| AMNPP2918D | SUBHASISH PANDE        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF HUM PROJECTS LIMITED        | WTM/PS/110/ERO/BLO/D EC/2015    | 02-01-2023 |
| AQIPB5315P | NITYANANDA BAIDYA      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF -                                | WTM/GM/SEBI/ERO/IM D/39/2017-18 | 02-01-2023 |
| AVKPM2947F | KUNDAL MANNA           | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF MASS INFRA REALTY LIMITED   | WTM/PS/10/ERO/APR/2016          | 02-01-2023 |
| AVZPM5268J | SAUMEN MONDAL          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF -                                | WTM/GM/SEBI/ERO/IM D/39/2017-18 | 02-01-2023 |
| AWKPB6801G | BIDESH BASU            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF MASS INFRA REALTY LIMITED   | WTM/PS/10/ERO/APR/2016          | 02-01-2023 |
| AWTPP2649D | SANKAR PAILAN          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF -                                | WTM/GM/SEBI/ERO/IM D/39/2017-18 | 02-01-2023 |
| AWZPM5169R | ANTARA MUKHERJEE       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF SILICON PROJECTS INDIA LIMITED  | WTM/MPB/EFD-1-DRA-IV/124/2018   | 02-01-2023 |
| AXVPM6619B | MR. ABDUL MALEQUE MIAH | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF ABYSS ASSAM REAL ESTATE LIMITED | WTM/MPB/EFD-1-DRA-IV/86/2017    | 02-01-2023 |
| AZXPM4025B | SAMIR KUMAR MANDAL     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF MASS INFRA REALTY LIMITED   | WTM/PS/10/ERO/APR/2016          | 02-01-2023 |
| BGIPS8454D | MR. TILAK SARMA        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF ABYSS ASSAM REAL ESTATE LIMITED | WTM/MPB/EFD-1-DRA-IV/86/2017    | 02-01-2023 |

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| BWXPM1173N | SUBODH MONDAL                        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF MASS INFRA REALTY LIMITED | WTM/PS/10/ERO/APR/2016                           | 02-01-2023 |
| CXKPS4104E | CHANDRA SHEKHAR SABAT                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF HUM PROJECTS LIMITED      | WTM/PS/110/ERO/BLO/D EC/2015                     | 02-01-2023 |
| FLJPS3301B | P. SOUNDARAVALLI                     | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF SBS INVESTMENTS                    | WTM/MPB/EFD-1-DRA-IV/117/2018                    | 02-01-2023 |
| AAECC5511F | CAPABLE MINING PRIVATE LIMITED       | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/MIRSD/MIRSD-POD-1/P/OW/2022/0000037964/1 | 02-01-2023 |
| AVLPC7083R | NAMRATA CHORADIA                     | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/MIRSD/MIRSD-POD-1/P/OW/2022/0000038310/1 | 02-01-2023 |
| CQTPS3629C | NAMRATA SINGHAL                      | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/MIRSD/MIRSD-POD-1/P/OW/2022/0000038375/1 | 02-01-2023 |
| ALGPG2954A | NANDINI GUPTA                        | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/MIRSD/MIRSD-POD-1/P/OW/2022/0000038274/1 | 02-01-2023 |
| AEKPM3430Q | NANDKISHORE MASKARA                  | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/MIRSD/MIRSD-POD-1/P/OW/2022/0000038173/1 | 02-01-2023 |
| AADHN7088Q | NANU RAM SARAF HUF                   | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/MIRSD/MIRSD-POD-1/P/OW/2022/0000037950/1 | 02-01-2023 |
| AACHN8119B | NARAYAN PRASAD                       | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/MIRSD/MIRSD-POD-1/P/OW/2022/0000036716/1 | 02-01-2023 |
| AAAHN9264M | NARENDRA NATH JINDAL                 | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/MIRSD/MIRSD-POD-1/P/OW/2022/0000035878/1 | 02-01-2023 |
| AACCT9675P | TRIPURARI PROPERTIES PRIVATE LIMITED | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/ERO/MD/RK/OW/2022/037517/1                  | 02-01-2023 |

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| AAACR6794F | RAJASTHAN REALTORS PRIVATE LIMITED  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RAJASTHAN REALTORS PRIVATE LIMITED                | EAD-8/PM/AN/ISO-II/18209/1/2021                      | 02-01-2023 |
| AAMHR6180G | RAJEEV CHANDAK HUF                  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RAJEEV CHANDAK HUF                                | EAD-8/PM/PA/ISO-II/21550/1/2021                      | 02-01-2023 |
| AADCG0853B | GARIMA REAL ESTATE & ALLIED LIMITED | UNDER SECTION 15 - I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/SM/2019-20/7197-7203 | 02-01-2023 |
| AVQPK4360A | MR. BALKISHAN KUSHWAH               | UNDER SECTION 15 - I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/SM/2019-20/7197-7203 | 02-01-2023 |
| BNXPS1496L | MR. BIJENDRA PAL SINGH              | UNDER SECTION 15 - I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/SM/2019-20/7197-7203 | 02-01-2023 |
| DGXPK9360P | MR. JITENDRA KUMAR                  | UNDER SECTION 15 - I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/SM/2019-20/7197-7203 | 02-01-2023 |

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| ABVPL8322Q | BHAGWATI BAI LODHI                 | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN THE MATTER OF SUSK INDIA LIMITED                                                                                                      | WTM/GM/EFD/78/2017-18                             | 02-01-2023 |
| AAECB4806G | BHOOMI DEVCON AND AGRITECH LIMITED | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JUNE 29, 2015 IN THE MATTER OF BHOOMI DEVCON & AGRITECH LIMITED (BHOOMI DEVCON). | WTM/GM/EFD/120/2017-18                            | 02-01-2023 |
| AADCD2895N | DGR FARMS AND LEISURES LIMITED     | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF DGR FARMS AND LEISURES LIMITED                                                                                                                             | WTM/AB/EFD-1/DRA-3/15/2019-20                     | 02-01-2023 |
| CUEPS7834L | DINESH SAINI                       | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN THE MATTER OF SUSK INDIA LIMITED                                                                                                      | WTM/GM/EFD/78/2017-18                             | 02-01-2023 |
| ANLPB5867A | DOLLY BANERJEE                     | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                | ADJUDICATION ORDER NO. AO/SBM/EAD- 3/136-139/2018 | 02-01-2023 |

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| AMZPV6270A | GHASI RAMVISHWAKARMA  | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JUNE 29, 2015 IN THE MATTER OF BHOOMI DEVCON & AGRITECH LIMITED (BHOOMI DEVCON). | WTM/GM/EFD/120/2017-18                            | 02-01-2023 |
| BPDPS6651E | H SIREESHA            | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER DATED JUNE 23, 2015 IN THE MATTER OF V3 INFRASTRUCTURE AND ESTATES PRIVATE LTD.                              | WTM GM EFD/46/2017-18                             | 02-01-2023 |
| BYGPS5769H | KAILASH SINGH LODHI   | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN THE MATTER OF SUSK INDIA LIMITED                                                                                                      | WTM/GM/EFD/78/2017-18                             | 02-01-2023 |
| AKLPV6427H | LAL CHAND VISHVAKARMA | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JUNE 29, 2015 IN THE MATTER OF BHOOMI DEVCON & AGRITECH LIMITED (BHOOMI DEVCON). | WTM/GM/EFD/120/2017-18                            | 02-01-2023 |
| AUZPB0556H | MAUSAMI BANERJEE      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                | ADJUDICATION ORDER NO. AO/SBM/EAD- 3/136-139/2018 | 02-01-2023 |

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| AWJPS1018D | MR. ALOK KUMAR SINGH      | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF DGR FARMS AND LEISURES LIMITED                   | WTM/AB/EFD-1/DRA-3/15/2019-20 | 02-01-2023 |
| AKOPP8093N | MR. JAINENDRA KUMAR PATEL | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF DGR FARMS AND LEISURES LIMITED                   | WTM/AB/EFD-1/DRA-3/15/2019-20 | 02-01-2023 |
| AGKPA9503C | MR. MRINAL ATAL           | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF ZEESTAR LIMOUSINES LTD.                                    | WTM/AB/EFD-1/DRA-3/22/2019-20 | 02-01-2023 |
| AGMPG4657M | MR. SHANKAR LAL GUPTA     | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF DGR FARMS AND LEISURES LIMITED                   | WTM/AB/EFD-1/DRA-3/15/2019-20 | 02-01-2023 |
| APQPP5268L | MR. SHYAM LAL PAHWA       | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF SHEEN AGRO & PLANTATION LTD. | WTM/RKA/NRO/CIS/135/2014      | 02-01-2023 |
| ASHPK4559K | MR. SURENDRA KUMAR        | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF ZEESTAR LIMOUSINES LTD.                                    | WTM/AB/EFD-1/DRA-3/22/2019-20 | 02-01-2023 |

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| AFAPD7831F | MR. SUSHIL KUMAR DUBEY | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF DGR FARMS AND LEISURES LIMITED                                                                                                                             | WTM/AB/EFD-1/DRA-3/15/2019-20                     | 02-01-2023 |
| AGOPA6418L | MS. REENA ATAL         | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF ZEESTAR LIMOUSINES LTD.                                                                                                                                              | WTM/AB/EFD-1/DRA-3/22/2019-20                     | 02-01-2023 |
| AEDPL0722M | NARENDRA SINGH LODHI   | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN THE MATTER OF SUSK INDIA LIMITED                                                                                                      | WTM/GM/EFD/78/2017-18                             | 02-01-2023 |
| AKNPV1081D | RADHA BAI VISHWAKARMA  | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JUNE 29, 2015 IN THE MATTER OF BHOOMI DEVCON & AGRITECH LIMITED (BHOOMI DEVCON). | WTM/GM/EFD/120/2017-18                            | 02-01-2023 |
| ANLPB5866B | RAJ KUMAR BANERJEE     | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                | ADJUDICATION ORDER NO. AO/SBM/EAD- 3/136-139/2018 | 02-01-2023 |

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| AHUPA0336L | SANJAY KUMAR AGRAWAL                           | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JUNE 29, 2015 IN THE MATTER OF BHOOMI DEVCON & AGRITECH LIMITED (BHOOMI DEVCON). | WTM/GM/EFD/120/2017-18                            | 02-01-2023 |
| AANCS5416Q | SPNJ LAND PROJECT AND DEVELOPERS INDIA LIMITED | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                | ADJUDICATION ORDER NO. AO/SBM/EAD- 3/136-139/2018 | 02-01-2023 |
| CHXPS2858E | SUNIL TIWARI                                   | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN THE MATTER OF SUSK INDIA LIMITED                                                                                                      | WTM/GM/EFD/78/2017-18                             | 02-01-2023 |
| AAOCS2750A | SUSK INDIA LIMITED                             | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN THE MATTER OF SUSK INDIA LIMITED                                                                                                      | WTM/GM/EFD/78/2017-18                             | 02-01-2023 |
| AABCU0988M | USK INDIA LIMITED                              | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MAY 07, 2015 IN THE MATTER OF USK INDIA LIMITED (USK).                           | WTM/GM/EFD/44/2018-19                             | 02-01-2023 |

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| ADEPV4483D | V MADHUSUDHAN              | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER DATED JUNE 23, 2015 IN THE MATTER OF V3 INFRASTRUCTURE AND ESTATES PRIVATE LTD. | WTM GM EFD/46/2017-18         | 02-01-2023 |
| APFPK5648J | V SANTOSH KUMAR            | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER DATED JUNE 23, 2015 IN THE MATTER OF V3 INFRASTRUCTURE AND ESTATES PRIVATE LTD. | WTM GM EFD/46/2017-18         | 02-01-2023 |
| AAACZ3468J | ZEESTAR LIMOUZINES LIMITED | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF ZEESTAR LIMOUSINES LTD.                                                                                                                 | WTM/AB/EFD-1/DRA-3/22/2019-20 | 02-01-2023 |
| AEEP0476M  | HITA MANISH DAVE           | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                    | OUTWARD NO. 32697/2022        | 02-01-2023 |
| AHLPK1667P | HUNAR VIPIN KANDHARI       | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                    | OUTWARD NO. 32040/2022        | 02-01-2023 |
| AABCU3309A | URO LIFECARE LIMITED       | IN RESPECT OF INTERIM ORDERS CUM SHOW CAUSE NOTICES DATED MARCH 19, 2015 IN THE MATTER OF URO INFRA REALITY INDIA LTD., URO INFOTECH LT., URO HYGENIC FOODS LTD., URO WALKERS LTD. URO LIFECARE LTD.                                                                                                                         | WTM/GM/IMD/ERO/18/JUNE/2017   | 03-01-2023 |
| AABCU3310M | URO WALKERS LIMITED        | IN RESPECT OF INTERIM ORDERS CUM SHOW CAUSE NOTICES DATED MARCH 19, 2015 IN THE MATTER OF URO INFRA REALITY INDIA LTD., URO INFOTECH LT., URO HYGENIC FOODS LTD., URO WALKERS LTD. URO LIFECARE LTD.                                                                                                                         | WTM/GM/IMD/ERO/18/JUNE/2017   | 03-01-2023 |

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| AABCU3312K | URO HYGIENIC FOODS LIMITED          | IN RESPECT OF INTERIM ORDERS CUM SHOW CAUSE NOTICES DATED MARCH 19, 2015 IN THE MATTER OF URO INFRA REALITY INDIA LTD., URO INFOTECH LT., URO HYGENIC FOODS LTD., URO WALKERS LTD. URO LIFECARE LTD.                   | WTM/GM/IMD/ERO/18/JUNE/2017        | 03-01-2023 |
| AABCU3313J | URO INFOTECH LIMITED                | IN RESPECT OF INTERIM ORDERS CUM SHOW CAUSE NOTICES DATED MARCH 19, 2015 IN THE MATTER OF URO INFRA REALITY INDIA LTD., URO INFOTECH LT., URO HYGENIC FOODS LTD., URO WALKERS LTD. URO LIFECARE LTD.                   | WTM/GM/IMD/ERO/18/JUNE/2017        | 03-01-2023 |
| AACCD2359Q | MOONLIGHT ASSOCIATE LIMITED         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                           | WTM/MPB/EFD-1-DRA-III/138/2018     | 03-01-2023 |
| AADCB2189H | BNP REAL ESTATE AND ALLIED LIMITED  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                           | WTM/MPB/EFD-1-DRA-III/112/2017     | 03-01-2023 |
| AAICA6147R | ESBI INFRASTRUCTURE COMPANY LTD     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                          | WTM/MPB/EFD-1-DRA-IV/46/2019       | 03-01-2023 |
| AAJPB4769J | MR. SACHINDRA NATH BHATTACHARYA     | IN RESPECT OF INTERIM ORDERS CUM SHOW CAUSE NOTICES DATED MARCH 19, 2015 IN THE MATTER OF URO INFRA REALITY INDIA LTD., URO INFOTECH LT., URO HYGENIC FOODS LTD., URO WALKERS LTD. URO LIFECARE LTD.                   | WTM/GM/IMD/ERO/18/JUNE/2017        | 03-01-2023 |
| AAKPB5408R | SHRI GIRISHCHANDRA MUKUNDRAM BALUNI | UNDER SECTIONS 11(1), 11(B) AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH SECTION 73 OF COMPANIES ACT 1956                                                                                  | WTM/AB/EFD1/EFD1-DRA3/7449/2020-21 | 03-01-2023 |
| AAKPI6206L | SAMSUL ISLAM                        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                           | WTM/MPB/EFD-1-DRA-III/138/2018     | 03-01-2023 |
| ABEPH7054G | TARA PRASAD HOTTA                   | UNDER SECTIONS 11, 11(4)AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORCER CUM SHOW CAUSE NOTICE DATED SEPTEMBER 30,2016 IN THE MATTER OF OSCAR MANAGEMENT SERVICES LTF (OMSL) | WTM/GM/EFD/24/2018-19              | 03-01-2023 |

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| ABIPJ6029P | SHRI KAMLENDRA JOSHI          | UNDER SECTIONS 11(1), 11(B) AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH SECTION 73 OF COMPANIES ACT 1956                                                                                                           | WTM/AB/EFD1-DRA3/7449/2020-21  | 03-01-2023 |
| ABIPN1070A | SUJOY NANDI                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                    | WTM/PS/21/IMD-ERO/MAY/2016     | 03-01-2023 |
| ACOPN4971B | MR. UMESH NARWARIA            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                    | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| ADKPS7156A | MR. SANTOSH SHARMA            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                    | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| ADNPD6019L | MR. SANTOSH KUMAR DWIVEDI     | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 16,2016 IN THE MATTER OF RISING AGROTECH LIMITED.                                                | WTM/GM/EFD/35/2018-19          | 03-01-2023 |
| ADPPN6255N | MR. RAGHVENDRA SINGH NARWARIA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                       | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| AEUPN2924A | NITYANANDA NATH               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                    | WTM/MPB/EFD-1-DRA-III/138/2018 | 03-01-2023 |
| AFEPB6968F | JITEN CHANDRA BORA            | UNDER SECTIONS 11(1), 11(4), 11A AND 11(B) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED OCTOBER 18,2017 IN THE MATTER OF GRASS ROOT FINANCE & INVESTMET COMPANY (INDIA) LTD. | WTM/AB/ERD-1/DRA-3/09/2018-19  | 03-01-2023 |
| AFHPP8743H | SHRI SUBRATA KUMAR PAUL       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                   | WTM/MPB/EFD-1-DRA-IV/46/2019   | 03-01-2023 |
| AFKPP7191Q | MR. AMARESH PANDEY            | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 16,2016 IN THE MATTER OF RISING AGROTECH LIMITED.                                                | WTM/GM/EFD/35/2018-19          | 03-01-2023 |

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| AILPD1367L | SMT. IPSITA DAS GIRI                       | IN RESPECT OF INTERIM ORDERS CUM SHOW CAUSE NOTICES DATED MARCH 19, 2015 IN THE MATTER OF URO INFRA REALITY INDIA LTD., URO INFOTECH LT., URO HYGENIC FOODS LTD., URO WALKERS LTD. URO LIFECARE LTD.                                            | WTM/GM/IMD/ERO/18/JUNE/2017    | 03-01-2023 |
| AIXPG7534N | MR. BISWAPRIYA GIRI                        | IN RESPECT OF INTERIM ORDERS CUM SHOW CAUSE NOTICES DATED MARCH 19, 2015 IN THE MATTER OF URO INFRA REALITY INDIA LTD., URO INFOTECH LT., URO HYGENIC FOODS LTD., URO WALKERS LTD. URO LIFECARE LTD.                                            | WTM/GM/IMD/ERO/18/JUNE/2017    | 03-01-2023 |
| AJQPD5126R | BASAB DASGUPTA                             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                    | WTM/PS/21/IMD-ERO/MAY/2016     | 03-01-2023 |
| ALFPM5139C | MR. PRASUN MONDAL                          | IN RESPECT OF INTERIM ORDERS CUM SHOW CAUSE NOTICES DATED MARCH 19, 2015 IN THE MATTER OF URO INFRA REALITY INDIA LTD., URO INFOTECH LT., URO HYGENIC FOODS LTD., URO WALKERS LTD. URO LIFECARE LTD.                                            | WTM/GM/IMD/ERO/18/JUNE/2017    | 03-01-2023 |
| AMGPB0071J | KARUNA BORAH                               | UNDER SECTIONS 11(1), 11(4), 11A AND 11(B) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED OCTOBER 18,2017 IN THE MATTER OF GRASS ROOT FINANCE & INVESTMET COMPANY (INDIA) LTD. | WTM/AB/ERD-1/DRA-3/09/2018-19  | 03-01-2023 |
| ANQPG7900G | MS. GYANESH RAWAT ALIAS MS. GYANESH SHARMA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                    | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| APFPD4625L | PRAMATHES DUTTA                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                    | WTM/PS/21/IMD-ERO/MAY/2016     | 03-01-2023 |
| AQQPP3214P | MR. SANJEEV KUMAR PURWANSI                 | UNDER SECTIONS 11, 11(4), 11A AND 11(B) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                 | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |

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| ARBPS6180P | MR. AWADHESH KUMAR SINGH | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 16,2016 IN THE MATTER OF RISING AGROTECH LIMITED.                       | WTM/GM/EFD/35/2018-19          | 03-01-2023 |
| ASUPP2165M | ABANI KANTA PATTNAIK     | UNDER SECTIONS 11, 11(4)AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORCER CUM SHOW CAUSE NOTICE DATED SEPTEMBER 30,2016 IN THE MATTER OF OSCAR MANAGEMENT SERVICES LTF (OMSL) | WTM/GM/EFD/24/2018-19          | 03-01-2023 |
| AXQPB6263K | KRITI RANJAN BASTIA      | UNDER SECTIONS 11, 11(4)AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORCER CUM SHOW CAUSE NOTICE DATED SEPTEMBER 30,2016 IN THE MATTER OF OSCAR MANAGEMENT SERVICES LTF (OMSL) | WTM/GM/EFD/24/2018-19          | 03-01-2023 |
| BASPP6084L | MR. TAPAN PRAMANIK       | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 21, 2015 IN THE MATTER OF MPA AGRO ANIMAL PROJECTS LIMITED            | WTM/GM/EFD/DRAIII/50/2017-18   | 03-01-2023 |
| BBCPD1190E | MR. KRISHNADHAN DAS      | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 21, 2015 IN THE MATTER OF MPA AGRO ANIMAL PROJECTS LIMITED            | WTM/GM/EFD/DRAIII/50/2017-18   | 03-01-2023 |
| BBIPP4520L | MR. MAHESH PALIWAL       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                           | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| BCFPS8598R | MR. MONOJ KUMAR SAHA     | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 21, 2015 IN THE MATTER OF MPA AGRO ANIMAL PROJECTS LIMITED            | WTM/GM/EFD/DRAIII/50/2017-18   | 03-01-2023 |

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| BCKPS7359M | MR. MUKESH KUMAR SHARMA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                   | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| BDVPS3534A | MS. KISHORI SHARMA.     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                   | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| BHAPS1632N | MR. RAVINDRA SINGH      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                   | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| BKHPS7213P | JAGNESWAR SAIKIA        | UNDER SECTIONS 11(1),11(4), 11A AND 11(B) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED OCTOBER 18,2017 IN THE MATTER OF GRASS ROOT FINANCE & INVESTMET COMPANY (INDIA) LTD. | WTM/AB/ERD-1/DRA-3/09/2018-19  | 03-01-2023 |
| BMGPS2259Q | MR. BINAY KUMAR SHAW    | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 16,2016 IN THE MATTER OF RISING AGROTECH LIMITED.                                               | WTM/GM/EFD/35/2018-19          | 03-01-2023 |
| BNSPP8133M | MR. SURAJIT PAUL        | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 21, 2015 IN THE MATTER OF MPA AGRO ANIMAL PROJECTS LIMITED                                    | WTM/GM/EFD/DRAIII/50/2017-18   | 03-01-2023 |
| BNUPS4121C | MS. SUREKHA SHARMA      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                   | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| BOUPS2175H | MR. KUNVER SINGH        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                   | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |

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| CDUPS3365R | MR. PINTU SEN                        | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 21, 2015 IN THE MATTER OF MPA AGRO ANIMAL PROJECTS LIMITED                           | WTM/GM/EFD/DRAIII/50/2017-18   | 03-01-2023 |
| CGEPS8222C | MR. DEVENDRA KUMAR SHARMA            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                          | WTM/MPB/EFD-1-DRA-III/112/2017 | 03-01-2023 |
| AGOPC3742P | SHRI ABHISHEK S. CHAUHAN             | UNDER SECTIONS 11, 11(4)AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                | WTM/MOB/EFD-1-DRA-IV/93/2017   | 09-01-2023 |
| AADCV8844K | VISHWAMITRA INDIA TOUR & HOTELS LTD. | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                      | WTM/RKA/EFD /92/2016           | 09-01-2023 |
| AISPD5571H | PRABIN DASH                          | UNDER SECTIONS 11, 11(4),11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                          | WTM/MPB/EFD-1-DRA-IV/4/2018    | 09-01-2023 |
| ALYP9588R  | MANOJ KUMAR PRADHAN                  | UNDER SECTIONS 11, 11(4),11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTIONS 56(1), 56(3) AND 56(4), SECTION 60 AND SECTION 73(2) OF THE COMPANIES ACT, 1956 IN THE MATTER OF MAGNOX INFRAPROJECTS | WTM/MPB/EFD-1-DRA-IV/140/2018  | 09-01-2023 |
| ATEPP2709C | ANUKUL PATRA                         | UNDER SECTIONS 11, 11(4), 11A. AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                        | WTM/PS/164/ERO/FEB/2016        | 09-01-2023 |
| BCXPB3598L | AMRIT BHUNIA                         | UNDER SECTIONS 11, 11(4),11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTIONS 56(1), 56(3) AND 56(4), SECTION 60 AND SECTION 73(2) OF THE COMPANIES ACT, 1956 IN THE MATTER OF MAGNOX INFRAPROJECTS | WTM/MPB/EFD-1-DRA-IV/140/2018  | 09-01-2023 |

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| BEAPP0928K | JYOTIRANJAN PANDA                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTIONS 56(1), 56(3) AND 56(4), SECTION 60 AND SECTION 73(2) OF THE COMPANIES ACT, 1956 IN THE MATTER OF MAGNOX INFRAPROJECTS     | WTM/MPB/EFD-1-DRA-IV/140/2018 | 09-01-2023 |
| AAACS0029A | SANKET INVESTMENTS AND MARKETING LIMITED,       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/167/2018 | 09-01-2023 |
| AABCU2558H | UNITED MEDICINE AND SURGICAL INDUSTRIES LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/RKA/EFD/174/2016          | 09-01-2023 |
| AADCD6788Q | DREAMLAND INDUSTRIES LIMITED                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/PS/158/ERO/FEB/2016       | 09-01-2023 |
| AADCG6933A | GREENBANG AGRO LIMITED                          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                      | WTM/GM/EFD/27/2018-19         | 09-01-2023 |
| AAECM1125F | MONDAL CONSTRU.                                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/PS/136/ERO/JAN/2016       | 09-01-2023 |
| AAECN1024A | NIRMAL INFRAHOME CORPORATION LIMITED            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/93/2017  | 09-01-2023 |
| AAECR6032J | RISTA FISHERIES AND INFRASTRUCTURE LIMITED      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/PS/179/ERO/MAR/2016       | 09-01-2023 |
| AAGCM1706Q | MORNINGSTAR VENTURES LIMITED                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/RKA/EFD/141/2016          | 09-01-2023 |
| AAHCM5933G | MATRIBHUMI PROJECTS (I) LIMITED                 | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF : | WTM/RKA/EFD/136/2016          | 09-01-2023 |

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| AAJCA0050E | ARCAVA ENTERPRISES LIMITED    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF ARCAVA ENTERPRISES LIMITED IN RESPECT OF : | WTM/MPB/EFD-DRA4/43/2017     | 09-01-2023 |
| AALCS9420L | SEASHORE SECURITIES LIMITED   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/MPB/EFD-1-DRA-IV/43/2018 | 09-01-2023 |
| AAPCS3118P | SHRIVALLIS SECURITIES LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/GM/IMD/71/2018-19        | 09-01-2023 |
| ABHPI1120R | TOZEMMUL ISLAM                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/RKA/EFD/174/2016         | 09-01-2023 |
| ABJPH6895C | MD. SAIFUDDIN HALDER          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/RKA/EFD/174/2016         | 09-01-2023 |
| ABLPN8050H | HRIDHI PRATIM NEOGY           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/MPB/EFD-1-DRA-IV/89/2017 | 09-01-2023 |
| ACKPH9229A | SANTOSH KUMAR HATI            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/RKA/EFD/174/2016         | 09-01-2023 |
| ACMPB8035G | SMRUTI RANJAN BISWAL          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/GM/IMD/71/2018-19        | 09-01-2023 |
| ACOPD9805C | KALIDAS DATTA                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/PS/164/ERO/FEB/2016      | 09-01-2023 |
| ACRPC5911B | MR. JAYANTA CHAKRABARTY       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/PS/174/ERO/IMD/MAR/2016  | 09-01-2023 |
| ACZPB2276J | ALOKE BANERJEE                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF ARCAVA ENTERPRISES LIMITED IN RESPECT OF : | WTM/MPB/EFD-DRA4/43/2017     | 09-01-2023 |
| ADEPC9258M | SRIMANTA CHAKRABORTY          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                             | WTM/PS/179/ERO/MAR/2016      | 09-01-2023 |

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| AEEPC5718H | INDRANIL CHATTOPADHYAY       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/136/ERO/JAN/2016       | 09-01-2023 |
| AEFPC0491J | SUDIP CHANDA                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/PS/179/ERO/MAR/2016       | 09-01-2023 |
| AEGPB5394G | SWAPAN BOSE                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/PS/179/ERO/MAR/2016       | 09-01-2023 |
| AEGPC6855H | SAMBHU CHAKRABORTY           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/PS/179/ERO/MAR/2016       | 09-01-2023 |
| AELPG8249Q | MR. RANJIT GHOSH             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/PS/158/ERO/FEB/2016       | 09-01-2023 |
| AEXPT4244C | MR. TUSHAR KANTI CHAKRABORTY | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/PS/174/ERO/IMD/MAR/2016   | 09-01-2023 |
| AFAPC2766E | MANJUSHREE CHAKRABORTY       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/PS/179/ERO/MAR/2016       | 09-01-2023 |
| AFWPG8075J | MR. SUKUMAR GHOSH            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/PS/158/ERO/FEB/2016       | 09-01-2023 |
| AFYPN4410L | HIMANSHU BHUSAN NAYAK        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/RKA/EFD/141/2016          | 09-01-2023 |
| AGAPD7484R | SWARNA LATA DEVI             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/RKA/EFD/141/2016          | 09-01-2023 |
| AGSPG5799G | ANUVA GHOSH                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/PS/158/ERO/FEB/2016       | 09-01-2023 |
| AHBP9799H  | NIBEDITA DASH                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992  | WTM/MPB/EFD-1-DRA-IV/167/2018 | 09-01-2023 |

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| AHTPB8323P | BISWANATH BHATTACHARYA       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                                                                                                          | WTM/MPB/EFD-1-DRA-IV/89/2017  | 09-01-2023 |
| AHXPG3771G | SHRI SREEMON GHOSH           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                                                                                                                  | WTM/GM/EFD/27/2018-19         | 09-01-2023 |
| AHYPB4026G | SHRI NITISH BARMAN           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                                                                                                                  | WTM/GM/EFD/27/2018-19         | 09-01-2023 |
| AIKPC8055F | SHRI PHOOL SINGH CHOUDHARY   | UNDER SECTIONS 11(1), 11(4) AND 118 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 14, 2015 IN THE MATTER OF NICL INDIA LIMITED (NICL). | WTM/GM/EFD/30/2018-19         | 09-01-2023 |
| AIOPR6310C | SHRI DHIMAN ROY              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                                                                                                                  | WTM/GM/EFD/27/2018-19         | 09-01-2023 |
| AJBPI8557H | MS. SAPNA JENA               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                                                                                                          | WTM/MPB/EFD-1-DRA-IV/43/2018  | 09-01-2023 |
| AJDPM4387J | MR. MRITYUNJOY MODAK BHOWMIK | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                                                                                                          | WTM/PS/158/ERO/FEB/2016       | 09-01-2023 |
| AJLPM4034A | SHRI SATYENDRA NATH MONDAL   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                                                                                                                  | WTM/GM/EFD/27/2018-19         | 09-01-2023 |
| AJVPB3616M | SAIKAT BRAHMACHARI           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                                                                                                          | WTM/MPB/EFD-1-DRA-IV/132/2018 | 09-01-2023 |

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| AMEPP6310J | SHRI NETAI PALTA      | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF : | WTM/RKA/EFD/136/2016         | 09-01-2023 |
| AMGPB0981P | RAJIB BHATTACHARYA    | UNDER SEC 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ISSUANCE OF REDEEMABLE PREFERENCE SHARES BY UNITED COSMETICS MANUFACTURING (I) P. LTD.                                      | WTM/RKA/EFD/150/2016         | 09-01-2023 |
| AMSPP9346A | SHRI PARITOSH PANDA   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                      | WTM/GM/EFD/27/2018-19        | 09-01-2023 |
| APTPB3344Q | SUBIR BANERJEE        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF ARCAVA ENTERPRISES LIMITED IN RESPECT OF :                                                                                  | WTM/MPB/EFD-DRA4/43/2017     | 09-01-2023 |
| APYPS3960G | PROSENJIT SWARNAKAR   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/PS/179/ERO/MAR/2016      | 09-01-2023 |
| AQFPG0812M | SUMIT GURIA           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/RKA/EFD/174/2016         | 09-01-2023 |
| ARZPM3090L | SUJIT MOHAPATRA       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/RKA/EFD/141/2016         | 09-01-2023 |
| ASHPG2353H | NABA KUMAR GANGULY    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF ARCAVA ENTERPRISES LIMITED IN RESPECT OF :                                                                                  | WTM/MPB/EFD-DRA4/43/2017     | 09-01-2023 |
| ATYPS3889C | MS. JYOTIRANI SARANGI | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/43/2018 | 09-01-2023 |

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| AUDPB3526F | BIPLAB BANERJEE        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/RKA/EFD/174/2016          | 09-01-2023 |
| AUQPS9430G | ANUPAM SARKAR          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/PS/179/ERO/MAR/2016       | 09-01-2023 |
| AUSPM9775A | SHRI BAIDYANATH MANDAL | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                      | WTM/GM/EFD/27/2018-19         | 09-01-2023 |
| AUTPM0257E | PRAKASH MANDAL         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/89/2017  | 09-01-2023 |
| AVSPM3542L | SACHI DULAL MONDAL     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                             | WTM/PS/136/ERO/JAN/2016       | 09-01-2023 |
| AXAPK0924E | TANMOY KUNDU           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/132/2018 | 09-01-2023 |
| BAWPP5444G | MR. RAJKRISHNA PALTA   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF : | WTM/RKA/EFD/136/2016          | 09-01-2023 |
| BBUPB4339M | SMT. LIPIKA BHADURI    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                      | WTM/GM/EFD/27/2018-19         | 09-01-2023 |
| BCJPK2878L | SATYANARAYAN KARMAKAR  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/RKA/EFD/174/2016          | 09-01-2023 |
| BDOPG6630C | SUVENDU GANGULY        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/RKA/EFD/174/2016          | 09-01-2023 |
| BGNPK7088Q | SHRI TASLIM ARIF KHAN  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                      | WTM/GM/EFD/27/2018-19         | 09-01-2023 |

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| BKBPA9214J | MR. HARADHAN ACHARJEE                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                   | WTM/PS/158/ERO/FEB/2016       | 09-01-2023 |
| BPSP5200H  | SMT. NILIMA PONDA                          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF GREENBANG AGRO LIMITED                                                                                                           | WTM/GM/EFD/27/2018-19         | 09-01-2023 |
| CAYPS6984D | BIPLAB SARKAR                              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                   | WTM/RKA/EFD/174/2016          | 09-01-2023 |
| CERPP5289K | MR. TAPAN PAL                              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                   | WTM/PS/174/ERO/IMD/MAR/2016   | 09-01-2023 |
| CKHPS4470D | BHIMSEN SOREN                              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTIONS 56(1), 56(3) AND 56(4), SECTION 60 AND SECTION 73(2) OF THE COMPANIES ACT, 1956 IN THE MATTER OF MAGNOX INFRAPROJECTS LIMITED | WTM/MPB/EFD-1-DRA-IV/140/2018 | 09-01-2023 |
| DEXPS0145Q | RASMIRANJAN SWAIN                          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTIONS 56(1), 56(3) AND 56(4), SECTION 60 AND SECTION 73(2) OF THE COMPANIES ACT, 1956 IN THE MATTER OF MAGNOX INFRAPROJECTS LIMITED | WTM/MPB/EFD-1-DRA-IV/140/2018 | 09-01-2023 |
| DQHPS7079M | SMT. PIYALI SARKAR                         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF :      | WTM/RKA/EFD/136/2016          | 09-01-2023 |
| AAFCB0288F | BHABISWAJYOTI INFRASTRUCTURE INDIA LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                  | WTM/MPB/EFD-1-DRA-IV/38/2019  | 09-01-2023 |
| BCVPS0290L | SOMA SHARMA                                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                  | WTM/MPB/EFD-1-DRA-IV/38/2019  | 09-01-2023 |

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| AKAPM7973N | ARINDAM MUKHERJEE                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/MPB/EFD-1-DRA-IV/38/2019   | 09-01-2023 |
| AADCB4465A | BISHALABASANINDIA LIMITED          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| AMBPP4567C | MR. SANTOSH KUMAR PAUL             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| AJUPT3341C | MR. SACHIN KUMAR THAKUR            | UNDER SECTIONS 11, 11(4), 11(A) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| BRMPB8677A | MR. BENUKAR BANERJEE               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| AADCB7325D | BISHAL AGRI-BIO INDUSTRIES LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/PS/37/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| AOVPK3854N | MR. SUSHANT KUMAR                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/PS/37/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| AJUPT3341C | MR. SACHIN KUMAR THAKUR            | UNDER SECTIONS 11, 11(4), 11(A) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/37/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| AADCB8788Q | BISHAL DISTILLERS LIMITED          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| AMBPP4567C | SANTOSH KUMAR PAUL                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| AOVPK3854N | MR. SUSHANT KUMAR                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| AJUPT3341C | MR. SACHIN KUMAR THAKUR            | UNDER SECTIONS 11, 11(4), 11(A) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |
| BRMPB8677A | MR. BENUKARBANERJEE                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992   | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 09-01-2023 |

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| AGUPC5065H | SMT. PRITI RANI CHOWDHURY                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/PS/36/IMD/ERO-RLO/MAY/2016  | 09-01-2023 |
| AMBPP4567C | SANTOSH KUMAR PAUL                          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/PS/34/IMD/ERO-RLO/MAY/2016  | 09-01-2023 |
| AOVPK3854N | SUSHANT KUMAR                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/PS/34/IMD/ERO-RLO/MAY/2016  | 09-01-2023 |
| AJUPT3341C | SACHIN KUMAR THAKUR                         | UNDER SECTIONS 11, 11(4), 11(A) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                              | WTM/PS/34/IMD/ERO-RLO/MAY/2016  | 09-01-2023 |
| AGUPC5065H | SMT. PRITI RANI CHOWDHURY                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/PS/34/IMD/ERO-RLO/MAY/2016  | 09-01-2023 |
| AABCN6977H | NIXCIL PHARMACEUTICALS SPECIALITIES LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/50/2019    | 09-01-2023 |
| AAECT0908R | TRESTY SECURITIES LIMITED                   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                                                                                                                           | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 09-01-2023 |
| AAJCS2508K | SUNSHINE GLOBAL AGRO LIMITED                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/87/CIS-NRO/NOV/2015      | 09-01-2023 |
| AAKCS3313H | SIYARAM DEVELOPMENT & CONSTRUCTION LTD.     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/40/2019    | 09-01-2023 |
| AAKCS9090D | SUNPLANT CONSTRUCTIONS LIMITED              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SUNPLANT CONSTRUCTIONS LIMITED                                                                                                                                                                               | WTM/PS/123/ERO/DEC/2015         | 09-01-2023 |

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| AAOCS7432H | SUNSHINE AGRO-INFRA LIMITED             | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF -                                                                                                                                                                                                                  | WTM/GM/SEBI/ERO/IM D/02/DEC/2016 | 09-01-2023 |
| AARCS1089F | SCL STEEL CORPN LTD                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/150/2018    | 09-01-2023 |
| AAWCS5718A | STAPES CAPITAL RESEARCH PRIVATE LIMITED | UNDER SECTIONS 11(1), 11(4)(B), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (INVESTMENT ADVISERS) REGULATIONS, 2013 IN THE MATTER OF:                                                                                                                  | WTM/MPB/SEBI/EFD-DRA4/157/2018   | 09-01-2023 |
| AAWPF1464H | MOHAMMED FAISAL                         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/87/CIS-NRO/NOV/2015       | 09-01-2023 |
| ABFPV9924N | MR. VISHWA BANDHU VASHISHTA             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/50/2019     | 09-01-2023 |
| ABQPC3967R | TARA CHAND CHORDIA                      | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF -                                                                                                                                                                                                                  | WTM/GM/SEBI/ERO/IM D/02/DEC/2016 | 09-01-2023 |
| ACEPC5756F | SATYA RANJAN CHAUDHARI                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV /130/2018   | 09-01-2023 |
| ACSPD7017Q | MANAS KUMAR DAN                         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/150/2018    | 09-01-2023 |
| ADQPC5674F | PRASANTA CHATTERJEE                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/150/2018    | 09-01-2023 |
| ADRPD7213N | NABENDU DEY                             | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF -                                                                                                                                                                                                                  | WTM/GM/SEBI/ERO/IM D/02/DEC/2016 | 09-01-2023 |

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| AEIPC6387B | SWAPNA CHAUDHURI         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/150/2018   | 09-01-2023 |
| AEKPJ8257J | ANAND KUMAR JHA          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/87/CIS-NRO/NOV/2015      | 09-01-2023 |
| AEOPC1519G | CHATTA RANJAN CHAUDHURI  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/150/2018   | 09-01-2023 |
| AFZPC5242E | ASHOK CHAKRABORTY        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF JEEVAN SURAKSHA ENERGY AND INDUSTRIES LTD                                                                                                                                                                      | WTM/GM/IMD/59/2017-18           | 09-01-2023 |
| AGMPJ0750E | SHRI RABINDRA KUMAR JENA | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                  | WTM/RKA/EFD/126/2016            | 09-01-2023 |
| AHRPA3277H | UTTAM ACHARJEE           | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF JEEVAN SURAKSHA ENERGY AND INDUSTRIES LTD                                                                                                                                                                      | WTM/GM/IMD/59/2017-18           | 09-01-2023 |
| AHVPP0531B | LOKESH PERIWAL           | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF -                                                                                                                                                                                                                  | WTM/GM/SEBI/ERO/IMD/02/DEC/2016 | 09-01-2023 |
| AJPPB2660M | MR .APURBA RANJAN BEHERA | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                                                                                                                           | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 09-01-2023 |

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| AJPPM9356B | MOKARRAM MOHAMMAD         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/87/CIS-NRO/NOV/2015      | 09-01-2023 |
| AJRPB1543M | AMRIT INDU BHATTACHARYA   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT, 1956                                                                                                                                                                                 | WTM/AB/EFD-1/DRA-IV/14/2020-21  | 09-01-2023 |
| AJWPB9126D | MR. SUDHANSU SEKHAR BARIK | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                                                                                                                           | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 09-01-2023 |
| AKNPA2732Q | DIPAMONI ACHARJEE         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                  | WTM/GM/IMD/59/2017-18           | 09-01-2023 |
| AKPPP1041H | SHRI RITURAJ PRADHAN      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SUNPLANT CONSTRUCTIONS LIMITED                                                                                                                                                                               | WTM/PS/123/ERO/DEC/2015         | 09-01-2023 |
| AOYPM2069Q | MR. DAYANIDHI MOHAPATRA   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                                                                                                                           | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 09-01-2023 |
| APOPM1270M | ANURAG MITTAL             | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF -                                                                                                                                                                                                                  | WTM/GM/SEBI/ERO/IMD/02/DEC/2016 | 09-01-2023 |
| APXPD1588E | PAROMITA DEY              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1/DRA-IV/40/2019    | 09-01-2023 |

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| AQHPR2449D | MR. BISWAJIT ROUL       | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                                                                                                                           | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 09-01-2023 |
| AVPPR5796L | MR. ASHOK KUMAR ROUT    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                                                                                                                           | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 09-01-2023 |
| AWQPS0249B | SHRI SATISH KUMAR SINGH | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SUNPLANT CONSTRUCTIONS LIMITED                                                                                                                                                                               | WTM/PS/123/ERO/DEC/2015         | 09-01-2023 |
| BEMPK1322J | ASHIF KHAN              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/87/CIS-NRO/NOV/2015      | 09-01-2023 |
| BTDPP9403M | MR. SISIR KUMAR PADHI   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                                                                                                                           | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 09-01-2023 |
| CENPK6085G | WASIM KHAN              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/87/CIS-NRO/NOV/2015      | 09-01-2023 |

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| CNVPM6593E | BIBEKNAND MANDAL                     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/87/CIS-NRO/NOV/2015    | 09-01-2023 |
| AABCJ6757B | JEEVAN SURAKSHA REAL ESTATE LIMITED  | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                             | WTM/PS/88/ERO/GLO/MAR/2016    | 09-01-2023 |
| AAECG2270P | GARIMA HOMES AND FARM HOUSES LIMITED | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                               | WTM/PS/40/EFD/MAY/2016        | 09-01-2023 |
| AKNPA2732Q | DIPAMONI ACHARJEE                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-III/88/2017 | 09-01-2023 |
| AMAPS4265M | MR. SARAL RANJAN SENGUPTA            | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN THE MATTER OF ICORE E SERVICES LIMITED                                                                                                | WTM/GM/EFD/DRAIII/76/2017-18  | 09-01-2023 |
| ANWPR7210H | MR. SWAPN KUMAR ROY                  | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN THE MATTER OF ICORE E SERVICES LIMITED                                                                                                | WTM/GM/EFD/DRAIII/76/2017-18  | 09-01-2023 |
| ARJPG7051P | MR. RADHASHYAM GIRI                  | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN THE MATTER OF ICORE E SERVICES LIMITED                                                                                                | WTM/GM/EFD/DRAIII/76/2017-18  | 09-01-2023 |

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| AVQPK4360A | MR. BALKISHAN KUSHWAH    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                 | WTM/PS/40/EFD/MAY/2016         | 09-01-2023 |
| BNXPS1496L | MR. BIJENDRA PAL SINGH   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                 | WTM/PS/40/EFD/MAY/2016         | 09-01-2023 |
| BXEPS6726H | MR. KAUSHAL KISHOR SINGH | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (DISCLOSURE AND INVESTOR PROTECTION) GUIDELINES, 2003 IN THE MATTER OF HELIOS CORPORATION LIMITED AND HELIOS CHEMICALS LIMITED | WTM/MPB/EFD-1-DRA-III/148/2018 | 09-01-2023 |
| CISPS9854C | MR. RAJEEV KUMAR SHARMA  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (DISCLOSURE AND INVESTOR PROTECTION) GUIDELINES, 2003 IN THE MATTER OF HELIOS CORPORATION LIMITED AND HELIOS CHEMICALS LIMITED | WTM/MPB/EFD-1-DRA-III/148/2018 | 09-01-2023 |
| DGXPK9360P | MR. JITENDRA KUMAR       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                 | WTM/PS/40/EFD/MAY/2016         | 09-01-2023 |
| GEDPS5531B | MR. SANJAY KUMAR SINGH   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (DISCLOSURE AND INVESTOR PROTECTION) GUIDELINES, 2003 IN THE MATTER OF HELIOS CORPORATION LIMITED AND HELIOS CHEMICALS LIMITED | WTM/MPB/EFD-1-DRA-III/148/2018 | 09-01-2023 |

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| AACCG3515F | GCA MARKETING P LTD       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 | WTM/PS/150/CIS-NRO/CHLO/FEB/2016 | 09-01-2023 |
| ADEPC5281C | MR. AMARDEEP SINGH CHEEMA | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 | WTM/PS/150/CIS-NRO/CHLO/FEB/2016 | 09-01-2023 |
| AFDPC9530K | MS. MANISHA CHATTERJEE    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | WTM/PS/173/ERO/IMD/MAR/2016      | 09-01-2023 |
| AFLPC6208E | MR. KAUSHIK CHATTERJEE    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | WTM/PS/173/ERO/IMD/MAR/2016      | 09-01-2023 |
| AKAPC1597L | MR. BISWAJIT CHOWDHURY    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | WTM/PS/173/ERO/IMD/MAR/2016      | 09-01-2023 |
| AXEPJ4859P | SANJAY KUMAR JENA         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF MOHAN LAL AGRAWAL AND OTHER ASSOCIATED ENTITIES                         | WTM/AB/EFD-1/DRA-IV/19/2019-20   | 09-01-2023 |
| BGAPR5205H | NIRANJA N RANA            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF MOHAN LAL AGRAWAL AND OTHER ASSOCIATED ENTITIES                         | WTM/AB/EFD-1/DRA-IV/19/2019-20   | 09-01-2023 |
| BIVPS7069D | MR. GURDEEP SINGH         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 | WTM/PS/150/CIS-NRO/CHLO/FEB/2016 | 09-01-2023 |
| BOXPR7731H | TRINATH RANA              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF MOHAN LAL AGRAWAL AND OTHER ASSOCIATED ENTITIES                         | WTM/AB/EFD-1/DRA-IV/19/2019-20   | 09-01-2023 |
| CHKPP0921J | BALRAM PRADHAN            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF MOHAN LAL AGRAWAL AND OTHER ASSOCIATED ENTITIES                         | WTM/AB/EFD-1/DRA-IV/19/2019-20   | 09-01-2023 |

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| CLXPP4377H | SAMIRKANT A PANDA                                         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF MOHAN LAL AGRAWAL AND OTHER ASSOCIATED ENTITIES                                                                                                                                                                   | WTM/AB/EFD-1/DRA-IV/19/2019-20  | 09-01-2023 |
| AACCI5234R | IDOL INDIA PROJECTS LIMITED                               | UNDER SECTIONS 11, 11(4), 11A AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/95/2020    | 09-01-2023 |
| AACCN5652N | NICER GREEN HOUSING AND INFRASTRUCTURE DEVELOPERS LIMITED | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                              | ORDER/GR/KG/2020-21/10113-10117 | 09-01-2023 |
| AACCN5652N | NICER GREEN HOUSING AND INFRASTRUCTURE DEVELOPERS LIMITED | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2)(T) OF SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003               | WTM/PS/86/CIS-NRO/NOV/2015      | 09-01-2023 |
| AADCK3482E | KALPBUT REAL ESTATE LIMITED                               | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                                          | WTM/PS/19/CIS-NRO/JULY/2015     | 09-01-2023 |
| AAECK1255G | KARMBHOOMI REAL ESTATE LIMITED                            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/93/IM-CIS/NRO/NOV/2015   | 09-01-2023 |

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| AAECP5032C | MS. PEERS ALLIED CORPORATION LIMITED    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI ( COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                  | WTM/PS/187/CIS-NRO/MAR/2015 | 09-01-2023 |
| AAGCM4867L | MORALINFRASTRUCTURESCORPORATION LIMITED | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                         | WTM/GM/EFD/84/2019-20       | 09-01-2023 |
| AAGCM8052P | MORAL COMMOTRADE LIMITED                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                         | WTM/GM/EFD/84/2019-20       | 09-01-2023 |
| AAHCM3158P | MORAL HEALTH &PERSONAL CARE LIMITED     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                         | WTM/GM/EFD/84/2019-20       | 09-01-2023 |
| AAHCM3170B | MORAL DEVCON LIMITED                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                         | WTM/GM/EFD/84/2019-20       | 09-01-2023 |
| AAQCS7428B | SAI PRASAD CORPORATION LTD              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                  | WTM/PS/146/IMD-CIS/FEB/2016 | 09-01-2023 |
| AARCS9644N | SHREE SAI SPACE CREATIONS LIMITED       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                  | WTM/PS/48/CIS/NRO/NO V/2014 | 09-01-2023 |
| AAZPU1224F | MANJU UPADHYAY                          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED | WTM/PS/187/CIS-NRO/MAR/2015 | 09-01-2023 |
| AAZPU1225E | SADHU SHARAN                            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED | WTM/PS/187/CIS-NRO/MAR/2015 | 09-01-2023 |

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| ABUPT7761N | RAJENDRA SINGH THAKUR    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                    | WTM/PS/19/CIS-NRO/JULY/2015   | 09-01-2023 |
| ABUPT9628E | LEENA TEWARI             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JULY 15, 2014 IN THE MATTER OF REMAC REALTY INDIA LIMITED | WTM/GM/EFD/100/2017-18        | 09-01-2023 |
| AEEPV9521M | REENA VIJAY              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JULY 15, 2014 IN THE MATTER OF REMAC REALTY INDIA LIMITED | WTM/GM/EFD/100/2017-18        | 09-01-2023 |
| AENPS9792L | BHANU PRATAP SINGH       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                    | WTM/PS/19/CIS-NRO/JULY/2015   | 09-01-2023 |
| AFTPD2362Q | SHRI SHRIBAS CHANDRA DAS | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/113/2017 | 09-01-2023 |
| AGIPC6237B | SANDIP CHATTOPADHYAY     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JULY 15, 2014 IN THE MATTER OF REMAC REALTY INDIA LIMITED | WTM/GM/EFD/100/2017-18        | 09-01-2023 |

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| AITPM9488K | ANIL KUMAR MISHRA   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008                                                                                                                  | WTM/RKA/EFD-DRA-IV/184/2016     | 09-01-2023 |
| AJXPD0444R | GUDDI DEVI          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                   | WTM/PS/19/CIS-NRO/JULY/2015     | 09-01-2023 |
| AKYDP8151B | INDU DUBEY          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED                                                                  | WTM/PS/187/CIS-NRO/MAR/2015     | 09-01-2023 |
| ALLPP2252K | POORAN PRAKASH      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                   | WTM/PS/19/CIS-NRO/JULY/2015     | 09-01-2023 |
| AMYPM6746R | DEBAPRATIM MAZUMDER | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JULY 15, 2014 IN THE MATTER OF REMAC REALTY INDIA LIMITED | WTM/GM/EFD/100/2017-18          | 09-01-2023 |
| ASGPK7961G | SURINDER KAUR       | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                       | ORDER/GR/KG/2020-21/10113-10117 | 09-01-2023 |

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| ASGPK7961G | SURINDER KAUR                                       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/86/CIS-NRO/NOV/2015      | 09-01-2023 |
| ATUPR0113L | WAY2GAINS AND ITS PROPRIETOR MR. RAJEEV KUMAR TIWAR | UNDER SECTIONS 11(1), 11(4), 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                         | WTM/SM/SRO/SRO/8408/2020-21     | 09-01-2023 |
| AXLPP7767R | AJAY KUMAR PANDEY                                   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED                                                                                                                      | WTM/PS/187/CIS-NRO/MAR/2015     | 09-01-2023 |
| BDSPS9886A | RAKSHA PAL SINGH                                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                                                                       | WTM/PS/19/CIS-NRO/JULY/2015     | 09-01-2023 |
| BJVPS0029N | DEVENDRA PAL SINGH                                  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                                                                       | WTM/PS/19/CIS-NRO/JULY/2015     | 09-01-2023 |
| BVEPS9613M | PIPAL SINGH SIDHU                                   | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                           | ORDER/GR/KG/2020-21/10113-10117 | 09-01-2023 |

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| BVEPS9613M | PIPAL SINGH SIDHU | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SCEURITIES MARKET) REGULATIONS, 2003 | WTM/PS/86/CIS-NRO/NOV/2015      | 09-01-2023 |
| BZWPS3360K | RANJIT SINGH      | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                          | ORDER/GR/KG/2020-21/10113-10117 | 09-01-2023 |
| BZWPS3360K | RANJIT SINGH      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SCEURITIES MARKET) REGULATIONS, 2003 | WTM/PS/86/CIS-NRO/NOV/2015      | 09-01-2023 |
| CRCPS3999H | KARANJIT SINGH    | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                          | ORDER/GR/KG/2020-21/10113-10117 | 09-01-2023 |

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| CRCPS3999H | KARANJIT SINGH                          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SCEURITIES MARKET) REGULATIONS, 2003 | WTM/PS/86/CIS-NRO/NOV/2015      | 09-01-2023 |
| DEWPS9886A | PARVESH KUMAR SINGH                     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                                                                       | WTM/PS/19/CIS-NRO/JULY/2015     | 09-01-2023 |
| DEWPS9886A | NATTHU SINGH                            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                                                                       | WTM/PS/19/CIS-NRO/JULY/2015     | 09-01-2023 |
| DRMPS4668Q | VIVEK K SHRIVASTAV                      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999,                                                                                                                                                                      | WTM/PS/48/CIS/NRO/NOV/2014      | 09-01-2023 |
| ACUPJ0102E | INNSAIPILLAI LURDPILLAI JOSEPH JEYARAAJ | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                                                                                                                                       | WTM/PS/154/IMD-CIS/SRO/FEB/2016 | 09-01-2023 |

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| AADCG9560H | G LIFE INDIA DEVELOPERS AND COLONIZERS LIMITED | UNDER SECTIONS 11(1), 11(4) 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/SKM/EFD1-DRA-III/25/2019-20 | 09-01-2023 |
| AADCK4402G | KMJ LAND DEVELOPERS INDIA LIMITED              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER DATED DECEMBER 09, 2014 IN THE MATTER OF KMJ LAND DEVELOPERS INDIA LTD.                                     | WTM/GM/EFD/35/2017-18           | 09-01-2023 |
| AAFCM9358H | MAITREYA PLOTTERS AND STRUCTURE S PVT. LTD.    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF MAITREYA PLOTTERS AND STRUCTURES PRIVATE LIMITED                                                                                                           | WTM/SKM/EFD-DRA-1/06/2018-19    | 09-01-2023 |
| AAHCM5798F | MARK BUILDERS AND LAND DEVELOPERS LTD.         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INITERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 17, 2015 IN THE MATTER OF MARK BUILDERS & LAND DEVELOPERS LIMITED.                                           | WTM/GM/EFD/08/2018-19           | 09-01-2023 |

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| AANCS0417R | SERVEHIT HOUDING AND INFRASTRUCTURE INDIA LIMITED | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/81/CIS-NRO/NOV/2015  | 09-01-2023 |
| AAPCS0636Q | SAI PRAKASH ORGANIC FOOD LIMITED                  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 6, 2015 IN THE MATTER OF SAI PRAKASH ORGANIC FOOD LIMITED.                 | WTM/GM/EFD/38/2018-19       | 09-01-2023 |
| AAZFS6704Q | STEP UP MARKETING PRIVATE LIMITED                 | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003  | WTM/PS/114/CIS-NRO/DEC/2015 | 09-01-2023 |
| AEUPR2841G | NIRMALA RATHORE                                   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER DATED DECEMBER 09, 2014 IN THE MATTER OF KMJ LAND DEVELOPERS INDIA LTD.     | WTM/GM/EFD/35/2017-18       | 09-01-2023 |

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| AEXPR6319A | SANTOSHI LAL RATHORE                           | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER DATED DECEMBER 09, 2014 IN THE MATTER OF KMJ LAND DEVELOPERS INDIA LTD.                                     | WTM/GM/EFD/35/2017-18           | 09-01-2023 |
| AJFPJ3454R | MR. IRUDAYARAJ<br>MANICKAM PILLAI<br>JEYABALAN | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                                                                                                                                            | WTM/PS/154/IMD-CIS/SRO/FEB/2016 | 09-01-2023 |
| AKLPR9493H | KANCHAN RAJAWAT<br>KUSHWAH                     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER DATED DECEMBER 09, 2014 IN THE MATTER OF KMJ LAND DEVELOPERS INDIA LTD.                                     | WTM/GM/EFD/35/2017-18           | 09-01-2023 |
| AKRPA6259Q | SIRAJ ALI                                      | UNDER SECTIONS 11(1), 11(4) 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/SKM/EFD1-DRA-III/25/2019-20 | 09-01-2023 |
| ALKPS4279C | MRS. PRAKASAM SAGAYA<br>PACKIA SANTHI          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                                                                                                                                            | WTM/PS/154/IMD-CIS/SRO/FEB/2016 | 09-01-2023 |

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| AMUPK7500K | RAGHBIR KAUR          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003                                  | WTM/PS/114/CIS-NRO/DEC/2015     | 09-01-2023 |
| ANDPP4284F | MANOJ KUMAR PANDEY    | UNDER SECTIONS 11(1), 11(4) 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/SKM/EFD1-DRA-III/25/2019-20 | 09-01-2023 |
| ANPPS8356M | SANDEEP SHANKAR       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER DATED DECEMBER 26, 2014 IN THE MATTER OF SAI PRAKASH PROPERTIES DEVELOPMENT LTD. ("SPPDL")                                                     | WTM/GM/EFD/26/2019-20           | 09-01-2023 |
| AUTPK1595M | KULJEET KAUR          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INITERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 17, 2015 IN THE MATTER OF MARK BUILDERS & LAND DEVELOPERS LIMITED.                                           | WTM/GM/EFD/08/2018-19           | 09-01-2023 |
| AWJPS7878P | MR. NITIN SHRIVASTAVA | UNDER SECTIONS 11(1), 11(4) 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF:                                                                                                        | WTM/RKA/RLO/136/2015            | 09-01-2023 |

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| AYNPS9873J | MR. DEEPAK SINGARE         | UNDER SECTIONS 11(1), 11(4) 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF:                                                                        | WTM/RKA/RLO/136/2015            | 09-01-2023 |
| BBNPS3367M | MR. AMIT KUMAR SHRIVASTAVA | UNDER SECTIONS 11(1), 11(4) 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF:                                                                        | WTM/RKA/RLO/136/2015            | 09-01-2023 |
| BCIPK4911M | RAJENDER KUMAR             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/81/CIS-NRO/NOV/2015      | 09-01-2023 |
| BIPPS9476L | MS. NEETA SHRIVASTAVA      | UNDER SECTIONS 11(1), 11(4) 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF:                                                                        | WTM/RKA/RLO/136/2015            | 09-01-2023 |
| BQMPS1649Q | MR. SANTHANAPETER          | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                                                                                                            | WTM/PS/154/IMD-CIS/SRO/FEB/2016 | 09-01-2023 |
| BQXPS7815M | SATISH KUMAR               | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                            | WTM/PS/54/CIS/NRO/DE C/2014     | 09-01-2023 |

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| BSHPP0251N | PRAMOD KUMAR PANDEY | UNDER SECTIONS 11(1), 11(4) 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/SKM/EFD1-DRA-III/25/2019-20 | 09-01-2023 |
| BUZPS4365J | SUKHMANDER SINGH    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS,1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003                                  | WTM/PS/81/CIS-NRO/NOV/2015      | 09-01-2023 |
| CFKPS3490F | MS. SINDHU SINGADHE | UNDER SECTIONS 11(1), 11(4) 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF:                                                                                                        | WTM/RKA/RLO/136/2015            | 09-01-2023 |
| CRRPS1400A | SURJEET KUMAR       | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS,1999                                                                                                                                                                             | WTM/PS/54/CIS/NRO/DEC/2014      | 09-01-2023 |
| DRZPS9894D | SUNIL KUMAR SHARMA  | UNDER SECTIONS 11(1), 11(4) 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/SKM/EFD1-DRA-III/25/2019-20 | 09-01-2023 |

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| AABCL8415G | LIFE CARE REAL DEVELOPERS LIMITED | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | EAD-8/KS/MKG/AO/231/2018-19   | 09-01-2023 |
| AAECG6103D | G R AGRO PROJECT LIMITED          | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                 | WTM/MPB/EFD-1-DRA-IV/156/2018 | 09-01-2023 |
| ABKFM0485E | MTF DIGI SALES                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                 | WTM/AB/SRO/SRO/20816/2022-23  | 09-01-2023 |
| AEKPL9354C | MOHD. SERAJ LARI                  | THE ORDER OF THE SECURITIES APPELLATE TRIBUNAL DATED OCTOBER 25, 2016 IN MISC.APPLICATION NO.221 OF 2016 AND APPEAL NO. 275 OF 2016.                                                       | WTM/GM/EFD/79/2018-19         | 09-01-2023 |
| ANIPA3040P | MOHAMMAD AFTAB ALAM               | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | EAD-8/KS/MKG/AO/231/2018-19   | 09-01-2023 |
| ATOPP9889R | SHIBA PRAVIN                      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | EAD-8/KS/MKG/AO/231/2018-19   | 09-01-2023 |
| AXCPT3030A | NIRAJ THAKUR                      | UNDER SECTIONS 11(4) AND 11B (1) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                       | ED/MK/SRO/SRO/20336/2022-23   | 09-01-2023 |
| BIGPG0523B | MOHD. GANI                        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | EAD-8/KS/MKG/AO/231/2018-19   | 09-01-2023 |
| EQCPM6774F | AJAY KUMAR MUKHIYA                | UNDER SECTIONS 11(1), 11(4) AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992.                                                                                            | WTM/ASB/SRO/SRO/20714/2022-23 | 09-01-2023 |

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| FNRPS5641L | PANKAJ KUMAR SHUKLA                         | UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                               | WTM/AB/SRO/21090/2022-23            | 09-01-2023 |
| AKLPS0489E | ANUSUIYA SHARMA                             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLUQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                  | FPI&C/AT/RKP/40574/1/2022           | 09-01-2023 |
| AABCF0080D | F6 FINSERVE PVT. LTD.                       | SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF THE SEBI (INTERMEDIARIES) REGULATIONS, 2008 IN RESPECT OF ENQUIRY CONDUCTED AGAINST F6 FINSERVE PVT LTD                                                                                                                                                                                                | SEBI/HO/efd1/DRA3/P/OW/2022/56193/1 | 12-01-2023 |
| AABCH8065Q | HEMISPHERE INFRASTRUCTURE INDIA PVT. LTD    | SHOW CAUSE NOTICE UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1), 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995, FOR VIOLATIONS OF SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 1997/2011 | SEBI/HO/IUD/ID3/P/OUL/2021/24408/1  | 12-01-2023 |
| AACCG7477N | GALAXY INFRAPROJECTS AND DEVELOPERS PVT LTD | SHOW CAUSE NOTICE UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1), 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995, FOR VIOLATIONS OF SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 1997/2011 | SEBI/HO/IUD/ID3/P/OUL/2021/24408/1  | 12-01-2023 |
| AAACW9315R | WARIS HEALTHCARE LIMITED                    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008,                                                                                                                         | WTM/RKA/efd/124/2016                | 13-01-2023 |

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| AJMPA3089L | MR. IFTEKHAR AHMED            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992<br>AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, | WTM/RKA/EFD/124/2016          | 13-01-2023 |
| AIOPA9561E | MR. AZIZ AHMED                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992<br>AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, | WTM/RKA/EFD/124/2016          | 13-01-2023 |
| ABQPW7759R | MR. IMTIAZ KHAN WARSI         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992<br>AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, | WTM/RKA/EFD/124/2016          | 13-01-2023 |
| AKDPK3211E | MS. QURAIsha KHATOON          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992<br>AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, | WTM/RKA/EFD/124/2016          | 13-01-2023 |
| ABYPW7604D | MS. RUHI GHAZALA WARSI        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992<br>AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, | WTM/RKA/EFD/124/2016          | 13-01-2023 |
| AARCS1027K | SUN TECHNO INTERNATIONAL LTD. | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF SUNTECHNO INTERNATIONAL LIMITED                                                                                | WTM/MPB/EFD-1-DRA-IV/145/2018 | 13-01-2023 |
| ANGPC4373F | SMT KEYA CHATTERJEE           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF SUNTECHNO INTERNATIONAL LIMITED                                                                                | WTM/MPB/EFD-1-DRA-IV/145/2018 | 13-01-2023 |

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| AMRPB7694J | MR. SANKAR BHATTACHARJEE | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                      | WTM/PS/34/IMD/ERO-RLO/MAY/2016             | 13-01-2023 |
| AMRPB7694J | MR. SANKAR BHATTACHARJEE | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                      | WTM/PS/37/IMD/ERO-RLO/MAY/2016             | 13-01-2023 |
| AMJPS7534C | ASLAM SAYEED             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT, 1956                                                       | WTM/AB/EFD-1/DRA-IV/14/2020-21             | 16-01-2023 |
| AMLPG2674F | MR. AMIT KUMAR GUPTA     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013 | WTM/PS/155/IMD/ERO-BLO/FEB/2016            | 16-01-2023 |
| ANFPB7121D | BIKASH BHANDARY          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RISING AGROTECH LIMITED                                                          | WTM/PS/42/ERO/IMD/MAY/2016                 | 16-01-2023 |
| AOAPS0373N | AMEET SAVANT             | UNDER SECTION 11(1),11(4)AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                               | SEBI/WRO/P/OW/2022/5881/1                  | 16-01-2023 |
| ARLPP5727B | MR. HARI ARJUNA PANDA    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013 | WTM/PS/155/IMD/ERO-BLO/FEB/2016            | 16-01-2023 |
| AUVPS5370E | AMANDEEP SINGH SRAN      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995         | ADJUDICATION ORDER NO. AO/JSNRP/49-58/2017 | 16-01-2023 |
| AAECA8578L | RAHUL HI RISE LIMITED    | UNDER SECTIONS 11, 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                          | WTM/MPB/EFD-1-DRA-IV/98/2017               | 17-01-2023 |

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| AGVPC6440K | MR. TAPAN KUMAR CHATTERJEE        | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN THE MATTER OF ICORE E SERVICES LIMITED                                                 | WTM/GM/EFD/DRAIII/76/2017-18                           | 17-01-2023 |
| AMOPB0512G | MRINMOY BOSE                      | UNDER SECTIONS 11, 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                     | WTM/MPB/EFD-1-DRA-IV/98/2017                           | 17-01-2023 |
| AQAPS4323C | MR. SANJEET KUMAR SHARMA          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (DISCLOSURE AND INVESTOR PROTECTION) GUIDELINES, 2003 IN THE MATTER OF HELIOS CORPORATION LIMITED AND HELIOS CHEMICALS LIMITED | WTM/MPB/EFD-1-DRA-III/148/2018                         | 17-01-2023 |
| BFLPP9443M | SHRI HARIOM SHARAN PATEL          | SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF THE SEBI (INTERMEDIARIES) REGULATIONS, 2008 (HEREINAFTER REFERRED TO AS "INTERMEDIARIES REGULATIONS"), IN RESPECT OF M/S BIS CAPITAL INVESTMENT ADVISOR.                                                                          | SEBI/HO/EFD1/DRA6/O W/P/ENQ/JF/2022/557 51/1           | 20-01-2023 |
| AAACW2920N | ANUGRAH STOCK & BROKING PVT. LTD. | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                        | ADJUDICATION ORDER NO. ORDER/GR/BM/2022-23/18249-18252 | 23-01-2023 |
| AFVPP4292B | RAMESWAR PODDER                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF RAMEL PHARMA LIMITED AND ITS DIRECTORS-                                                                                                                           | WTM/MB/SEBI/EFD-DRA4/7/2017                            | 23-01-2023 |
| AFVPP4292B | RAMESWAR PODDER                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                                                                                                                | WTM/PS/153/ERO-IMD/FEB/2016                            | 23-01-2023 |
| AAOFK7265M | KRYPTON DISTRIBUTORS LLP          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                             | SEBI/EAD-3/BM/JR/44418/2022                            | 23-01-2023 |

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| AAMCS8602D | SUTANUTI DISTRIBUTORS PRIVATE LIMITED | UNDER SECTIONS 11 (1), 11(4), 11A AND 1111 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                                                                                                                                    | WTM/RKA/EFD/142/2016    | 23-01-2023 |
| AIQPM0516K | PRABIR                                | UNDER SECTIONS 11 (1), 11(4), 11A AND 1111 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                                                                                                                                    | WTM/RKA/EFD/142/2016    | 23-01-2023 |
| AARPS7234B | SONIA SHARMA                          | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 AND REGULATION 11 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/RKA/IVD/NRO/01/2013 | 23-01-2023 |
| BOLPM1668G | SIDDHARTH JAY MARATHE                 | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 AND REGULATION 11 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING SECURITIES MARKET REGHULATIONS, 2003.    | WTM/RKA/IVD/NRO/01/2013 | 23-01-2023 |
| AJCPA7989H | SONI AGARWAL                          | SHOW CAUSE NOTICE UNDER RULE 4 (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN RESPECT OF SONI AGARWAL IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS                                                                                                                             | RRD/AO-JS/N/179/2022    | 23-01-2023 |

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| AFYPS0954C | DARSHANBHAI ARVINDBHAI SHAH   | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF ORIENT RESORTS (INDIA) PVT. LTD. | WTM/RKA/WRO/48/2013                | 24-01-2023 |
| AKNPP6001B | MR. JANARDAN ARVIND PARULEKAR | DIRECTIONS UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATIONS 65 AND 73 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999.                            | WTM/RKA/CIS/07/2013                | 24-01-2023 |
| AKNPP6001B | MR. JANARDAN ARVIND PARULEKAR | UNDER SECTIONS 11(1), 11(4) AND 11(3) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF MAITREYA PLOTTERS AND STRUCTURES PRIVATE LIMITED       | WTM/SKM/EFD-DRA-1/06/2018-19       | 24-01-2023 |
| AXYPS7773H | MS. REEBHA SHRIVASTAVA        | UNDER SECTIONS 11(1), 11(4) 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF:      | WTM/RKA/RLO/136/2015               | 24-01-2023 |
| AENPJ3963L | MANISH JANI                   | NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 IN THE MATTER OF LAYLA TEXTILE AND TRADERS LIMITED.                                                                               | SEBI/EAD-1/SM/LD/55355/1/2022      | 25-01-2023 |
| BCOPK1206M | NEERAJ KUMAR                  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                 | WTM/AB/SRO/SRO/20816/2022-23       | 27-01-2023 |
| BEBPM3906D | ANJU PRAKASHBHAI MATA         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                 | WTM/AB/SRO/SRO/20816/2022-23       | 27-01-2023 |
| CODPM3115F | MANISH KUMAR MAHASETH         | UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                       | CGM/GG/QJC-2/SRO/SRO/21243/2022-23 | 27-01-2023 |

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| AQHPB8639H | SHASHANK B BHAPKAR                                  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                            | WTM/PS/66/IMD-CIS/JAN/2015  | 27-01-2023 |
| GAUPS3690J | CAPITAL MIRROR AND ITS PROPRIETOR MR. SAURABH SAMIR | UNDER SECTIONS 11(1), 11(4), 11B AND 11D OF THE SECUTITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/SM/SRO/SRO/8408/2020-21 | 27-01-2023 |
| ATTPB8244M | SHAHENDRA SINGH BAGHEL                              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER DATED DECEMBER 26, 2014 IN THE MATTER OF SAI PRAKASH PROPERTIES DEVELOPMENT LTD. ("SPPDL")     | WTM/GM/EFD/26/2019-20       | 27-01-2023 |
| ATTPB8244M | SHAHENDRA SINGH BAGHEL                              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 6, 2015 IN THE MATTER OF SAI PRAKASH ORGANIC FOOD LIMITED. | WTM/GM/EFD/38/2018-19       | 27-01-2023 |
| ATTPB8254D | RANVAJAY PRATAP SINGH BAGHEL                        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER DATED DECEMBER 26, 2014 IN THE MATTER OF SAI PRAKASH PROPERTIES DEVELOPMENT LTD. ("SPPDL")     | WTM/GM/EFD/26/2019-20       | 27-01-2023 |
| ATTPB8254D | RANVAJAY PRATAP SINGH BAGHEL                        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 6, 2015 IN THE MATTER OF SAI PRAKASH ORGANIC FOOD LIMITED. | WTM/GM/EFD/38/2018-19       | 27-01-2023 |

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| AXMPB0165C | DHEERENDRA KRISHAN PRATAP                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER DATED DECEMBER 26, 2014 IN THE MATTER OF SAI PRAKASH PROPERTIES DEVELOPMENT LTD. ("SPPDL")     | WTM/GM/EFD/26/2019-20                 | 27-01-2023 |
| AXMPB0165C | DHEERENDRA KRISHAN PRATAP                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 6, 2015 IN THE MATTER OF SAI PRAKASH ORGANIC FOOD LIMITED. | WTM/GM/EFD/38/2018-19                 | 27-01-2023 |
| BKJPB6325H | MRAGENDRA SINGH BAGHEL                       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER DATED DECEMBER 26, 2014 IN THE MATTER OF SAI PRAKASH PROPERTIES DEVELOPMENT LTD. ("SPPDL")     | WTM/GM/EFD/26/2019-20                 | 27-01-2023 |
| BKJPB6325H | MRAGENDRA SINGH BAGHEL                       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 6, 2015 IN THE MATTER OF SAI PRAKASH ORGANIC FOOD LIMITED.  | WTM/GM/EFD/38/2018-19                 | 27-01-2023 |
| AAHCA2094C | AMRAPALI AADYA TRADING & INVESTMENT PVT LTD. | WTM ORDER IN THE MATTER OF AMRAPALI AADYA TRADING & INVESTMENT PVT. LTD.                                                                                                                                                                                                                                     | SEBI/HO/OW/EFD1/DRA 3/JS/2021/57764/1 | 30-01-2023 |
| AAECA3909P | AADYA COMMODITIES PVT LTD.                   | WTM ORDER IN THE MATTER OF AADYA COMMODITIES PVT LTD.                                                                                                                                                                                                                                                        | SEBI/HO/OW/EFD1/DRA 3/JS/2021/57765/1 | 30-01-2023 |
| AFCPD3788F | PRITHWIS KUMAR DAS                           | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                       | WTM/GM/EFD/48/2017-18                 | 01-02-2023 |

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| AACBC4470B | DWITIYA TRADING LIMITED    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/TVD/ID8/SCN/AO-SS/VS/36076/1/2022 | 01-02-2023 |
| AHCPC4610M | DEBDULAL BANIK CHOWDHURY   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF HTE SECURITIES AND EXCHANGE BOARD OF INDIA (LSSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016                      | 01-02-2023 |
| AHEPG6300N | ANIRUDDHA GHOSAL           | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATIONS 28 OF SEBI (LSSUE AND LISTING OF DEBT SECURITIES)REGULATIONS, 2088 IN RESPECT OF;                                        | WTM/RKA/EFD/175/2016                      | 01-02-2023 |
| ANQPM5013N | SAUBHAGYA KUMAR MOHAPATRA  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SLB INVEST (INDIA) LIMITED                                                                                               | WTM/PS/08/ERO-BLO/APR/2016                | 01-02-2023 |
| ATPPS1339A | ARINDAM SARKAR             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF STPL INFRASTRUCTURES LIMITED                                                                                          | WTM/RKA/EFD/167/2016                      | 01-02-2023 |
| AFCPT1949Q | SANGRAM KESHARI TARAI      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                          | WTM/PS/05/ERO-BLO/APR/2016                | 01-02-2023 |
| BLUPM3877R | SHUBHRANSHU SHEKHAR MAIKAP | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF -                                                                                                                      | WTM/GM/SEBI/ERO/IMD/23/JUNE/2017          | 01-02-2023 |
| ANVPM3551G | BHOLANATH MAJI             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1982                                                                                                                                     | WTM/RKA/EFD/185/2016                      | 01-02-2023 |
| AKUPM9766H | DINOBANDHU MONDAL          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                     | WTM/RKA/EFD/190/2016                      | 01-02-2023 |

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| ADGPB7510D | SUNIL KUMAR<br>BRAHAMCHARI | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1982                                                                                                                                                                                            | WTM/PS/145/ERO/JAN/2016        | 01-02-2023 |
| ARUPD9825F | SUSANTA DAS                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1982                                                                                                                                                                                            | WTM/RKA/EFD/185/2016           | 01-02-2023 |
| AABPC1451E | MR. MEHUL CHOKSI           | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005.                                                                                                 | ORDER/SS/Vs/2019-20/6979-6981  | 01-02-2023 |
| AIYPV3150A | GIRISH SRICHAND VALECHA    | UNDER SECTIONS 11(1), 11(4)(B) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (INVESTMENT ADVISERS) REGULATIONS, 2013 AND THE SECURITIES AND EXCHANGE BOARD OF INDIA (RESEARCH ANALYST) REGULATIONS, 2014, IN RESPECT OF | WTM/MPB/SEBI/EFD-DRA4/108/2017 | 01-02-2023 |
| BBPPK9582E | NIWAS A KAMBLE             | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                | EAD-2/AO/DSR/RG/205-221/2014   | 01-02-2023 |
| ADYPV0844N | BHARAT G VAGHELA           | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 6 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                | EAD-2/A91DSR/RG/253-270/2014   | 01-02-2023 |
| AANCS1689M | SUNVIEW RETAIL PVT. LTD.   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF TOUCH WOOD LIMITED.                                                                      | WTM/GM/EFD/47/2018-19          | 01-02-2023 |

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| ADIPJ1942R | MR. RAMESHCHANDRA K JAIN       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUTICATION OFFICER) RULES, 1995                                           | ADJUDICATION ORDER NO.:SPL/AO/SKS/SG/DC R/06/2010 | 01-02-2023 |
| ABNPP5218K | PRAHLADBHAI J PATEL            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUTICATION OFFICER) RULES, 1995                                           | ADJUDICATION ORDER NO.:SKS/AO/01/2010             | 01-02-2023 |
| AHCPC4610M | DEBDULAL BANIK CHOWDHURY       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF HTE SECURITIES AND EXCHANGE BOARD OF INDIA (LSSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016                              | 01-02-2023 |
| BIIPS0343H | SHRI SHEONATH SAHNI            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008                                                  | WTM/RKA/EFD-DRA-IV/184/2016                       | 01-02-2023 |
| AHEPA0768N | MR. SEKH SAHADAT ALI           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                        | WTM/PS/167/ERO/FEB/2016                           | 01-02-2023 |
| AKXPR8291H | PARTHA PRATIM ROY              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/53/2018                      | 01-02-2023 |
| AADCV8983D | VISHAWDHAM TRADERS PVT LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                    | SEBI/HO/DEPA-I/DEPA-I_RRD/P/OW/2022/39179/1       | 01-02-2023 |

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| AAOCS5259G | SRM SECURITIES PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                       | OUTWARD NO. 42522/1/2022       | 01-02-2023 |
| AHEPT6376K | KUNAAL TIWARY                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/85/2017   | 01-02-2023 |
| AOYPS5605P | SHRI PRADIP SAMADDAR           | UNDER SECTIONS 11, 11(4), AND SECTION 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                       | WTM/AB/EFD-1/DRA-IV/13/2020-21 | 01-02-2023 |
| BBBPS5913B | SUJOY SINHA                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                           | WTM/PS/95/ERO-IMD/DEC/2015     | 01-02-2023 |
| ADQPG7953F | PIJUSH KANTI GHOSH             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                             | WTM/GM/94/2018-19              | 01-02-2023 |
| AIDPC5794L | MITHUN CHAKRABORTY             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/11/2017   | 01-02-2023 |
| AQWPM6717G | DIBYENDU SEKHAR MAITY          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/141/2018  | 01-02-2023 |
| BMPPS2929L | ATISH SAMANTA RAY              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/141/2018  | 01-02-2023 |
| ADQPG7953F | PIJUSH KANTI GHOSH             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                             | WTM/GM/94/2018-19              | 01-02-2023 |
| AGSPG3776H | MS. SUNITA GUPTA               | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF: | WTM/RKA/EFD/123/2016           | 01-02-2023 |
| AKCPD2678K | MR. DEBJYOTI DAS               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                           | WTM/PS/11/ERO-GLO/APR/2016     | 01-02-2023 |

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| ALMPM5615N | MR. NIRMALYA MUKHERJEE          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/11/ERO-GLO/APR/2016                             | 01-02-2023 |
| ATYPR9064L | SHRI POLAKI UMASHANKAR RAO      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/115/2018                          | 01-02-2023 |
| BMSPS6948C | SHRI GANESH KUMAR SINGH         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/115/2018                          | 01-02-2023 |
| AAHCS8646L | SONIKA GRANITES PRIVATE LIMITED | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION)ACT, 2956 READ WITH RULE 5 OF SECURITIES CONTRACT (REGULATIONS)(PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ORDER/MC/VS/2021-22/14547-14554                        | 01-02-2023 |
| AHRPK5233D | SHEIKH ALAMGIR KABIR            | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/PS/178/ERO/MAR/2016                                | 01-02-2023 |
| AIXPG8273A | RAKESH KUMAR GUPTA              | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | WTM/MPB/EFD-1-DRA-IV/91/2017                           | 01-02-2023 |
| AAACK3241J | KEYSTONE STOCK FINANCE LTD      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                      | ADJUDICATION ORDER NO. ORDER/BM/UR/2021-22/15253-15267 | 01-02-2023 |
| AACCC4640H | CLOCKSIGN TRADING PVT LTD       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                      | ADJUDICATION ORDER NO. ORDER/BM/UR/2021-22/15253-15267 | 01-02-2023 |
| ABBPP2992C | DAKSHA KIRIT PATEL              | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE        | SEBI EMAIL DATED 11-08-2022                            | 01-02-2023 |
| AABHD4775N | D K AGRAWAL HUF                 | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                | SEBI/ERO/AP/AS/OW/2022/42412/1                         | 01-02-2023 |

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| AABCT0574G | AMAZAN CAPITAL LIMITED   | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECUTIRIES AND EXCHANGE BOARD OF INDIA (ICDR) REGULATIONS, 2009, IN RESPECT OF INTERIN ORDERS CUM SHOW CAUSE NOTICES DATED MAY 25,2015 AND MAY 29, 2015 IN THE MATTER OF AMAZAN CAPITAL IMITED (ACL) | WTM/GM/EFD/38/2017-18               | 01-02-2023 |
| AAFPF3468A | JAMIL AHMED FAROOQUI     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                | WTM/PS/165/ERO/FEB/2016             | 01-02-2023 |
| AOEPB6160J | BHOWMICK NARAYAN CHANDRA | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF:                                                                                      | WTM/RKA/EFD/146/2016                | 01-02-2023 |
| AQVPM3286D | SAMIR KUMAR MUKHERJEE    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                | WTM/MB/SEBI/EFD-DRA4/4/2017         | 01-02-2023 |
| ACXPT5866A | MR. DHARMENDRA THAPA     | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                          | ADJUDICATING ORDER NO.SD/AO/77/2010 | 01-02-2023 |
| AITPB3875F | PRATAP KUMAR BISWAL      | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF MASS INFRA REALTY LIMITED                                                                                                                                                  | WTM/PS/10/ERO/APR/2016              | 01-02-2023 |
| AOLPR9289M | MR. MAZIBAR RAHMAN       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF ABYSS ASSAM REAL ESTATE LIMITED                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/86/2017        | 01-02-2023 |
| ALVPB6802B | JITENDRA SINGH BHATI     | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN THE MATTER OF SUSK INDIA LIMITED                                         | WTM/GM/EFD/78/2017-18               | 01-02-2023 |

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| AIXPG8273A | MR. RAKESH KUMAR GUPTA       | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/91/2017      | 01-02-2023 |
| AUIPS3363G | REMENDRA MOHAN SARKAR        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF RAMEL PHARMA LIMITED AND ITS DIRECTORS-                                                                                 | WTM/MB/SEBI/EFD-DRA4/7/2017       | 03-02-2023 |
| AUIPS3363G | REMENDRA MOHAN SARKAR        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                                                                      | WTM/PS/153/ERO-IMD/FEB/2016       | 03-02-2023 |
| AFCPK5677G | MR. SIDDHARTHA KAYAL         | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 16,2016 IN THE MATTER OF RISING AGROTECH LIMITED.                                    | WTM/GM/EFD/35/2018-19             | 03-02-2023 |
| BUIPS8288K | MR. DIPAN KUMAR SEN          | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 16,2016 IN THE MATTER OF RISING AGROTECH LIMITED.                                    | WTM/GM/EFD/35/2018-19             | 03-02-2023 |
| ANIPB3402G | MR. TRIVENI PRASAD BARANWAL  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                       | WTM/PS/14/IMD-ERO/APR/2016        | 09-02-2023 |
| ANIPB3402G | SHRI TRIVENI PRASAD BARANWAL | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2017      | 09-02-2023 |
| AEUPT1819A | ALOK TRIPATHI                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED | WTM/PS/187/CIS-NRO/MAR/2015       | 09-02-2023 |
| AWYPR5207Q | CHANDAN SINGH RAJPUT         | SHOW CAUSE NOTICE UNDER SECTIONS 11(1), 11(4), 11B (1) AND 11 D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                             | SEBI/WRO/ILO/NM/OW/P/28595/1/2022 | 09-02-2023 |

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| AOBPA3520Q | HEMANT AGRAWAL                 | SHOW CAUSE NOTICE UNDER SECTIONS 11(1), 11(4), 11B (1) AND 11 D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                     | SEBI/WRO/ILO/NM/OW/P/28602/1/2022       | 09-02-2023 |
| BNYPS4320M | LAXMIKANT SHARMA               | SHOW CAUSE NOTICE UNDER SECTIONS 11(1), 11(4), 11B (1) AND 11 D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                     | SEBI/WRO/ILO/NM/OW/P/28600/1/2022       | 09-02-2023 |
| AIGPM9759G | SAMBIT MOHANTY                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                                                                                                | WTM/GM/IMD/71/2018-19                   | 10-02-2023 |
| ADJPD2284P | HARIJIT SINGH DHARIWAL         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/114/CIS-NRO/DEC/2015             | 10-02-2023 |
| AAACJ6659B | JAYTON TRADING PRIVATE LIMITED | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIGUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                    | SEBI/HO/MRD/MRD-SEC-3/P/OW/2022/44365/2 | 13-02-2023 |
| AOTPM3722N | KANIKA MAITI                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/82/2017            | 13-02-2023 |
| AFMPC2809L | RAMENDU CHATTOPADHYAY          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                               | WTM/GM/EFD-DRA-III/34/2017-18           | 13-02-2023 |
| AOTPM3722N | KANIKA MAITI                   | UNDER SECTION 11 & 11B OF THE SECURITIES & EXCHANGE BOARD OF INDIA ACT, 1992,READ WITH REGULATION 107 OF SEBI ( ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN THE MATTER OF ICORE E-SERVICES LIMITED.                                                                                                  | WTM/GM/EFD/DRAIII/76/2017-18            | 13-02-2023 |
| AFMPC2809L | RAMENDU CHATTOPADHYAY          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/26/2018            | 13-02-2023 |
| BOXPS6610G | SHREYAS MANJUNATH              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                 | WTM/MPB/SEBI/EFD-DRA4/01/2018           | 13-02-2023 |

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| AFYPA4864P | MURLI LAL AGARWAL                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF MOHAN LAL AGRAWAL AND OTHER ASSOCIATED ENTITIES                                                                                                                                                                   | WTM/AB/EFD-1/DRA-IV/19/2019-20      | 13-02-2023 |
| AAACM2105K | MODEX INTERNATIONAL SECURITIES LTD.  | NOTICE UNDER REGULATION 25(1) OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 IN RESPECT OF MODEX INTERNATIONAL SECURITIES LTD.                                                                                                                                                                                                  | SEBI/HO/EAD/EAD4/P/O W/2022/57147/1 | 13-02-2023 |
| AIMPA4343C | ANNAPURNA MATHKUR VENKATACHALAI AH   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                 | WTM/MPB/SEBI/EFD-DRA4/01/2018       | 20-02-2023 |
| AIYPD6009L | DURGA PRASAD DUBEY                   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED                                                                                         | WTM/PS/187/CIS-NRO/MAR/2015         | 20-02-2023 |
| ATSPS3033N | MAHIPAL SINGH                        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/93/IM-CIS/NRO/NOV/2015       | 20-02-2023 |
| AXHPM2750M | SANDEEP KUMAR MISHRA                 | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED                                                                                         | WTM/PS/187/CIS-NRO/MAR/2015         | 20-02-2023 |
| AAICS0865N | SAMRUDDHA JEEVAN FOODS INDIA LIMITED | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                               | WTM/PS/48/IMD-CIS/SEPT/2015         | 20-02-2023 |

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| AKMPM3895K | MAHESH KISAN MOTEWAR        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                | WTM/PS/48/IMD-CIS/SEPT/2015                           | 20-02-2023 |
| AKMPM3895K | MAHESH KISAN MOTEWAR        | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                                                                                                                                                                           | ADJUDICATION ORDER NO. ORDER/BJD/MG/2020-21/9494-9497 | 20-02-2023 |
| ALKPB5263D | RAJENDRA PANDURANG BHANDARE | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                | WTM/PS/48/IMD-CIS/SEPT/2015                           | 20-02-2023 |
| ALKPB5263D | RAJENDRA PANDURANG BHANDARE | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                                                                                                                                                                           | ADJUDICATION ORDER NO. ORDER/BJD/MG/2020-21/9494-9497 | 20-02-2023 |
| BIPPP0583D | GIRIRAJ PANDEY              | UNDER SECTIONS 11(1), 11(4) 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/SKM/EFD1-DRA-III/25/2019-20                       | 20-02-2023 |
| BLQPS6267P | DEEPAK SHARMA               | UNDER SECTIONS 11(1), 11(4) 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/SKM/EFD1-DRA-III/25/2019-20                       | 20-02-2023 |

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| AACCI5457Q | INDRAKSHI SALES PVT.LTD             | ADJUDICATION PROCEEDINGS IN THE MATTER OF TRADING MEMBERS IN IIIIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                   | SEBI/HO/EAD-5/AN/HP/60081/1/2022  | 22-02-2023 |
| AACCG6000B | GEOMETRY VANJIYA PVT.LTD            | ADJUDICATION PROCEEDINGS IN THE MATTER OF TRADING MEMBERS IN IIIIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                   | SEBI/HO/EAD-5/AN/SM/60078/1/2022  | 22-02-2023 |
| AACCB7074J | MKB SECURITIES PVT LTD              | ADJUDICATION PROCEEDINGS IN THE MATTER OF TRADING MEMBERS IN IIIIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                   | SEBI/HO/EAD-5/AN/PR/2022/59987/1  | 22-02-2023 |
| AACCB7981J | BRIGHT BUILDTECH PVT.LTD.           | NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF THE SEBI ACT, 1992 IN THE MATTER OF NON-SUBMISSION OF BANK DETAILS BY ISSUERS TO DEBENTURE TRUSTEES | SEBI/EAD-1/SM/RG/63415/2/2022     | 22-02-2023 |
| AAACO1722C | ARTIFICE PROPERTIES PRIVATE LIMITED | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                         | EAD-4/ADJ/GR/PU/OW/P/21327/3/2022 | 23-02-2023 |
| AACCT7439H | TIGER DEVELOPERS PRIVATE LIMITED    | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                         | EAD-4/ADJ/GR/HK/OW/P/21332/1/2022 | 23-02-2023 |
| AACCT8158M | TORUS BUILDCON PRIVATE LIMITED      | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                         | EAD-4/ADJ/GR/HK/OW/P/21332/1/2022 | 23-02-2023 |
| AADCA7654E | ANR SECURITIES LIMITED              | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                         | EAD-4/ADJ/GR/RK/OW/P/21327/4/2022 | 23-02-2023 |

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| AAFCR2252M | ROSESTAR MARKETING PRIVATE LIMITED | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | EAD-4/ADJ/GR/RK/OW/P/2132 7/8/2022 | 23-02-2023 |
| AAGCR6009M | RAMYA MERCANTILE PVT LTD.          | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | EAD-4/ADJ/GR/PU/OW/P/2623 6/1/2022 | 23-02-2023 |
| AALCS1157L | SAUBHAGYA BUILDCON PRIVATE LIMITED | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | EAD-4/ADJ/GR/HK/OW/P/2133 2/2/2022 | 23-02-2023 |
| AADCR9657A | REXCIN FINANCE PRIVATE LIMITED     | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | EAD-4/ADJ/GR/RK/OW/P/2132 7/3/2022 | 23-02-2023 |
| AJHPJ4757D | SHRI VIKASH JHA                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008        | WTM/RKA/EFD-DRA-IV/184/2016        | 27-02-2023 |
| AAPPC4494H | PARESH NATHALAL CHAUHAN            | SERVICE PF PRDERS IN TERMS OF CIRCULAR NO. SEBI/HO/EFD1/EFD_DR4/P/CIR/2022/104                                                                                                             | EFD-1/DRA-1/KSB/ON/39135/2022      | 27-02-2023 |
| BAZPS4721C | SUBRATA SAMANTA                    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.   | WTM/RKA/EFD-DRA-IV/189/2016        | 06-03-2023 |

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| AUQPP7247L | ARVIND KASHMIRILAL<br>PUNJABI | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                            | SEBI/AO/SR/2022/47/431<br>99/1 | 06-03-2023 |
| BDBPS9453C | UMA SHANKAR SHAW              | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF:                                                   | WTM/RKA/EFD/175/2016           | 06-03-2023 |
| AEYPD5580Q | SUBRATA DAS                   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF ASOKA LIFE SCIENCE LIMITED                                                                                                                                                      | WTM/RKA/EFD/175/2016           | 06-03-2023 |
| ABMPH2954D | SHEKE JASMIR HOSSAIN          | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                     | WTM/MPB/EFD-1-DRA-IV/22/2018   | 06-03-2023 |
| AENPA5118G | SYED AKHTAR                   | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                     | WTM/MPB/EFD-1-DRA-IV/128/2018  | 06-03-2023 |
| AQYPM7781N | ANAND MOHAN                   | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                                                                   | WTM/RKA/EFD/133/2016           | 06-03-2023 |
| ACHPA5541M | ANNAPAREDDY LEELA             | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATIONS 44 OF THE SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 1997 READ WITH REGULATION 35 OF THE SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 2011 | WTM/GM/EFD/DRAIII/11/MAY/2017  | 06-03-2023 |

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| AHZPA5662L | ANNAPAREDDY<br>NAMRATHHA              | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATIONS 44 OF THE SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 1997 READ WITH REGULATION 35 OF THE SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 2011                       | WTM/GM/EFD/DRAIII/11 /MAY/2017                             | 06-03-2023 |
| AADCA9436E | ALLBRIGHT ELECTRICALS<br>PVT LTD      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT, 1956.                                                                                                                                                                 | ADJUDICATION ORDER NO.: ORDER/VV/AS/2022-23/15978 - 16000] | 06-03-2023 |
| AABCG2641P | GRAFTON MERCHANT PVT LTD              | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT, 1956.                                                                                                                                                                 | ADJUDICATION ORDER NO.: ORDER/VV/AS/2022-23/15978 - 16000] | 06-03-2023 |
| ADLPV5355P | MR. ARVINDKUMAR<br>LUNKARAN VAKTHARIA | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER -CUM- SHOW CAUSE NOTICE DATED JUNE 17, 2014 IN THE MATTER OF HALDHAR REALTY AND ENTERPRISES LIMITED. | WTM/GM/EFD/90 /2017-18                                     | 06-03-2023 |
| AHOPV2197A | MR. LUNKARAN KACHRAJI<br>VAKTHARIA    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER -CUM- SHOW CAUSE NOTICE DATED JUNE 17, 2014 IN THE MATTER OF HALDHAR REALTY AND ENTERPRISES LIMITED. | WTM/GM/EFD/90 /2017-18                                     | 06-03-2023 |

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| AFFPA4197L | ANSAR AHMED                       | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/AB/WRO/WRO/7170/2019-20            | 06-03-2023 |
| ALWPM2969H | PAWAN KUMAR MITTAL                | UNDER SECTIONS 11(1), 11( 4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF TOUCH WOOD LIMITED.                                                                                                                                        | WTM/GM/EFD/47/2018-19                  | 06-03-2023 |
| ADUPT7199Q | MR. DEEPAK TODKAR                 | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUTICATION OFFICER) RULES, 1995                                                                                                                                                                     | ADJUDICATION ORDER NO.:PKK/AO/162/2010 | 06-03-2023 |
| AWPPK9383F | MR. RAKESH KUMAR                  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                              | WTM/PS/53/CIS-NRO/SEPT/2015            | 06-03-2023 |
| AACCV6849B | VISTA MANAGEMENT SERVICES LIMITED | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                               | WTM/PS/109/ERO/BLO/D EC/2015           | 06-03-2023 |
| BDBPS9453C | SMT. UMA SHANKAR SHAW             | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                              | WTM/PS/162/ERO/FEB/2016                | 06-03-2023 |
| AKEPM1906F | NIRMAL MUKHERJEE                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                  | WTM/MPB/EFD-1-DRA-IV/53/2018           | 06-03-2023 |
| AABCG5430A | NEESA TECHNOLOGIES LTD            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                  | WTM/PS/46/WRO/JUN/2016                 | 06-03-2023 |

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| AABCG5430A | NEESA TECHNOLOGIES LTD                                  | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 73 OF THE COMPANIES ACT 1956                                                      | WTM/AB/EFD1-DRA3/7449/2020-21                              | 06-03-2023 |
| AOMPM9182R | ANUKUL MAITI                                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                      | WTM/MPB/EFD-1-DRA-IV/82/2017                               | 06-03-2023 |
| AABCL4590L | LOWE INFRA AND WELLNESS PRIVATE LIMITED                 | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995         | EAD-4/ADJ/GR/HK/OW/P/2133 2/3/2022                         | 06-03-2023 |
| AHAPD8240L | RAJESH TUKARAM DAMBRE PROPRIETOR- ANMOL FINANCE COMPANY | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                | ADJUDICATION ORDER NO. ORDER/BM/UR/2021-22/15253-15267     | 06-03-2023 |
| ABVPC3502H | CHATTERJEE DEBDAS DEBDAS                                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                      | WTM/PS/165/ERO/FEB/2016                                    | 06-03-2023 |
| AAECR8598R | RISING AGROTECH LIMITED                                 | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 16, 2016 IN THE MATTER OF RISING AGROTECH LIMITED. | WTM/GM/EFD/35/2018-19                                      | 06-03-2023 |
| AAECR8598R | RISING AGROTECH LIMITED                                 | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                       | WTM/PS/42/ERO/IMD/MAY/2016                                 | 06-03-2023 |
| ASLPB1204C | MRS. SHOBHA RATNAKAR BARDE                              | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                 | ADJUDICATION ORDER NO. ORDER/SR/SJ/2020-21/8539-8545/51-57 | 06-03-2023 |
| AAMCS9355B | SUNSHINE INFRABUILD CORPORATION LIMITED                 | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                 | ADJUDICATION ORDER NO: EAD- 2/SS/SK/2018-19/1199-1201      | 06-03-2023 |

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| CCBPS5904G | MUKESH SINGH (DIRECTOR)  | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                                                         | ADJUDICATION ORDER NO: EAD- 2/SS/SK/2018-19/1199-1201 | 06-03-2023 |
| ATVPK1011B | MR. MUNENDRA KUMAR       | UNDER SECTION 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-III/112/2017                        | 06-03-2023 |
| ACOPN4986E | MR. PADAM SINGH NARWARIA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-III/112/2017                        | 06-03-2023 |
| AMWPP5730C | MUNA MAHADEV PATRO,      | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED SEPTEMBER 30, 2016 IN THE MATTER OF OSCAR MANAGEMENT SERVICES LTF (OMSL)                  | WTM/GM/EFD/24/2018-19                                 | 06-03-2023 |
| ABWPL7019B | SANJOY KUMAR LAYEK       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/89/2017                          | 06-03-2023 |
| ALLPM6767C | MR. RAJIB MUKHERJEE      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/PS/174/ERO/IMD/MAR/2016                           | 06-03-2023 |
| AXCPS5392Q | MR. GOPAL CHANDRA SAHU   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/43/2018                          | 06-03-2023 |
| AZEPA7933R | MR. DEBAPRIYA ACHARYA    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF : | WTM/RKA/EFD/136/2016                                  | 06-03-2023 |
| AFSPC3069C | DULAL CHATTERJEE         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF STPL INFRASTRUCTURES LIMITED                                                                                                | WTM/RKA/EFD/167/2016                                  | 06-03-2023 |
| AAECR8598R | RISING AGROTECH LIMITED  | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/PS/30/ERO/AUGUST/2015                             | 06-03-2023 |

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| AOMPM9182R | MR. ANKUL MAITI                | UNDER SECTION 11 & 11B OF THE SECURITIES & EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN THE MATTER OF ICORE E-SERVICES LIMITED.                                                                               | WTM/GM/EFD/DRAIII/76 /2017-18          | 06-03-2023 |
| AAKCS2215E | SIYARAM AGRO INDUSTRIES LTD.   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT, 1956                                                                                                                                                             | WTM/AB/EFD-1/DRA-IV/14/2020-21         | 06-03-2023 |
| AFZPB0557M | PUSHPANJALI SINGH BAGHEL       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER DATED DECEMBER 26, 2014 IN THE MATTER OF SAI PRAKASH PROPERTIES DEVELOPMENT LTD. ("SPPDL") | WTM/GM/EFD/26/2019-20                  | 06-03-2023 |
| AFZPB0624B | PUSHPENDRA SINGH BAGHEL        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER DATED DECEMBER 26, 2014 IN THE MATTER OF SAI PRAKASH PROPERTIES DEVELOPMENT LTD. (SPPDL)   | WTM/GM/EFD/26/2019-20                  | 06-03-2023 |
| AIUPR8350C | MR. PARVEEN KUMAR ROHILLA      | UNDER SECTIONS 11, 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                          | WTM/PS/53/CIS-NRO/SEPT/2015            | 13-03-2023 |
| AABCR5196G | WELLINDIA SECURITIES LTD       | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                        | SEBI EMAIL DATED 24-08-2022            | 13-03-2023 |
| AAHCA5667M | ATLANTIC GOODS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                        | EMAIL FROM SEBI DATED AS ON 04-08-2022 | 13-03-2023 |

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| AAACP9093R | PANCARD CLUBS LIMITED         | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                                                                                                                                                                             | ADJUDICATION ORDER NO. ORDER/SR/SJ/2020-21/8539-8545/51-57 | 13-03-2023 |
| AITPG8933H | MR. MANISH KALIDAS GANDHI     | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                                                                                                                                                                             | ADJUDICATION ORDER NO. ORDER/SR/SJ/2020-21/8539-8545/51-57 | 13-03-2023 |
| AAIPR9196G | MR. RAMACHANDRAN RAMAKRISHNAN | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                                                                                                                                                                             | ADJUDICATION ORDER NO. ORDER/SR/SJ/2020-21/8539-8545/51-57 | 13-03-2023 |
| ASCPK7713Q | DHARM SINGH KUSHWAH           | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                                                                                                                                                                             | ADJUDICATION ORDER NO: EAD- 2/SS/SK/2018-19/1199-1201      | 13-03-2023 |
| AFKPJ6640Q | RISHABH JAIN                  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 11(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 AND SECURITIES AND EXCHANGE BOARD OF INDIA (INVESTMENT ADVISERS) REGULATIONS, 2013 | WTM/AB/SRO/SRO/8281/2020-21                                | 13-03-2023 |
| AMYPs0600G | KRISHAN PAL SINGH             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                                                                             | WTM/PS/19/CIS-NRO/JULY/2015                                | 13-03-2023 |
| AAVPH7486C | ARSHAD HUSSAIN                | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                    | EAD-8/KS/MKG/AO/231/2018-19                                | 13-03-2023 |

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| AABCG7950M | G R MAGNETS LIMITED             | ADJUDICATION ORDER UNDER RULE 5 OF DEPOSITORIES (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005.                                                                                                                                                                        | EAD/ADJ/PKB/AO-64/EIF-204/6214/2010 | 13-03-2023 |
| AAACU1007G | USHA ISPAT LIMITED              | NON SUBMISSION OF PENALTY AMOUNT IMPOSED BY ADJUDICATING OFFICER                                                                                                                                                                                                                                                   | MIRSD4/JM/AO-DID/7877/2012          | 13-03-2023 |
| AAACU0927B | USHA (INDIA) LTD.               | NON SUBMISSION OF PENALTY AMOUNT IMPOSED BY ADJUDICATING OFFICER                                                                                                                                                                                                                                                   | MIRSD4/JM/AO-DID//2011              | 13-03-2023 |
| AZTPS4957Q | JAIN PRIYANKA                   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                  | EAD-10/SM/S/39946/1/2022            | 15-03-2023 |
| AAHNB6466L | BIJAYA KUMAR SAHOO HUF          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                  | OUTWARD NO. 36742/2022              | 15-03-2023 |
| AABCA6413F | ANAND FINSTOCK SERVICES LIMITED | UNDER SECTION- 1-S-I OP SECURITIP.S AND EXCHANGE BOARD OF INDIA "ACT, 1992 RE.AD WITH RULE 5 OF SHBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                   | EAD-2/DSR/RG/PU/345-403/2015        | 20-03-2023 |
| ACXPV0260G | MS. ANITA ARVINDBHAI VAKTHARIA  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER -CUM- SHOW CAUSE NOTICE DATED JUNE 17, 2014 IN THE MATTER OF HALDHAR REALTY AND ENTERPRISES LIMITED. | WTM/GM/EFD/90 /2017-18              | 20-03-2023 |
| AGWPR6262R | DHIREN RAWANI                   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT, 1956                                                                                                                                                                       | WTM/SM/ERO/ERO/9172 /2020-21        | 20-03-2023 |

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| ALEPD7075R | RAJNEESH DUTTA                 | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                           | WTM/PS/156/IMD/WRO/LO/FEB/2016                         | 20-03-2023 |
| ALUPK5400F | SANTOSH KUMAR                  | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                                     | WTM/GM/EFD/48/2017-18                                  | 20-03-2023 |
| ALIPJ5869M | ANUJ JAIN                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/159/2018                          | 20-03-2023 |
| AAACV7147C | VRP FINANCIAL SERVICES P/LTD   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                        | ADJUDICATION ORDER NO. ORDER/BM/UR/2021-22/15253-15267 | 20-03-2023 |
| BHCPS8238J | RAJNEESH CHANDRA SHUKLA        | THE ORDER OF THE SECURITIES APPELLATE TRIBUNAL DATED OCTOBER 25, 2016 IN MISC.APPLICATION NO.221 OF 2016 AND APPEAL NO. 275 OF 2016.                                                                                                                                                                                                                                                                       | WTM/GM/EFD/79/2018-19                                  | 20-03-2023 |
| AABCG1704F | GAMMA INFOWAY EXALT LTD        | UNDER SECTION 19H OF DEPOSITORIES ACT, 1996 READ WITH RULE 5 OF DEPOSITORIES (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005                                                                                                                                                                                                                                    | ADJUDICATION ORDER NO-PKB/AO- 136/2009                 | 20-03-2023 |
| AABCP4155F | AADHAAR VENTURES INDIA LIMITED | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SECURITIES CONTRACTS(REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO- ORDER/JS/N.2022-23/18699-18702  | 20-03-2023 |

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| AGKPM3175A | JILS RAICHAND MADAN    | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SECURITIES CONTRACTS(REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO- ORDER/JS/N.2022-23/18699-18702 | 20-03-2023 |
| ALSPM2060P | MS. JYOTI MUNVER       | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SECURITIES CONTRACTS(REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO- ORDER/JS/N.2022-23/18699-18702 | 20-03-2023 |
| ADDP4350R  | MEENU AJMERA           | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                                                  | SEBI/HO/2022/38364/1                                  | 22-03-2023 |
| AAHHA4468F | ASHISH BANTHIA HUF     | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                          | SEBI/AO/SR/2022/15/43272                              | 27-03-2023 |
| BBUPS0147N | BAKIL SINGH (DIRECTOR) | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                                     | WTM/PS/49/EFD/SEPTEMBER/2015                          | 27-03-2023 |
| ALRPD5933D | BIJOY DAS              | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                                     | WTM/GM/EFD/48/2017-18                                 | 27-03-2023 |
| ADQPC5578E | PARTHA CHAKRABORTI     | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                                     | WTM/GM/EFD/48/2017-18                                 | 27-03-2023 |
| AXYPS2842R | RAJVEER SINGH          | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                                     | WTM/PS/49/EFD/SEPTEMBER/2015                          | 27-03-2023 |

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| BBNPS8548C | SWETANSHU SHEKHAR SAMAL | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                  | WTM/GM/EFD/51/2017-18          | 27-03-2023 |
| ABUPA9340A | KAMLESH KUMAR AGARWAL   | UNDER SECTIONS 11(B), 11(1) AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,, 1992                                                                                                          | WTM/MPB/EFD-1-DRA-III/115/2020 | 27-03-2023 |
| AAPPA0896H | AMITA AGARWAL           | INVESTIGATION IN THE MATTER OF TRADING ACTIVLTIES OF CERTAIN ENTITLES IN LLLIQLD STOCK OPTIONS (02 CASE)                                                                                                | SEBI/AO/IAD-1/SMR/40456/1/2022 | 27-03-2023 |
| AFNPC5967Q | ANITA GHOSH CHOWDHURY   | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.                | WTM/RKA/EFD-DRA-IV/189/2016    | 27-03-2023 |
| BBGPM6355J | GOUTAM MUKHERJEE        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.                | WTM/RKA/EFD-DRA-IV/189/2016    | 27-03-2023 |
| AIXPB3056C | RABISHANKAR BASU        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.                | WTM/RKA/EFD-DRA-IV/189/2016    | 27-03-2023 |
| AGIPA6141Q | RAJENDRA KUMAR AGARWAL  | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                       | EAD-8/AS/GD/2022/36676/1       | 27-03-2023 |
| AAJHA5618M | ASHISH KEDIA HUF        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                       | SEBI/AO/SR/2022/17/43274       | 27-03-2023 |
| AJVPR6895C | ROY SOUGATA             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016           | 27-03-2023 |

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| AZGPS4138J | JAYANTI SOUNTH      | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016          | 27-03-2023 |
| AXAPB8554D | SUDHIR CHANDRA BERA | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016          | 27-03-2023 |
| ADYPB3215H | ANJAN BANDYOPADHYAY | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF: | WTM/RKA/EFD/175/2016          | 27-03-2023 |
| ACMPH7807A | SEKH JASIM HOSSAIN  | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                | WTM/MPB/EFD-1-DRA-IV/22/2018  | 27-03-2023 |
| AIUPS1764M | MD SALIM            | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                | WTM/MPB/EFD-1-DRA-IV/128/2018 | 27-03-2023 |
| AEWPD4198N | BAIRI GANJAN DASH   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SLB INVEST (INDIA) LIMITED                                                                  | WTM/PS/08/ERO-BLO/APR/2016    | 27-03-2023 |
| AHZPM1022C | BASUDEV MOHANTY     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SLB INVEST (INDIA) LIMITED                                                                  | WTM/PS/08/ERO-BLO/APR/2016    | 27-03-2023 |
| ANPPM8071M | AUROBINDO MAITI     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SLB INVEST (INDIA) LIMITED                                                                  | WTM/PS/08/ERO-BLO/APR/2016    | 27-03-2023 |
| ANXPM3985E | MS. ROSALIN MOHANTY | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SLB INVEST (INDIA) LIMITED                                                                  | WTM/PS/08/ERO-BLO/APR/2016    | 27-03-2023 |

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| AXTPS4159G | MS. SWATI SATPATHY       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SLB INVEST (INDIA) LIMITED                                                                                     | WTM/PS/08/ERO-BLO/APR/2016        | 27-03-2023 |
| ACGPN6147D | SWAPAN NANDI             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF STPL INFRASTRUCTURES LIMITED                                                                                | WTM/RKA/EFD/167/2016              | 27-03-2023 |
| ALAPS8382A | BHASKAR SAHA             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF:                    | WTM/GM/NRO/30/2017                | 27-03-2023 |
| AVOPS6359R | SAROJ KUMAR SAHOO        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF DYNAMIC ASSET MANAGEMENT LIMITED                                                                            | WTM/PS/05/ERO-BLO/APR/2016        | 27-03-2023 |
| AJPPR6529R | NARENDRA ROUT            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF DYNAMIC ASSET MANAGEMENT LIMITED                                                                            | WTM/PS/05/ERO-BLO/APR/2016        | 27-03-2023 |
| AAPCS9876G | SIYARAM GREEN INDIA LTD. | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                  | WTM/GM/SEBI/ERO/IM D/23/JUNE/2017 | 27-03-2023 |
| AUNPM9705D | KALI SANKAR MAJHI        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF -                                                                                                            | WTM/GM/SEBI/ERO/IM D/23/JUNE/2017 | 27-03-2023 |
| AKDPM2024K | ASHIM MITRA              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                              | WTM/AB/EFD-1/DRA-1V/05/2018-19    | 27-03-2023 |
| ACWPG8355L | DEBABRATA GHOSH          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1982                                                                                                                           | WTM/PS/145/ERO/JAN/2016           | 27-03-2023 |
| BQNPS0657R | INDRAJIT KUMAR SHARMA    | UNDER SECTIONS 11 (1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/133/2016              | 27-03-2023 |

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| AHKPM6164A | SANJOY MITRA                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                | WTM/AB/EFD-1/DRA-1V/05/2018-19   | 27-03-2023 |
| AAACC3529P | COSMO CORPORATE SERVICES LTD | UNDER SECTIONS 11 (1) AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                    | WTM/MPB/EFD-1-DRA-4/101-103/2020 | 27-03-2023 |
| AAACG1642F | GITANJALI GEMS LIMITED       | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005.                                                                                                  | ORDER/SS/VS/2019-20/6979-6981    | 27-03-2023 |
| AAEPS3776M | MR. DHANESH SHETH            | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005.                                                                                                  | ORDER/SS/VS/2019-20/6979-6981    | 27-03-2023 |
| ADIPA6803E | ANNAPAREDDY SUDHAKER REDDY   | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATIONS 44 OF THE SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 1997 READ WITH REGULATION 35 OF THE SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 2011 | WTM/GM/EFD/DRAIII/11/MAY/2017    | 27-03-2023 |
| AFMPB0449P | JAYSHREE SHANKAR BHOSLE      | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENAL TIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES")                                  | EAD-12/ AO/SM/57-72/2017)        | 27-03-2023 |
| ARRPS2518R | PARAG CHANDRAKANT SHAH       | IN RE: SECURITIES AND EXCHANGE BOARD OF INDIA (INVESTMENT ADVISERS) REGULATIONS, 2013, AND THE SECURITIES AND EXCHANGE BOARD OF INDIA (RESEARCH ANALYST) REGULATIONS, 2014                                                                                                                   | EAD-12/ AO/SM/57-72/2017)        | 27-03-2023 |

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| ACVPH5913N | RAJESH RAVINARAYAN HATI       | UNDER SECTION- 1-S-I OP SECURITIP.S AND EXCHANGE BOARD OF INDIA "ACT, 1992 RE.AD WITH RULE 5 OF SHBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                   | EAD-2/DSR/RG/PU/345-403/2015                               | 27-03-2023 |
| AAACW8434F | BRIJDHAM DEALCOM PVT LTD      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT, 1956.                                                                 | ADJUDICATION ORDER NO.: ORDER/VV/AS/2022-23/15978 - 16000] | 27-03-2023 |
| AACCG5385R | GULISTAN VANIJYA PVT LTD      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT, 1956.                                                                 | ADJUDICATION ORDER NO.: ORDER/VV/AS/2022-23/15978 - 16000] | 27-03-2023 |
| AADCC0116F | CHANDRAMUKHI VANIJYA PVT LTD  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT, 1956.                                                                 | ADJUDICATION ORDER NO.: ORDER/VV/AS/2022-23/15978 - 16000] | 27-03-2023 |
| AAPCS2813M | SILVERSON DEALTRADE PVT. LTD. | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT, 1956.                                                                 | ADJUDICATION ORDER NO.: ORDER/VV/AS/2022-23/15978 - 16000] | 27-03-2023 |
| APBPG3984P | MR. ROHIT GUPTA               | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                  | WTM/PS/22/EFD/MAY/2016                                     | 27-03-2023 |
| ACFPS9152A | RAVINDER SINGH SIDHU          | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 | WTM/PS/51/CIS/NRO/DE C/2014                                | 27-03-2023 |
| AOFPS6728A | SUKHPAL SING BARAR            | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 | WTM/PS/51/CIS/NRO/DE C/2014                                | 27-03-2023 |

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| AKQPS6527G | AWDHESH KUMAR SINGH  | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED DECEMBER 09, 2015 IN THE MATTER OF SUNPLANT BIO ENERGY PRIVATE LIMITED (SBEPL). | WTM/GM/EFD/52/2017-18          | 27-03-2023 |
| AKAPK2774R | GIRIJA SHANKAR KUMAR | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED DECEMBER 09, 2015 IN THE MATTER OF SUNPLANT BIO ENERGY PRIVATE LIMITED (SBEPL). | WTM/GM/EFD/52/2017-18          | 27-03-2023 |
| BAZPP2860B | NEERAJ PATHAK        | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED DECEMBER 09, 2015 IN THE MATTER OF SUNPLANT BIO ENERGY PRIVATE LIMITED (SBEPL). | WTM/GM/EFD/52/2017-18          | 27-03-2023 |
| AGPPV1332D | MS. RITU VERMA       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003                             | WTM/PS/75/CIS-NRO/LKO/OCT/2015 | 27-03-2023 |

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| AGQPB7879L | MANOJ BHANDARI            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUTICATION OFFICER) RULES, 1995                                                                                                                                                                      | ADJUDICATION ORDER NO.:EAD-2/DSR/RG/PU/345-403/2015 | 27-03-2023 |
| AAACW9366N | WONDER COMMOTRADE PVT LTD | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                               | OUTWARD NO.44972/1/2022                             | 27-03-2023 |
| ACTPT8377N | MANISH THAKKAR            | ADJUDICATION PROCEEDINGS                                                                                                                                                                                                                                                                                                                                        | EAD-12/HO/SM/PR/28941/2017                          | 27-03-2023 |
| AABCA2425K | BECKONS INDUSTRIES LTD.   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23 I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACT REGULATION (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005        | ADJUDICATION ORDER NO PM/AN/2020- 21/10277          | 27-03-2023 |
| AFZPB2659A | JITENDRA BISAY            | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/MB/WRO/WRO/5275/2019-20                         | 27-03-2023 |

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| AIQPB4211L | PHOOL CHAND BISAY              | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/MB/WRO/WRO/5275/2019-20  | 27-03-2023 |
| AAICA9555B | ADARSH WEALTH VENTURES LIMITED | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ADARSH WEALTH VENTURES LIMITED                                                                                                                                                                                                               | WTM/PS/107/ERO/BLO/D EC/2015 | 27-03-2023 |
| AJAPR7516B | BIJAYA KUMAR ROUT              | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ADARSH WEALTH VENTURES LIMITED                                                                                                                                                                                                               | WTM/PS/107/ERO/BLO/D EC/2015 | 27-03-2023 |
| AKOPM1988P | DIPAK KUMAR MOHANTY            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ADARSH WEALTH VENTURES LIMITED                                                                                                                                                                                                               | WTM/PS/107/ERO/BLO/D EC/2015 | 27-03-2023 |
| BFLPM3736C | RAMAKANTA MAHAKUL              | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ADARSH WEALTH VENTURES LIMITED                                                                                                                                                                                                               | WTM/PS/107/ERO/BLO/D EC/2015 | 27-03-2023 |
| BAMPS0082D | ANIL SINGH                     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF ADARSH WEALTH VENTURES LIMITED                                                                                                                                                                                                               | WTM/PS/107/ERO/BLO/D EC/2015 | 27-03-2023 |
| ANMPD8317J | PARTHA DAS                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                                                                                                                                                                                                  | WTM/PS/153/ERO-IMD/FEB/2016  | 27-03-2023 |
| BGSPP3681F | DEV KUMAR PANDA                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                | WTM/PS/109/ERO/BLO/D EC/2015 | 27-03-2023 |
| AOWPK9297D | FAYAZ KHAN                     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                | WTM/PS/109/ERO/BLO/D EC/2015 | 27-03-2023 |

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| BASPS9337P | BIJAYA KUMAR SWAIN          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/109/ERO/BLO/D<br>EC/2015  | 27-03-2023 |
| BAXPS2458G | MR. PARTHA SARKAR           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-<br>III/154/2016 | 27-03-2023 |
| BEBPP8154A | MR. SANDIP PAL              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/RKA/EFD-DRA-<br>III/154/2016 | 27-03-2023 |
| AJCPD4443P | MS. SANGITA DAS             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/188/ERO/GLO/<br>MAR/2016  | 27-03-2023 |
| AIDPA6075A | SHRI ARJU ACHARJEE          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/188/ERO/GLO/<br>MAR/2016  | 27-03-2023 |
| AFEPD6600G | SHRI CHANDAN DAS            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/188/ERO/GLO/<br>MAR/2016  | 27-03-2023 |
| BGSPS7776N | SHRI TUSHAR SUR             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/176/ERO/MAR/<br>2016      | 27-03-2023 |
| AJYPM7962Q | SHRI JOYDIP<br>MUKHOPADHYAY | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                    | WTM/PS/176/ERO/MAR/<br>2016      | 27-03-2023 |
| AJDPK8465D | MOHAMMED RAFIQUE KHAN       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/171/IMD-<br>ERO/MAR/2016  | 27-03-2023 |
| AKKPM4156H | ABU SAMA MOLLA              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/PS/119/IMD-<br>ERO/DEC/2015  | 27-03-2023 |

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| AFCPH9599G | ASHRAFUL HOQUE                                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATION, 2008 | WTM/PS/119/IMD-ERO/DEC/2015  | 27-03-2023 |
| AHIPG2705M | MR. SAUGATA GANGUL                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/14/IMD-ERO/APR/2016   | 27-03-2023 |
| ACPPC1795F | SUBIR CHAKRAVARTY                                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/69/2017 | 27-03-2023 |
| ALSPC9709K | SHALINI CHAKRABORTY                              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/69/2017 | 27-03-2023 |
| AFUPN1354H | PARTHA SARATHI NASKAR                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/69/2017 | 27-03-2023 |
| AGKPG8261D | AMIT BANDHU GHOSH                                | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/69/2017 | 27-03-2023 |
| AKDPG9372N | MAHITOSH GANGULY                                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPB/EFD-1-DRA-IV/53/2018 | 27-03-2023 |
| AADCG9096Q | GREEN TOUCH PROJECTS LIMITED                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/PS/95/ERO-IMD/DEC/2015   | 27-03-2023 |
| AAECD0746M | DREAMLAND INVESTMENT CONSULTANTS PRIVATE LIMITED | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE   | OUTWARD NO. 41498/1/2022     | 27-03-2023 |
| ACAPC5686Q | SHRI BIBHASH CHAKRABORTY                         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                       | WTM/MPM/EFD-1-DRA-IV/48/2017 | 27-03-2023 |

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| AFSPC3088H | PRASANTA CHAKRABORTY        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008. | WTM/RKA/EFD/180/2016          | 27-03-2023 |
| AHHPD9400B | SHYAM SUNDAR DEY            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/95/ERO-IMD/DEC/2015    | 27-03-2023 |
| AHIPG2705M | SHRI SAUGATA GANGULY        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/53/2017  | 27-03-2023 |
| AHNPC3667M | MRIGANKA SEKHAR CHAKRABORTY | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/85/2017  | 27-03-2023 |
| AIXPB3056C | RABISHANKAR BASU            | UNDER SECTIONS 11 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF LNDIA ACT, 1992                                                                                             | WTM/MPB/EFD-1-DRA-IV/83/2017  | 27-03-2023 |
| ALIPM6848H | SHRI ARJUN MAJUMDAR         | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RELIABLE MULTI MANAGERIAL SERVICES LTD.                                    | WTM/AB/EFD-1/DRA-4/17/2018-19 | 27-03-2023 |
| AMBPR6838E | SAURAV SINGHA ROY           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/83/2017  | 27-03-2023 |
| AMRPK9676M | PRADIP KUMAR KUNDU          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/MPB/EFD-1-DRA-IV/85/2017  | 27-03-2023 |
| AMUPK1443K | SHRI SANJAY KARMAKAR        | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RELIABLE MULTI MANAGERIAL SERVICES LTD.                                    | WTM/AB/EFD-1/DRA-4/17/2018-19 | 27-03-2023 |
| AQGPP9613A | LALTU PIYADA                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF DIGSTAR PROJECTS LIMITED IN RESPECT OF :                               | WTM/MPB/EFD-DRA4/8/2017       | 27-03-2023 |

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| BJGPS2760H | SUMON SARKAR                                                                          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/PS/95/ERO-IMD/DEC/2015               | 27-03-2023 |
| CVPPS0839B | ONKAR SINGH                                                                           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/85/2017             | 27-03-2023 |
| AHTPB4511B | SUDHIR KUMAR BEHERA                                                                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED                                                                                                                                                         | WTM/PS/106/ERO/BLO/D EC/2015             | 27-03-2023 |
| AABPQ9649J | MOHAMMAD QAMAR                                                                        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                               | WTM/GM/SEBI/ERO/IM D/01/APR/2017         | 27-03-2023 |
| AANCS8397N | PROSPERITY AGRO INDIA LIMITED (FORMERLY: SAMRUDDHA JEEVAN AGRO INDIA PRIVATE LIMITED) | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 - IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 31, 2015 IN THE MATTER OF PROSPERITY AGRO INDIA LIMITED | WTM/GM/EFD/40/2017-18                    | 27-03-2023 |
| AAUPY1604L | MR. RAM SHANKAR YADAV                                                                 | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                               | ADJUDICATION ORDER NO. RA/JP/40- 44/2016 | 27-03-2023 |
| ABNPS5493D | RAJINDER SINGH                                                                        | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                      | WTM/AB/NRO/20/2020-21                    | 27-03-2023 |
| ABUPG5799B | SANJAY GUPTA                                                                          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/PS/46/WRO/JUN/2016                   | 27-03-2023 |
| ADAPP6395C | SHRI PRADEEP KUMAR PATNAIK                                                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/23/2018             | 27-03-2023 |
| ADFPV9924N | VISHWA BANDHU VASHISTHA                                                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                             | WTM/PS/83/NRO/IMD/NOV/2015               | 27-03-2023 |

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| ADWPC3514A | MANOJ KUMAR CHAND             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/RKA/EFD/92/2016                      | 27-03-2023 |
| ADWPC8320Q | GOUTAM CHATTERJEE             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/166/ERO/FEB/2016                  | 27-03-2023 |
| AERPG2839N | ARVIND GUPTA                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | WTM/PS/46/WRO/JUN/2016                   | 27-03-2023 |
| AEUPJ2034B | MR. DILIP KUMAR JAIN          | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO. RA/JP/40- 44/2016 | 27-03-2023 |
| AFAPC4321D | PANKAJ KUMAR CHAND            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/RKA/EFD/92/2016                      | 27-03-2023 |
| AFHPV7774C | MR. VAKA SARADHI              | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999           | WTM/PS/04/CIS-SRO/HLO/APR/2015           | 27-03-2023 |
| AFUPT3687B | MR. SENGAN THANGAPPALAM       | UNDER SECTIONS 11(1), 11(4), 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                            | WTM/PS/25/IMD-CIS/SRO/MAY/2016           | 27-03-2023 |
| AFYPD5024N | SUBIR DUTTA                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | WTM/MPB/EFD-1-DRA-IV/155/2018            | 27-03-2023 |
| AGKPR5219G | PABITRA KUMAR RATH            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF REAL VISION INTERNATIONAL LIMITED                                           | WTM/PS/106/ERO/BLO/DEC/2015              | 27-03-2023 |
| AHIPG8660R | MR. ESHARARAO GUNDALA         | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999           | WTM/PS/04/CIS-SRO/HLO/APR/2015           | 27-03-2023 |
| AIDPB2960M | SHRI ANJAN KUMAR BALIYARSINGH | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | WTM/MPB/EFD-1-DRA-IV/23/2018             | 27-03-2023 |

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| AJBPS9073R | RAKESH SHRIVASTAV           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992,                                                                                                                                                                                                                                                                                      | WTM/PS/118/IMD/ERO-PLO/DEC/2015 | 27-03-2023 |
| AJJPB1169R | DINESH SINGH BHADORIYA      | UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/GM/EFD/71/2017-18           | 27-03-2023 |
| AJVPR4961P | RAKESH RANJAN               | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                | WTM/AB/NRO/20/2020-21           | 27-03-2023 |
| AJVPR4961P | RAKESH RANJAN               | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                | WTM/GM/94/2018-19               | 27-03-2023 |
| AKCPD2328J | TAPASH KUMAR DHAR           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/26/2018    | 27-03-2023 |
| ANKPB4288J | DINESH PROSAD BHAGAT        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/94/2018-19               | 27-03-2023 |
| ANQPP5668L | MR. SANTOSH KALURAM PAYGUDE | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 - IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 31, 2015 IN THE MATTER OF PROSPERITY AGRO INDIA LIMITED                                                                           | WTM/GM/EFD/40/2017-18           | 27-03-2023 |
| ANTPM5722B | MALAY MALLICK               | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                         | WTM/GM/IMD/49/2017-18           | 27-03-2023 |
| AONPK3801J | MR. ANIS MOHAMAD KAZI       | ON REPRESENTATION DATED JANUARY 29, 2018 IN THE MATTER OF NETWORTH MARKETING LIMITED WITH RESPECT TO ORDER DATED AUGUST 28, 2017                                                                                                                                                                                                                                                    | WTM/GM/EFD/45/2018-19           | 27-03-2023 |

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| AOPPP0146M | BIPLAB PRADHAN              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                | WTM/MPB/EFD-1-DRA-IV/20/2017  | 27-03-2023 |
| APXPS7159E | SUBASH CHANDER SHARMA       | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                         | WTM/AB/NRO/20/2020-21         | 27-03-2023 |
| AQIPD2277J | SUMIT KUMAR DAS             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                | WTM/MPB/EFD-1-DRA-IV/44 /2017 | 27-03-2023 |
| AQLPS3885J | SHUBHRANSHU SINGH           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                | WTM/MPB/EFD-1-DRA-IV/4/2018   | 27-03-2023 |
| AREPK5807E | NAND LAL KOIREE             | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT, 1956 | WTM/SM/ERO/ERO/9172 /2020-21  | 27-03-2023 |
| ARFPS7604E | MANOJ SINGHAL               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                | WTM/PS/46/WRO/JUN/2016        | 27-03-2023 |
| ARWPB6634J | MR. MAHENDRA MAHADEO BHUVAD | ON REPRESENTATION DATED JANUARY 29, 2018 IN THE MATTER OF NETWORTH MARKETING LIMITED WITH RESPECT TO ORDER DATED AUGUST 28, 2017             | WTM/GM/EFD/45/2018-19         | 27-03-2023 |
| ATIPS7061A | INDRANIL SINHA              | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                             | WTM/PS/166/ERO/FEB/2016       | 27-03-2023 |
| AVVPS8411M | KISHAN PAL SINGH            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                | WTM/PS/83/NRO/IMD/NOV/2015    | 27-03-2023 |
| AZBPM9958P | CHHOTRAI MAJHI              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                | WTM/MPB/EFD-1-DRA-IV/4/2018   | 27-03-2023 |
| AZBPR2908J | DHARMNATH RAI               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                | WTM/MPB/EFD-1-DRA-IV/44 /2017 | 27-03-2023 |
| BBTPP7677P | KRISHNA NANDAN PRASAD       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                  | WTM/GM/94/2018-19             | 27-03-2023 |

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| BBXPK1567K | MR. HRISHIKESH VASANT KANASE | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 - IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 31, 2015 IN THE MATTER OF PROSPERITY AGRO INDIA LIMITED                                                                           | WTM/GM/EFD/40/2017-18              | 27-03-2023 |
| BDWPK0980P | RAJKUMAR KUSHWAH             | UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/GM/EFD/71/2017-18              | 27-03-2023 |
| BPZPS7525B | JAI SINGH                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/44 /2017      | 27-03-2023 |
| AACPY7690N | ANURAG YADAV                 | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                          | EAD-4/ADJ/GR/HK/OW/P/2133 2/7/2022 | 27-03-2023 |
| AAFFT6864L | TRUST INVESTMENTS            | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN LLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                            | SEBI/ERO/MD/RK/OW/2 022/037527/1   | 27-03-2023 |
| AATPM7049N | DURGA PRASAD MISHRA          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                       | WTM/PS/200/ERO-BLO/MAR/2016        | 27-03-2023 |
| ABWPC5031E | BISWAJIT CHAKRABORTY         | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MAY 20, 2015 IN THE MATTER OF VERINDER FINANCE LIMITED                                                                                                                                                                                    | WTM/GM/EFD/DRAIII/34 /2017-18      | 27-03-2023 |

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| ADFPB5807Q | VERINDER FINANCE LIMITED | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MAY 20, 2015 IN THE MATTER OF VERINDER FINANCE LIMITED                             | WTM/GM/EFD/DRAIII/34/2017-18    | 27-03-2023 |
| AEOPA2984D | MOHAMMED SUNWAS ALI      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/PS/13/ERO/APR/2016          | 27-03-2023 |
| AERPN9805M | TARIQ NAFEEES            | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MAY 20, 2015 IN THE MATTER OF VERINDER FINANCE LIMITED                             | WTM/GM/EFD/DRAIII/34/2017-18    | 27-03-2023 |
| AGKPR7880B | SHEIKH ABDUL ROBIAL      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/74/2017    | 27-03-2023 |
| AHDPM1535G | UPENDRA NATH MISHRA      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/PS/200/ERO-BLO/MAR/2016     | 27-03-2023 |
| AJAPR9252L | RAJENDRA KARN RAJPOOT    | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                             | WTM/PS/156/IMD/WRO/LO/FEB/2016  | 27-03-2023 |
| AOAPJ7650M | NABINA JAHAN             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/74/2017    | 27-03-2023 |
| AOLPM6441A | GOUTAM MAJUMDAR          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/79/2017    | 27-03-2023 |
| AQFPS6151H | MR. SWAMINATH SINGHA     | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 21, 2015 IN THE MATTER OF AAPNA PARIWAR AGRO FARMING DEVELOPERS INDIA LTD. | WTM/GM/EFD/DRAIII/15/2018-19    | 27-03-2023 |
| ASPPD4817K | ARINDAM DUTTA            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF -                                                                                                                  | WTM/PS/177/IMD/ERO-RLO/MAR/2016 | 27-03-2023 |

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| ATNPS4287P | VINOD KUMAR SHANKHWAR      | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/156/IMD/WRO/I LO/FEB/2016 | 27-03-2023 |
| AUHPM9905D | TAPAS KUMAR MONDAL         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/SM/ERO/ERO/9710 /2020-21     | 27-03-2023 |
| AAACM5575D | ALCHEMIST HOLDINGS LIMITED | UNDER SECTION 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                     | WTM/PS/38/NRO/AUG/2 015          | 27-03-2023 |
| AEYPM2888J | ARUNABHA MUKHOPADHYAY      | UNDER SECTION 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                     | WTM/MPB/EFD-1-DRA- IV/81/2017    | 27-03-2023 |
| AMZPS9585P | ASHIMA SOOD                | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992       | WTM/MPB/EFD-1-1-DRA- IV-193/2021 | 27-03-2023 |
| AKWPM6994P | DEBASIS PRASAD MISHRA      | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992           | WTM/GM/EFD/51/2017- 18           | 27-03-2023 |
| AKSPG7055R | DEEPAK KUMAR GEHLOT        | UNDER SECTION 11,11(4)AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                | WTM/GM/EFD/25/2018- 19           | 27-03-2023 |
| CEDPS4072K | LITAN CHANDRA SEN          | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992           | WTM/GM/EFD/48/2017- 18           | 27-03-2023 |
| AKQPP0632H | PARMANAD PRAJAPAT          | UNDER SECTION 11,11(4)AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                | WTM/GM/EFD/25/2018- 19           | 27-03-2023 |
| AXYPS2851E | SANJEEV SINGH              | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992           | WTM/PS/49/EFD/SEPTE MBER/2015    | 27-03-2023 |
| AJEPD3008L | SUBRATA DAS                | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992           | WTM/GM/EFD/48/2017- 18           | 27-03-2023 |
| ADIPT4968P | JITENDRA KUMAR TRIPATHI    | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992           | WTM/MPB/EFD-1-DRA- IV/91/2017    | 27-03-2023 |
| ADPPG0695P | PARTHA PRATIM GHOSH        | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992           | WTM/MPB/EFD-1-DRA- IV/131/2018   | 27-03-2023 |
| ADXPA3381N | SAMEER AGARWAL             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992    | WTM/MPB/EFD-1-DRA- IV/159/2018   | 27-03-2023 |
| AESPA2305N | RAJENDRA AGARWAL           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992    | WTM/MPB/EFD-1-DRA- IV/159/2018   | 27-03-2023 |

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| AHLPG5454E | NIVEDITA GUPTA        | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/91/2017  | 27-03-2023 |
| AIZPG2134Q | SANJAY KUMAR GUPTA    | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/91/2017  | 27-03-2023 |
| AJNPM1411D | SUJIT MITRA           | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/131/2018 | 27-03-2023 |
| AKNPM5664R | BAPPADITYA MAJUMDER   | UNDER SECTIONS 11(1), 11(4) 11A(1)(B) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/PS/08/IMD-DOF/MAY/2014    | 27-03-2023 |
| AKOPK3769L | SEKH REZAUL KARIM     | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/49/2017  | 27-03-2023 |
| ALRPM9497P | VISHAL MASIH          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/159/2018 | 27-03-2023 |
| APQPM8659A | SANJOY KUMAR MAITI    | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/131/2018 | 27-03-2023 |
| ATBPS3325E | YOGENDRA PRATAP SHAHI | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/PS/NRO/SEPT/2015          | 27-03-2023 |
| AYQPS1691H | PINTU SARKAR          | UNDER SECTIONS 11(1), 11(4) 11A(1)(B) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/PS/08/IMD-DOF/MAY/2014    | 27-03-2023 |
| BBJPS6343H | PRALAY KUMAR SAW      | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/131/2018 | 27-03-2023 |
| BEMPP7199Q | SANDIP PAL            | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/45/2017  | 27-03-2023 |
| BPCPP1088R | KABIL PATRA           | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/76/2017  | 27-03-2023 |

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| BWTPS8025B | SANGRAM KESHORI SAMAL                                                  | UNDER SECTIONS 11(1), 11(4) 11A(1)(B) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/MPB/EFD-1-DRA-IV/68/2017                           | 27-03-2023 |
| CASPS1885B | TAPAN KUMAR SETHI                                                      | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF KRUTIBIBHA CORPORATION LIMITED                                                                                    | WTM/PS/124/ERO/BLO/D EC/2015                           | 27-03-2023 |
| AACCA9750E | ALLIANCE INTERMEDIATERIES AND NETWORK PVT LTD.                         | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                  | ADJUDICATION ORDER NO. ORDER/BM/UR/2021-22/15253-15267 | 27-03-2023 |
| AAHPP4638C | HARESH POSNAK                                                          | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                  | ADJUDICATION ORDER NO. SD/AO/55/2009                   | 27-03-2023 |
| ADDPV7664F | PRAVEEN VASISTH PROPRIETOR - GANESH TRADING COMPANY                    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                  | ADJUDICATION ORDER NO. ORDER/BM/UR/2021-22/15253-15267 | 27-03-2023 |
| ADNPA1610Q | RISHI AGARWAL                                                          | UNDER SECTIONS 11(B), 11(1) AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,, 1992                                                                                                                                       | WTM/MPB/EFD-1-DRA-III/115/2020                         | 27-03-2023 |
| APEPS7258B | INDRA PRATAP GAJRAJ SINGH, PROPRIETOR - AMIZARA SECURITIES AND FINANCE | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                  | ADJUDICATION ORDER NO. ORDER/BM/UR/2021-22/15253-15267 | 27-03-2023 |
| AXAPS7940N | KAUSHIK SHAH                                                           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                  | ADJUDICATION ORDER NO. ORDER/BM/UR/2021-22/15253-15267 | 27-03-2023 |

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| AAKCS6316E | STHITHI INSURANCE SERVICES PVT LTD | UNDER SECTION 15-1 (2) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                                                                                                                                                         | ADJUDICATION ORDER NO. ORDER/MC/HP/2020-21/9613-9624] | 27-03-2023 |
| ACVPD0419R | KAILASH CHAND DUJARI               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                             | WTM/PS/165/ERO/FEB/2016                               | 27-03-2023 |
| AERPR6301N | RAMANUJAM SESHARATHNAM             | UNDER SECTIONS 11 (1), 11(4), 11A AND 1111 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                        | WTM/SM/IVD/ID10/34/2021-22                            | 27-03-2023 |
| AIIPD6966A | ANIL KUMAR DWIVEDI                 | UNDER SECTIONS 11 (1), 11(4), 11A AND 1111 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                                                                                               | WTM/RKA/EFD/134/2016                                  | 27-03-2023 |
| AKWPM4705A | SUSHREE MAZUMDER                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/47/2017                          | 27-03-2023 |
| AMTPB8538R | BANERJEE SOMENATH                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/73/2017                          | 27-03-2023 |
| AOBPS1015G | PARDEEP KUMAR SHARMA               | UNDER SECTIONS 11, 11(4), AND 11(B) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF THE SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATION AND REGULATION 11 OF SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATION 2003 | WTM/RKA/IVD/NRO/01/2013                               | 27-03-2023 |

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| ARXPD5428P | LOKESHWAR DEV          | UNDER SECTIONS 11, 11(4),AND 11(B)OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF THE SEBI(ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS)REGULATION AND REGULATION 11OF SEBI(PROHIBITON OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATION 2003 | WTM/RKA/IVD/NRO/01/2013                    | 27-03-2023 |
| AZJPM5650L | SAGAR MAJUMDER         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                      | WTM/MPB/EFD-1-DRA-IV/47/2017               | 27-03-2023 |
| AAACJ1873D | JAG PAR SECURITIES LTD | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                        | ADJUDICATION ORDER NO. JJ/AM/AO-6- 11/2013 | 27-03-2023 |
| ACDPT6858J | HITESH M THAKKAR       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                | ADJUDICATING ORDER NO.EAD- 2/AO/36/2012    | 27-03-2023 |
| ACQPM0876L | MARUPUDI SRINIVAS RAO  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                        | ADJUDICATION ORDER NO. RA/DPS/222/2017     | 27-03-2023 |
| ADSPN9721A | DEEPAK A NARVEKAR      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                        | ADJUDICATION ORDER NO: - SD/AO/29/2010     | 27-03-2023 |
| AGGPR1017A | GANESH SHATRUGHN RAUT  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                        | ADJUDICATION ORDER NO: - SD/AO/60/2010     | 27-03-2023 |

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| ANRPM2774P | MAHTO SHANKAR        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO : PKK/AO/283/2010      | 27-03-2023 |
| AVOPS4111P | AJIT S SURYAVANSHI   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO : SD/AO/78/2010        | 27-03-2023 |
| BKUPS7144G | NEHA NARENDRA SHAH   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO : AO/SBM/EAD-3/84/2017 | 27-03-2023 |
| AFFPT8842P | AMBIKA ARORA         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE           | SEBI/NRO/OW/JS/ASR/ISO/48778/1/2022          | 27-03-2023 |
| AEZPM0434K | AJAY KUMAR MAHAPATRA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF MARS AGTOFARM DEVELOPERS LIMITED                                             | WTM/MPB/EFD-1-DRA-IV/05/2017                 | 27-03-2023 |
| AGBPD7440C | SHIB NARAYAN DAS     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF SILICON PROJECTS INDIA LIMITED                                               | WTM/MPB/EFD-1-DRA-IV/124/2018                | 27-03-2023 |
| AGWPA0991L | SEIKH SARAFAT ALI    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF MARS AGTOFARM DEVELOPERS LIMITED                                             | WTM/MPB/EFD-1-DRA-IV/05/2017                 | 27-03-2023 |
| ANMPB7097H | SWADESH BASU         | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF MASS INFRA REALTY LIMITED                                                | WTM/PS/10/ERO/APR/2016                       | 27-03-2023 |

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| ASYPB9377P | ARUP BHATTACHARYYA      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF MARS AGTOFARM DEVELOPERS LIMITED                                                                                                       | WTM/MPB/EFD-1-DRA-IV/05/2017                         | 27-03-2023 |
| BBDPS1849E | SRINIVASA THANGA DURAI  | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF SBS INVESTMENTS                                                                                                                             | WTM/MPB/EFD-1-DRA-IV/117/2018                        | 27-03-2023 |
| BCVPS0411F | TAPAN KUMAR SAMANTA     | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992, IN THE MATTER OF MASS INFRA REALTY LIMITED                                                                                                          | WTM/PS/10/ERO/APR/2016                               | 27-03-2023 |
| BWIPS3911H | AMEET SINGH             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 IN THE MATTER OF SUNPLANT CONSTRUCTIONS LIMITED                                                                                                         | WTM/MPB/EFD-1-DRA-IV/99/2017                         | 27-03-2023 |
| AAGPF1976L | MR. BANWARI LAL KUSHWAH | UNDER SECTION 15 I OF SECURITIES .AND EXCHANGE .BOARD OF INDIA ACT. 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA(PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1996                         | ADJUDICATION ORDER NO: ORDER/SM/SM/2019-20/7197-7203 | 27-03-2023 |
| ACAPL9691A | MR. BANABARI LAL LODHI  | UNDER SECTION 15 I OF SECURITIES .AND EXCHANGE .BOARD OF INDIA ACT. 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA(PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1996                         | ADJUDICATION ORDER NO: ORDER/SM/SM/2019-20/7197-7203 | 27-03-2023 |
| ALZPR5160Q | AMIT SINGH RATHORE      | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN THE MATTER OF SUSK INDIA LIMITED | WTM/GM/EFD/78/2017-18                                | 27-03-2023 |

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| BGGPK8474H | JEEVAN KHARADIYA            | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN THE MATTER OF SUSK INDIA LIMITED | WTM/GM/EFD/78/2017-18                      | 27-03-2023 |
| ADXPC6922H | MR. GAJRAJ SINGH CHAUHAN    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                           | ADJUDICATION ORDER NO. AO/JSNRP/49-58/2017 | 27-03-2023 |
| ADIPT4968P | MR. JITENDRA KUMAR TRIPATHI | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF DGR FARMS AND LEISURES LIMITED                        | WTM/AB/EFD-1/DRA-3/15/2019-20              | 27-03-2023 |
| AIZPG2134Q | MR. SANJAY KUMAR GUPTA      | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF DGR FARMS AND LEISURES LIMITED                        | WTM/AB/EFD-1/DRA-3/15/2019-20              | 27-03-2023 |
| AHAPG4380N | MR. UMESH GUPTA             | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF DGR FARMS AND LEISURES LIMITED                        | WTM/AB/EFD-1/DRA-3/15/2019-20              | 27-03-2023 |
| AIGPS2229B | MR. HARMENDER SINGH SRAN    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                           | ADJUDICATION ORDER NO. AO/JSNRP/49-58/2017 | 27-03-2023 |

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| AHLPG5454E | MS. NIVEDITA GUPTA                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF DGR FARMS AND LEISURES LIMITED | WTM/AB/EFD-1/DRA-3/15/2019-20  | 27-03-2023 |
| AAFCM8730K | MPA AGRO ANIMAL PROJECTS LIMITED      | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JANUARY 21, 2015 IN THE MATTER OF MPA AGRO ANIMAL PROJECTS LIMITED                  | WTM/GM/EFD/DRAIII/50/2017-18   | 27-03-2023 |
| ABUPG5799B | SHRI SANJAY GUPTA                     | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 73 OF THE COMPANIES ACT 1956                                                                                 | WTM/AB/EFD1-DRA3/7449/2020-21  | 27-03-2023 |
| ADVPG4051D | SHRI YOGESH GHISUMAL GEMAWAT          | UNDER SECTIONS 11(1), 11(B) AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT 1956                                                                                        | WTM/AB/EFD1-DRA3/7449/2020-21  | 27-03-2023 |
| ADZPK2242A | SHRI SURESH KUMAR                     | UNDER SECTIONS 11(1), 11(B) AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 73 OF COMPANIES ACT 1956                                                                                        | WTM/AB/EFD1-DRA3/7449/2020-21  | 27-03-2023 |
| AERPG2839N | SHRI ARVIND GUPTA                     | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 73 OF THE COMPANIES ACT 1956                                                                                 | WTM/AB/EFD1-DRA3/7449/2020-21  | 27-03-2023 |
| AETPC8946C | ABU SADEQUE ISHTIAQUE AHMED CHAODHURY | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                 | WTM/MPB/EFD-1-DRA-III/138/2018 | 27-03-2023 |
| AFKPP3892A | SHRI BISWAJIT PAUL                    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                 | WTM/MPB/EFD-1-DRA-IV/46/2019   | 27-03-2023 |
| ANHPK8201D | SMT. LINA KAYAL                       | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 16, 2016 IN THE MATTER OF RISING AGROTECH LIMITED.                            | WTM/GM/EFD/35/2018-19          | 27-03-2023 |

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| ARFPS7604E | SHRI MANOJ SINGHAL            | UNDER SECTIONS 11(1), 11B AND 11(4) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 73 OF THE COMPANIES ACT 1956                                                                                             | WTM/AB/EFD1-DRA3/7449/2020-21 | 27-03-2023 |
| ACXPB0872A | SADHAN CHANDRA BRAHMACHARI    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/132/2018 | 27-03-2023 |
| AEKPD7710E | PRAVAT KUMAR DASH             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/167/2018 | 27-03-2023 |
| AENPD6409F | PRASHANTA KUMAR DASH          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/167/2018 | 27-03-2023 |
| AEUPM3571L | SAIKAT MUKHERJEE              | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/PS/179/ERO/MAR/2016       | 27-03-2023 |
| AGGPB6452R | SWETA BISWAL                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/GM/IMD/71/2018-19         | 27-03-2023 |
| AJBPC2210J | SHRI SUSANTA KUMAR CHATTERJEE | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008, IN RESPECT OF : | WTM/RKA/EFD/136/2016          | 27-03-2023 |
| AONPP6949L | MR. SUDHANSHU SHEKHAR PATI    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/MPB/EFD-1-DRA-IV/43/2018  | 27-03-2023 |
| BDAPS1347A | CHAKRAPANI SARANGI            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/RKA/EFD/141/2016          | 27-03-2023 |
| BJMPS0012A | BHABANI SATAPATHY             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/RKA/EFD/141/2016          | 27-03-2023 |
| BWIPS3911H | AMEET SINGH                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                              | WTM/PS/24/ERO/IMD/MAY/2016    | 27-03-2023 |

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| CWDPS5006B | ANIL KUMAR SENAPATI        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTIONS 56(1), 56(3) AND 56(4), SECTION 60 AND SECTION 73(2) OF THE COMPANIES ACT, 1956 IN THE MATTER OF MAGNOX INFRAPROJECTS LIMITED | WTM/MPB/EFD-1-DRA-IV/140/2018  | 27-03-2023 |
| AAWPW7456Q | MR. SHANE AHMED WARSI      | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008,                     | WTM/RKA/EFD/124/2016           | 27-03-2023 |
| ALNPD6445N | MR. BISWANATH DUTTA        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF SUNTECHNO INTERNATIONAL LIMITED                                                                                                 | WTM/MPB/EFD-1-DRA-IV/145/2018  | 27-03-2023 |
| BAPPS0138H | GOPAL SHARMA               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                  | WTM/MPB/EFD-1-DRA-IV/38/2019   | 27-03-2023 |
| ARWPS6298R | PRASHANT SHARMA            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                  | WTM/MPB/EFD-1-DRA-IV/38/2019   | 27-03-2023 |
| AKZPP8185C | MR. MADHAB CHANDRA PURKAIT | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                  | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADPPH2520Q | MR. GAUTAM KUMAR HALDER    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                  | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ASPPB9723J | MR. MOHDKALIMULLAHBAIDYA   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                  | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| AEEP0756L  | MR. SWAPAN KUMAR BOSE      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                  | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| APYPS1402F | MR. RAM KUMAR SINHA        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                  | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |

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| AQMPB2700Q | MR.<br>KUNTALBHATTACHARJEE | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADIPC9989M | MR. RATAN CHOWDHURY        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADIPC9990N | SMT. SHIMA CHOWDHURY       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/35/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| AKZPP8185C | MR. MADHAB CHANDRA PURKAIT | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/37/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADPPH2520Q | MR. GAUTAM KUMAR HALDER    | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/37/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ASPPB9723J | MR. MOHD KALIMULLAH BAIDYA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/37/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| APYPS1402F | MR. RAM KUMAR SINHA        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/37/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADIPC9989M | MR. RATAN CHOWDHURY        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/37/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADIPC9990N | SMT. SHIMA CHOWDHURY       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/37/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| AKZPP8185C | MADHAB CHANDRA PURKAIT     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADPPH2520Q | GAUTAM KUMAR HALDER        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ASPPB9723J | MOHDKALIMULLAHBAIDYA       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |

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| AEEP0756L  | SWAPAN KUMAR BOSE                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| APYPS1402F | RAM KUMAR SINHA                                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| AQMPB2700Q | MR. KUNTALBHATTACHARJEE                         | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADIPC9989M | MR. RATAN CHOWDHURY                             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADIPC9990N | SMT. SHIMA CHOWDHURY                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/36/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| AACCB6631M | BISHAL HORTICULTURE AND ANIMAL PROJECTS LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/34/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| AKZPP8185C | MR. MADHAB CHANDRA PURKAIT                      | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/34/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADPPH2520Q | GAUTAM KUMAR HALDER                             | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/34/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ASPPB9723J | MOHDKALIMULLAHBAIDYA                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/34/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| AEEP0756L  | SWAPAN KUMAR BOSE                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/34/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| APYPS1402F | RAM KUMAR SINHA                                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/34/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |
| ADIPC9989M | RATAN CHOWDHURY                                 | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | WTM/PS/34/IMD/ERO-RLO/MAY/2016 | 27-03-2023 |

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| ADIPC9990N | SHIMA CHOWDHURY          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/PS/34/IMD/ERO-RLO/MAY/2016  | 27-03-2023 |
| AALPH6536K | LEKH NARAYAN CHAND       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/87/CIS-NRO/NOV/2015      | 27-03-2023 |
| ADQPM4433N | PREMLATA MITTAL          | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF -                                                                                                                                                                                                                  | WTM/GM/SEBI/ERO/IMD/02/DEC/2016 | 27-03-2023 |
| ADXPC6922H | MR. GAJRAJ SINGH CHAUHAN | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                            | WTM/PS/71/CIS-NRO/FEB/2015      | 27-03-2023 |
| AHVPG4066A | MR. TARAPADA GIRI        | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                                                                                                                           | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 27-03-2023 |
| AHZPB9748G | PRASANTA BERA            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/MPB/EFD-1-DRA-IV/40/2019    | 27-03-2023 |
| AIDPA6075A | ARJU ACHARJEE            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                | WTM/GM/IMD/59/2017-18           | 27-03-2023 |
| AIGPS2229B | MR. HARMENDER SINGH SRAN | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                      | WTM/PS/71/CIS-NRO/FEB/2015      | 27-03-2023 |
| AKDPP4403D | SUSHIL KUMAR PERIWAL     | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF -                                                                                                                                                                                                                  | WTM/GM/SEBI/ERO/IMD/02/DEC/2016 | 27-03-2023 |

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| ALRPM3616J | MR. RASMIRANJAN MOHAPATRA          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                            | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 27-03-2023 |
| AOAPS8866A | PRITHI PAUL SINGH SETHI            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                 | WTM/MPB/EFD-1-DRA-IV/50/2019    | 27-03-2023 |
| APOPP3117N | MR. MANORANJAN PAHI                | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                            | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 27-03-2023 |
| CDTPS1044L | MR. GOURANGA CHARAN SAHOO          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND THE SEBI (ISSUE AND LISTING OF NON-CONVERTIBLE REDEEMABLE PREFERENCE SHARE) REGULATIONS, 2013                            | WTM/PS/155/IMD/ERO-BLO/FEB/2016 | 27-03-2023 |
| AABCC8801H | CHANNEL NINE ENTERTAINMENT LIMITED | UNDER SECTIONS 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                  | WTM/AB/NRO/NRO/10720/2020-21    | 27-03-2023 |
| AFEPD6600G | CHANDAN DAS                        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                 | WTM/GM/IMD/59/2017-18           | 27-03-2023 |
| AJCPD4443P | SANGEETA DAS                       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                 | WTM/GM/IMD/59/2017-18           | 27-03-2023 |
| AJCPM9999F | ABHIJIT MAJUMDAR                   | UNDER SECTIONS 11, 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                     | WTM/MPB/EFD-1-DRA-IV/98/2017    | 27-03-2023 |
| AKDPB6648N | MR. AMAL BHATTACHARYA              | UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF SEBI (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN THE MATTER OF ICORE E SERVICES LIMITED | WTM/GM/EFD/DRAIII/76/2017-18    | 27-03-2023 |

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| BDGPK0032E | MR. SHIVRAM KUSHWAH             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                               | WTM/PS/40/EFD/MAY/2016        | 27-03-2023 |
| AAFCR0123D | RAVI KIRAN REALTY INDIA LIMITED | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                               | WTM/PS/173/ERO/IMD/MAR/2016   | 27-03-2023 |
| AFQPP2737Q | MR. SWAPAN KUMAR PAUL           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                               | WTM/PS/173/ERO/IMD/MAR/2016   | 27-03-2023 |
| AAHCS3986M | SAI PRASAD FOODS LTD            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                           | WTM/PS/66/IMD-CIS/JAN/2015    | 27-03-2023 |
| ABDPS2787C | SARDAR SINGH                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/93/IM-CIS/NRO/NOV/2015 | 27-03-2023 |
| ABIPT7044A | PARTHA PRATI TEWARI             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED JULY 15, 2014 IN THE MATTER OF REMAC REALTY INDIA LIMITED                        | WTM/GM/EFD/100/2017-18        | 27-03-2023 |
| ABTPS4472N | SURESH L SHRIVASTAV             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999,                                                                                                                                          | WTM/PS/48/CIS/NRO/NOV/2014    | 27-03-2023 |

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| ACNPN0341E | RAKESH SINGH NARWARIA | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER DATED MARCH30, 2015 IN THE MATTER OF PARIVAR DAIRIES AND ALLIED LTD. (PDAL) AND PDA FOUNDATION (PDAF) | WTM/GM/EFD/112/2017-18      | 27-03-2023 |
| AFEPN2325L | GIRJA NARWARIA        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999, IN RESPECT OF INTERIM ORDER DATED MARCH30, 2015 IN THE MATTER OF PARIVAR DAIRIES AND ALLIED LTD. (PDAL) AND PDA FOUNDATION (PDAF) | WTM/GM/EFD/112/2017-18      | 27-03-2023 |
| AFIPB3674A | BALASAHEB K BHAPKAR   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                    | WTM/PS/66/IMD-CIS/JAN/2015  | 27-03-2023 |
| AFIPB3674A | BALASAHEB K BHAPKAR   | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                    | WTM/PS/146/IMD-CIS/FEB/2016 | 27-03-2023 |
| AFVPA8971N | ANUP AGGARWAL         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED                                                                                  | WTM/PS/187/CIS-NRO/MAR/2015 | 27-03-2023 |
| AGEPT4844K | ASHISH K TRIPATHI     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED                                                                                  | WTM/PS/187/CIS-NRO/MAR/2015 | 27-03-2023 |
| AGZPK5596J | ARUN KUMAR            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                          | WTM/GM/EFD/84/2019-20       | 27-03-2023 |

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| AKNPM5664R | BAPPADITYA MUJUMDER    | UNDER SECTIONS 11, 11(4), 11A AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                           | WTM/MPB/EFD-1-DRA-IV/95/2020       | 27-03-2023 |
| AMWPC8208N | MR. RAMADHAR CHPUDHARY | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999,                                                                                                               | WTM/PS/129/CIS/ILO-WRO-II/JAN/2016 | 27-03-2023 |
| ANQPS0753F | AJAY KUMAR SHARMA      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                 | WTM/GM/EFD/84/2019-20              | 27-03-2023 |
| ARAPS3958G | LAXMI S SHRIVASTAV     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999,                                                                                                                                          | WTM/PS/48/CIS/NRO/NO V/2014        | 27-03-2023 |
| AREPA2954N | MR. SATISH KUMAR ARYA  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999,                                                                                                               | WTM/PS/129/CIS/ILO-WRO-II/JAN/2016 | 27-03-2023 |
| AVZPS2724H | RAJESHWARI SENGAR      | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999, AGAINST KALPBUT REAL ESTATE LIMITED                                                                           | WTM/PS/19/CIS-NRO/JULY/2015        | 27-03-2023 |
| AYQPS1691H | MR. PINTU SARKAR       | UNDER SECTIONS 11, 11(4), 11A AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                           | WTM.MPB/EFD-1-DRA-IV/113/2017      | 27-03-2023 |
| BBIPS1965G | MANOJ KUMAR SENGAR     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICE RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/93/IM-CIS/NRO/NOV/2015      | 27-03-2023 |

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| CIMPS8022E | MR. RAMNARESH SAKET             | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999,                                                                                                      | WTM/PS/129/CIS/ILO-WRO-II/JAN/2016 | 27-03-2023 |
| AABCM9358H | M/S. MAITREYA SERVICES PVT. LTD | DIRECTIONS UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH REGULATIONS 65 AND 73 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS,1999.                                                                                     | WTM/RKA/CIS/07/2013                | 27-03-2023 |
| ADNPT5796Q | MS. POOJA TANDAN                | UNDER SECTIONS 11(1), 11(4) 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF:                                                              | WTM/RKA/RLO/136/2015               | 27-03-2023 |
| AXAPS6773K | GURNEK SINGH                    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INITERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 17, 2015 IN THE MATTER OF MARK BUILDERS & LAND DEVELOPERS LIMITED. | WTM/GM/EFD/08/2018-19              | 27-03-2023 |
| BCAPS7164Q | NARINDER SHARMA                 | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INITERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 17, 2015 IN THE MATTER OF MARK BUILDERS & LAND DEVELOPERS LIMITED. | WTM/GM/EFD/08/2018-19              | 27-03-2023 |

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| BVEPP1224K | PAPPU PAWAR                                                      | UNDER SECTIONS 11(1), 11(4) 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULAION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/SKM/EFD1-DRA-III/25/2019-20                       | 27-03-2023 |
| ACPPC9026K | ANIMESH CHOWDHURY                                                | UNDER SECTIONS 11, 11(4),11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                 | WTM/MPB/EFD-1-DRA-IV/101/2017                         | 27-03-2023 |
| AOWPG5672E | RAJU GHOSH                                                       | UNDER SECTION 11, 11(4),11A AND 14B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                                                                                                                                   | WTM/MPB/EFD-1-DRA-IV/156/2018                         | 27-03-2023 |
| ATBPS3325E | YOGENDRA PRATAP SHAHI                                            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                   | EAD-8/KS/MKG/AO/231/2018-19                           | 27-03-2023 |
| AAECR3716R | RAGHUKUL SHARES INDIA PRIVATE LIMITED                            | SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF THE SEBI (INTERMEDIARIES) REGULATIONS, 2008 IN THE ENQUIRY PROCEEDINGS CONDUCTED IN RESPECT OF M/S. RAGHUKUL SHARES INDIA PVT. LTD.                                                                                                                                                                              | SEBI/EFD1/DRA3/OW/50154/1/2022                        | 27-03-2023 |
| ATTPM4634Q | VISHALI MAHESH MOTEWAR                                           | ADJUDICATION ORDER U/S 15-I OF SEBI ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING ENQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995.                                                                                                                                                                                           | ADJUDICATION ORDER NO. ORDER/BJD/MG/2020-21/9494-9497 | 27-03-2023 |
| AFIPB3675B | VANDANA B BHAPKAR                                                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                            | WTM/PS/146/IMD-CIS/FEB/2016                           | 27-03-2023 |
| AHNPU3089M | ASTRO CAPITAL SOLUTIONS AND ITS PROPRIETOR ANKIT KUMAR UPADHAYAY | UNDER SECTIONS 11(1), 11(4) , 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                            | WTM/SM/SRO/SR0/8408/2020-21                           | 27-03-2023 |

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| DKBPS2620L | NATTHU SINGH                            | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                                                                                            | WTM/PS/19/CIS-NRO/JULY/2015                       | 27-03-2023 |
| AANCS7178R | SAI PRAKASH PROPERTIES DEVELOPMENT LTD. | UNDER SECTIONS 11(1), 11( 4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN IN RESPECT OF INTERIM ORDER DATED DECEMBER 26, 2014 IN THE MATTER OF SAI PRAKASH PROPERTIES DEVELOPMENT LTD. ("SPPDL"). | WTM/GM/EFD/26/2019-20                             | 27-03-2023 |
| AAACK3428B | KAYNET FINANCE LIMITED                  | UNDER SECTION 12(3) OF SEBI ACT, 1992 AND REGULATION 27(5) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008                                                                                                                                                                   | QJA/SP/MIRSD/MIRSD_DPIEA/23166/2022- 23           | 06-04-2023 |
| AABCK3032E | KAYNET CAPITAL LIMITED                  | UNDER SECTION 12(3) OF SEBI ACT, 1992 AND REGULATION 27(5) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008                                                                                                                                                                   | QJA/SP/MIRSD/MIRSD_DPIEA/23165/2022- 23           | 06-04-2023 |
| AAACK3428B | KAYNET FINANCE LIMITED                  | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                | ADJUDICATING ORDER NO: ORDER/BRK/PR/2022-23/19887 | 06-04-2023 |
| AABCK3032E | KAYNET CAPITAL LIMITED                  | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                | ADJUDICATING ORDER NO: ORDER/BRK/PR/2022-23/19919 | 06-04-2023 |
| BBDPP5436J | SHRI PRIYANSH PATODI                    | UNDER SECTION 11(1), 11(4)(B) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013, SEBI, (PORTFOLIO MANAGERS) REGULATIONS, 1993 AND THE SEBI (RESEARCH ANALYSIS) REGULATIONS, 2014                                                         | WTM/MPB/SEBI/WFD-DRA4/136/2018                    | 06-04-2023 |

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| CHMPS7035J | PRADEEP SYAMSUNDER SWAIN         | UNDER SECTION 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                    | WTM/AB/IVD/ID6/20272/2022-23                                | 06-04-2023 |
| BLHPS3014H | MR. VIJAY KUMAR SHUKLA           | UNDER SECTIONS 11, 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF SEBI(COLLECTIVE INVESTMENT SCHEME) REGULATION, 1999                                                                                                                                 | WTM/AB/EFD-1/DRA-3/15/2019-20                               | 10-04-2023 |
| BLHPS3014H | VIJAY KUMAR SHUKLA               | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                   | WTM/MPB/EFD-1-DRA-IV/91/2017                                | 10-04-2023 |
| AAECC5229J | CEMENDIA INFRASTRUCTURES LIMITED | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008.                                                                                                                 | WTM/RKA/EFD-DRA-IV/I89/2016                                 | 10-04-2023 |
| AIAPP0435G | SUJAY PATHAK                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                            | WTM/MPB/EFD-1-DRA-IV/53/2018                                | 10-04-2023 |
| AAICM5611Q | MOBONAIR WIRELESS PVT. LTD.      | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER REF. NO. ORDER/NH/RJ/2022-23/20865-20867 | 11-04-2023 |
| AAACH7852C | HBN DAIRIES & ALLIED LIMITED     | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                               | ADJUDICATION ORDER NO. AO/JSNRP/49-58/2017                  | 18-04-2023 |
| AAMCS2738N | SAI PRASAD PROPERTIES LTD        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER DATED DECEMBER 26, 2014 IN THE MATTER OF SAI PRAKASH PROPERTIES DEVELOPMENT LTD. ("SPPDL") | WTM/GM/EFD/26/2019-20                                       | 18-04-2023 |

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| AZRPD9701B | VISHWAMBHER NATH DUBEY         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED                                                                                                                             | WTM/PS/187/CIS-NRO/MAR/2015     | 18-04-2023 |
| BQHPS9902F | GYANESHWAR SHARMA              | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                     | WTM/GM/EFD/84/2019-20           | 18-04-2023 |
| BQVPR8043L | MR. VIVEK MAHENDRAGIRI RAMDATI | UNDER SECTIONS 11(1), 11(4), 11B(1) AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                             | WTM/ASB/WRO/WRO/19665/2022-23   | 19-04-2023 |
| AACCR5402L | RPS PROPERTIES PVT LTD         | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RPS PROPERTIES PVT LTD                                                                                                                                                             | EAD-8/PM/GD/ISO-II/32066/1/2021 | 25-04-2023 |
| AFCPK7857G | RAJSHREE KOCHAR                | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST RAJSHREE KOCHAR                                                                                                                                                                    | EAD-8/PM/GD/ISO-II/15686/1/2022 | 25-04-2023 |
| BVBPB4487K | RUPABEN BHATT                  | SHOW CAUSE NOTICE UNDER SECTIONS 11(1),11(4), 11B(1) AND 11 B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 4 (1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                           | SEBI/WRO/26852-1/04             | 25-04-2023 |
| AFQPB2353A | YOGENDRA BISAY                 | UNDER SECTIONS 11(1), 11(4), 11B AND 11AA OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 11 OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003. | WTM/MB/WRO/WRO/5275/2019-20     | 25-04-2023 |

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| AABPV3976F | DR. V.<br>VENKATARAMANUJAM | UNDER SECTIONS 11(1), 11(4), 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                           | WTM/PS/25/IMD-CIS/SRO/MAY/2016                         | 25-04-2023 |
| ACUPB9253E | BAGCHI KALI KISHORE        | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                              | WTM/PS/165/ERO/FEB/2016                                | 25-04-2023 |
| BXAPK0069H | MANOJ ASHOKBHAI KHALAS     | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                        | ADJUDICATION ORDER NO. ORDER/SM/S./2022-23/19570-19588 | 28-04-2023 |
| AULPA2242F | MR. SARFRAJ ALI            | UNDER SEC 11 (1), 11(4), 11(4A), 11B(1) AND 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 ("ADJUDICATION RULES") IN THE MATTER OF M/S. STARBURST RESEARCH, PROPRIETORS: MR. MUSTKIM AND MR. SARFRAJ ALI. | SEBI/WRO/JLO/OW/P/1/63051/04/2022                      | 28-04-2023 |
| ACKPL1622P | BHIKARI CHARAN LENKA       | UNDER SECTIONS 11(1), 11(4) 11A(1)(B) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008                                                                                                                       | WTM/MPB/EFD-1-DRA-IV/68/2017                           | 03-05-2023 |
| ACDPC1181D | KANTA CHOWDHARY            | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                  | EAD/BM/JR/40048/2022                                   | 03-05-2023 |
| AADHV7962B | VIPUL KUMAR JAVIA HUF      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                          |                                                        | 03-05-2023 |
| ANGPS3086F | SHRI HUSSAIN SATTAF        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                       | ADJUDICATION ORDER NO: ORDER/KS/PP/2020-21/10156-10158 | 05-05-2023 |

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| ACGPD9190G | DEVERAJ SIDDIAH PERA NAIDU      | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                                                                         | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2458-2490 | 08-05-2023 |
| AAECK2699A | KESARISUTA VINIMAY PVT LTD      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF TRADING MEMBERS IN IIIQUID STOCK OPTIONS                                                                                                                                                                                                                                                                                                                   | SEBI/HO/EAD1/SBM/AK/25674/2022                       | 08-05-2023 |
| ANYPP1513A | MS. ZALAK PURVESH PARIKH        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN MATTER OF A & M FEBCON LIMITED.                                                                                                                                                                                                                                                                                                                                          | SEBI/HO/EAD/EAD2/P/O W/2023/6951/4                   | 08-05-2023 |
| AAACW2920N | ANUGRAH STOCK & BROKING PVT LTD | UNDER SECTION 12(3) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 27 OF SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008                                                                                                                                                                                                                                                                                                                 | WTM/SM/MIRSD/MIRSD_DPIEA/25009/2022 -23              | 08-05-2023 |
| AFLPM1238C | NIHAR RANJAN MISHRA             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 AND RULE 4(1) OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OD PREFERENTIAL ALLOTMENT OF SHARES BY GOLD LINEINTERNATIONAL FINVEST LTD | EAD-6/ADJ/AK/AS/OW/11946/4/2023                      | 08-05-2023 |
| ANYPP1513A | MS. ZALAK PURVESH PARIKH        | SHOW CAUSE NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN MATTER OF A & M FEBCON LIMITED                                                                                                                                                                                                                                                                                                                                               | SEBI/HO/EAD/EAD2/P/O W/2023/6951/2                   | 10-05-2023 |

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| AAFCR9257A | ROLEX TIE-UP PRIVATE LIMITED   | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AGAINST ROLEX TIE-UP PRIVATE LIMITED                                                                                                                                                     | EAD-8/PM/GD/ISO-II/29757/1/2021 | 15-05-2023 |
| BCQPS5051J | MR. SOMIT KISHANCHANDRA SAXENA | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA(COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                                                                                                                                         | WTM/PS/157/IMD-CIS/FEB/2016     | 23-05-2023 |
| AIIPP3823E | MR. SUDHIR NATHURAM PAWA       | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND READ WITH REGULATION 65 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA(COLLECTIVE INVESTMENT SCHEME) REGULATIONS, 1999                                                                                                                                         | WTM/PS/157/IMD-CIS/FEB/2016     | 23-05-2023 |
| AOBPS0340E | SUKRIT SOOD                    | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                        | WTM/MPB/EFD-1-DRA-IV/193/2021   | 23-05-2023 |
| AQLPK1093L | KADAR HUSSAIN                  | UNDER SECTIONS 11, 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 11(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 AND THE SECURITIES AND EXCHANGE BOARD OF INDIA (INVESTMENT ADVISERS) REGULATIONS, 2013 | WTM/AB/SRO/SRO/8281/2020-21     | 23-05-2023 |
| AAFHR2236E | RAJENDRA PRASAD KAMALIA HUF    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                             | EAD-8/AS/GD/2022/36942/1        | 29-05-2023 |

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| AXUPM0503H | MR. JEEVAN LAL MARU                    | UNDER SECTION 11(1), 11(4), 11(4A), 11B(1),11B(2) AND 15I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                       | WTM/AB/WRO/WRO/25160/2022-23                   | 31-05-2023 |
| NSSPS1252P | MR. RAMGOPAL SET                       | UNDER SECTION 11(1), 11(4), 11B(1), 11B(2) AND 11D OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES,1995                                                                                                         | WTM/SM/WRO/WRO/24649/2022-23                   | 31-05-2023 |
| EQGPS3663P | MR. SAUDAN SINGH                       | UNDER SECTION 11(1), 11(4), 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH REGULATION 3(1) OF SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013                                                                                                                        | QJA/AA/WRO/WRO/25839/2023-24                   | 31-05-2023 |
| AAACM2105K | MODEX INTERNATIONAL SECURITIES LIMITED | SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 IN THE ENQUIRY PROCEEDINGS CONDUCTED IN RESPECT OF MODEX INTERNATIONAL SECURITIES LIMITED.                                                                                                                  | SEBI/HO/EFD1/DRA3/P/OW/2023/16094/1            | 01-06-2023 |
| AAACG9843L | GUINNESS SECURITIES LIMITED            | SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 IN THE ENQUIRY PROCEEDINGS CONDUCTED AGAINST GUINNESS SECURITIES LIMITED.                                                                                                                                   | SEBI/HO/EFD1/DRA3/P/OW/2023/15479/1            | 01-06-2023 |
| AACPC5805D | SHRI RAMESH CHANDRA                    | SHOW CAUSE NOTICE UNDER SECTION 11(1), 11(4A), 11B (1) AND 11 B(2) OF SEBI ACT, 1992 READ WITH SEBI (VENTURE CAPITAL FUNDS) REGULATIONS, 1996 READ WITH REGULATION 39 OF SEBI (ALTERNATE INVESTMENT FUNDS) REGULATIONS,2012 IN THE MATTER OF INSPECTION OF CIG REALITY FUND (SCHEME I, II & IV) | SEBI/JO/AFD-1/AFD-1-SEC/P/OW/2023/0000009836/1 | 01-06-2023 |
| ABDPU8384M | SHAILESH KUMAR UPADHYAY                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF PEERS ALLIED CORPORATION LIMITED                                                             | WTM/PS/187/CIS-NRO/MAR/2015                    | 02-06-2023 |

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| AAKPS9389Q | RAJESH KANTILAL SHAH      | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5(1) OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES,1995                                                                                                                                                                                                         | ADJUDICATION ORDER NO. IVD/WOL/AO/DRK/ASG/EAD3-70/2009     | 06-06-2023 |
| AAACN7282L | NAKODA LTD                | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 & UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT,1956 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005                                                            | ADJUDICATION ORDER NO. ORDER/VV/AK/PSS/2022-23/18792-18796 | 06-06-2023 |
| AAACK4451A | KAASHYAP TECHNOLOGIES LTD | ORDER UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23-I OF SECURITIES CONTRACT (REGULATION) ACT, 1956 (HEREINAFTER REFERRED TO "SCRA") AND RULE 5 OF SECURITIES CONTRACT (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO: ORDER/GR/BM/2022-23/18221-18226     | 06-06-2023 |
| AAGPD2888M | SHRI R. DAKSHINAMURTHY    | ORDER UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23-I OF SECURITIES CONTRACT (REGULATION) ACT, 1956 (HEREINAFTER REFERRED TO "SCRA") AND RULE 5 OF SECURITIES CONTRACT (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO: ORDER/GR/BM/2022-23/18221-18226     | 06-06-2023 |

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| AIYPS4944H | SHRI. A SIVAKUMARAN                     | ORDER UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23-I OF SECURITIES CONTRACT (REGULATION) ACT, 1956 (HEREINAFTER REFERRED TO "SCRA") AND RULE 5 OF SECURITIES CONTRACT (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO: ORDER/GR/BM/2022-23/18221-18226 | 06-06-2023 |
| AHXPP5708J | CHANDRAKANT AMRATLAL PAREKH             | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5(1) OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                       | ADJUDICATION ORDER NO.-SRP/RK/AO- 33/2009              | 06-06-2023 |
| AAACF8795N | FAIRWEALTH SECURITIES LIMITED           | ENQUIRY REPORT UNDER REGULATION 26 OD THE SEBI (INTERMEDIARIES) REGULATIONS, 2008                                                                                                                                                                                                                                                                                                                                                     | ENQUIRY REPORT NO.ENQ/PM/GD/2022-23/17263              | 07-06-2023 |
| AAACW2920N | ANUGRAH STOCK & BROKING PRIVATE LIMITED | UNDER SECTION 11(1),11(4),11(1), 11B(2) AND 11D OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTIONN 12A OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                                                                                                                                                                                   | WTM/SM/MIRSD_DPIEA /24256/2022-23                      | 07-06-2023 |
| AAEPK0469M | PARESH MULJI KARIYA                     | UNDER SECTION 11(1),11(4),11(1), 11B(2) AND 11D OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTIONN 12A OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                                                                                                                                                                                   | WTM/SM/MIRSD_DPIEA /24256/2022-23                      | 07-06-2023 |
| AJHPK6018N | SADHANA PARESH KARIYA                   | UNDER SECTION 11(1),11(4),11(1), 11B(2) AND 11D OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTIONN 12A OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                                                                                                                                                                                   | WTM/SM/MIRSD_DPIEA /24256/2022-23                      | 07-06-2023 |
| AADFO8242K | OM SRI SAI INVESTMENT                   | UNDER SECTION 11(1),11(4),11(1), 11B(2) AND 11D OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTIONN 12A OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                                                                                                                                                                                   | WTM/SM/MIRSD_DPIEA /24256/2022-23                      | 07-06-2023 |

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| AACCT9530H | TEJI MANDI ANALYTICS PRIVATE LIMITED | UNDER SECTION 11(1),11(4),11(1), 11B(2) AND 11D OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTIONN 12A OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                                                                                                                                                                                   | WTM/SM/MIRSD_DPIEA /24256/2022-23                      | 07-06-2023 |
| ABWPG5141P | ANIL GOPAL GANDHI                    | UNDER SECTION 11(1),11(4),11(1), 11B(2) AND 11D OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTIONN 12A OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                                                                                                                                                                                   | WTM/SM/MIRSD_DPIEA /24256/2022-23                      | 07-06-2023 |
| AAIPS0707L | RIDDHI KALAPI SHAH                   | UNDER SECTION 11(1),11(4),11(1), 11B(2) AND 11D OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTIONN 12A OF SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                                                                                                                                                                                   | WTM/SM/MIRSD_DPIEA /24256/2022-23                      | 07-06-2023 |
| AABPV3960F | SHRI. A. VENKATRAMANI                | ORDER UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23-I OF SECURITIES CONTRACT (REGULATION) ACT, 1956 (HEREINAFTER REFERRED TO "SCRA") AND RULE 5 OF SECURITIES CONTRACT (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO: ORDER/GR/BM/2022-23/18221-18226 | 09-06-2023 |
| AYZPK9827A | SHRI NARAYAN MADHAV KUMAR            | SHOW CAUSE NOTICE UNDER SECTIONS 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF M/S ALCHEMIST HOLDING LIMITED                                                                                                                                                                                                                                                                                    | SEBI/NRO/DDHS/JS/ASR /35768/1/2022                     | 09-06-2023 |
| BERPR1999P | MR. BALJIT SINGH RAJPAL              | UNDER SECTIONS 11(1), 11(4), 11B (1) AND 11B (2) OF THE SECUTITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 3(1) OF THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013                                                                                                                                                                                                                                                | QJA/GG/QJC/QJC-2/26152/2023-24                         | 12-06-2023 |
| BBOPJ6519H | MR. BHAVNA JETHVANI                  | UNDER SECTIONS 11(1), 11(4), 11B (1) AND 11B (2) OF THE SECUTITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 3(1) OF THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013                                                                                                                                                                                                                                                | QJA/GG/QJC/QJC-2/26152/2023-24                         | 12-06-2023 |

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| BWRPK1312F | MR. TAJ KHAN                    | UNDER SECTIONS 11(1), 11(4), 11B (1) AND 11B (2) OF THE SECUTITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 3(1) OF THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013                                     | QJA/GG/QJC/QJC-2/26152/2023-24                       | 12-06-2023 |
| AAECA1954G | SMS TECHSOFT (INDIA LTD)        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                        | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 12-06-2023 |
| AACCG5669G | GBC ENTERPRISE LIMITED          | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                               | WTM/PS/21/IMD-ERO/MAY/2016                           | 14-06-2023 |
| AEVPD1072L | KRISHNENDU DAS                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                               | WTM/PS/21/IMD-ERO/MAY/2016                           | 15-06-2023 |
| ALOPB4676N | SUGATA BAL DAS                  | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                               | WTM/PS/21/IMD-ERO/MAY/2016                           | 15-06-2023 |
| BFVPM1091N | KINA DILIP MEWADA               | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES,1995 | ADJUDICATION ORDER NO-AO/BJD/MAS/EAD/128-143/2018    | 23-06-2023 |
| AAACW9811G | WADHAWAN GLOBAL CAPITAL LIMITED | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | WTM/ASB/CFID/CFID-SEC2/24485/2022-23                 | 23-06-2023 |
| ADIPA7292D | PAVAN BIR ANAND                 | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                          | SEBI EMAIL DATED 03-08-2022                          | 26-06-2023 |
| AHEPS7486F | SAGAR P SHAH                    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                | ADJUDICATION ORDER NO: - EAD-2/DSR/VVK/314/2014      | 26-06-2023 |

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| AXJPM6692G | MR. MUSTKIM                      | NOTICE OF HEARING IN THE MATTER OF M/S. STARBURST RESEARCH, PROPRIETORS: MR. MUSTKIM AND MR. SARFRAJ ALI                                                                                                                                              | SEBI/WRO/JLO/MK/OW/P/19134/2/2023                      | 28-06-2023 |
| GFDPs9384R | DEEPAK PARASHRAM SALVI           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                   | ADJUDICATION ORDER NO. ORDER/BM/GN/2022-23/20892-20899 | 30-06-2023 |
| AAPPS6559P | NARENDRA RAMANLAL SHAH           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                   | ADJUDICATION ORDER NO. ORDER/BM/GN/2022-23/20892-20899 | 30-06-2023 |
| AJGPN1996D | AJAY NATHWANI                    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                   | ADJUDICATION ORDER NO. ORDER/BM/GN/2022-23/20892-20899 | 30-06-2023 |
| AABCE3676Q | EARTH EXIM LTD (EEL)             | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                   | ADJUDICATION ORDER NO. ORDER/BM/GN/2022-23/20892-20899 | 30-06-2023 |
| AUWPP2833Q | PREETI AJAY NATHWANI             | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                   | ADJUDICATION ORDER NO. ORDER/BM/GN/2022-23/20892-20899 | 30-06-2023 |
| ACEPS9276L | MRS. VARSHA MADHUSUDAN SATPALKAR | DIRECTIONS UNDER SECTIONS 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATIONS 65 AND 73 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999.                      | WTM/RKA/CIS/07/2013                                    | 03-07-2023 |
| ACEPS9276L | MRS. VARSHA MADHUSUDAN SATPALKAR | UNDER SECTIONS 11(1), 11(4) AND 11(3) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN THE MATTER OF MAITREYA PLOTTERS AND STRUCTURES PRIVATE LIMITED | WTM/SKM/EFD-DRA-1/06/2018-19                           | 03-07-2023 |

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| AJDPJ2709F | LOKENDRA JAIN           | SHOW CAUSE NOTICE UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1) AND 11B(2) READ WITH SECTION 15HA, SECTION 15HB AND SECTION 15EB OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995, TO THE PARTNERS OF ZENITHVIA RESEARCH SERVICES VIZ. ANURAG SHRIVASTAV, VIJAY SINGH TOMAR, LOKENDRA JAIN AND SANDEEP SHRIWAS. | SEBI/WRO/ILO/NM/OW/P/20333/1/2023                    | 03-07-2023 |
| AADCA6696C | ACHAL INVESTMENTS LTD   | UNDER SECTIONS 11(1), 11(4) 1 11B (1) 119(2) AND 11(4A) OF THE SEBI ACT, 1992, AND SECTION 12A(2) OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956, READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                  | WTWMBRVDAD14/13306/2021-22                           | 04-07-2023 |
| ACJPJ5747L | JAGADISH VITAL          | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| ATYPA8648K | AKASH JAGADISH VITAL    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| ABUPA2184Q | ANITA S. KADANTHALAI    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| CPAPS2335R | ALAKABEN KIRTIBHAI SHAH | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AFXPB6525P | BAFNA S R               | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |

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| AAEHD6246F | DHARMENDRA<br>RIKHAVCHAND SHAH HUF | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER<br>NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AZYPS5654H | HIMADRI KAMLESHBHAI<br>SHAH        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER<br>NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| ADZPT3418R | KANUBHAI NARANDAS<br>THAKKAR       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER<br>NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| DFNPS6796L | KEVAL KIRTIKUMAR SHAH              | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER<br>NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AKQPS8463F | KIRTIKUMAR RASIKLAL<br>SHAH        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER<br>NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AGCPR8130L | K RAJAGOPAL                        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER<br>NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AQOPC6330R | MAHAVIRSINGH N CHAUHAN             | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER<br>NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AHWPT5940M | MEENABEN NATUBHAI<br>THAKKAR       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER<br>NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| COYPS9153J | MINABEN PRAFULBHAI<br>SHAH         | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER<br>NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |

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| AHQPT0178H | MITESH KANAIIYALAL THAKKAR    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AJBPT8789M | MUKESHBHAI SHANTILAL THAKKAR  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AHWPT5944R | NATUBHAI SHANTILAL THAKKAR    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| ADUPT1264A | NAVINCHANDRA KANUBHAI THAKKAR | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| DCAPS6011N | PRUTHVI HIMANSHU SHAH         | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| ALBPR2586E | S RAJAGANESH                  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AKMPM4951C | SURESH NENMALJI MALVI         | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AMJPT1242N | VAISHALI NATVARLAL THAKKAR    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| BOIPS2506E | VINIT KAMLESHKUMAR SHAH       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |

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| AEDPJ4235P | VINOD JAIN                   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995            | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| ACUPR5573R | RAJESH RANKA                 | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995            | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| ACDPS9920N | DHARMENDRA RIKHAVCHAND SHAH  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995            | ADJUDICATION ORDER NO: ORDER/SM/PP/2018-19/2491-2523 | 04-07-2023 |
| AMEPB0155F | PRAFULLA SUBHASHCHANDRA BHAT | NOTICE OF HEARING IN THE MATTER OF SETUBANDHAN INFRASTRUCTURE LIMITED                                                                                                          | SEBI/HO/CFID/CFIDP/O W/2023/21716/3                  | 05-07-2023 |
| ALYP2199R  | IRSHAD ALI                   | UNDER SECTION 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/134/2016                                 | 06-07-2023 |
| AAICM1034D | MRS AGROTECH INDIA LIMITED   | UNDER SECTION 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/146/2016                                 | 06-07-2023 |
| DPOPS9750H | SAMRAT SADHU                 | UNDER SECTION 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/146/2016                                 | 06-07-2023 |
| BUUPK2909R | SMT DOLON SADHU KUNDU        | UNDER SECTION 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/146/2016                                 | 06-07-2023 |
| CNNPS3625P | HABIB SARKAR                 | UNDER SECTION 11, 11(4), 11AA AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                  | WTM/PS/27/ERO-RLO/IMD/MAY/2016                       | 06-07-2023 |
| AWBPK3800F | RAN VIJAY KUMAR              | UNDER SECTION 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/134/2016                                 | 06-07-2023 |

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| AAHCM7407K | MOUNT VISION INDUSTRIES INDIA LTD | UNDER SECTION 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008  | WTM/RKA/EFD/134/2016                                                                                                                                    | 06-07-2023 |
| ALXPK2636C | SANJAY KUMAR                      | UNDER SECTION 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008  | WTM/RKA/EFD/134/2016                                                                                                                                    | 12-07-2023 |
| ATNPS4000L | RAJDEEP SADHU                     | UNDER SECTION 11(1), 11(4), 11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008  | WTM/RKA/EFD/146/2016                                                                                                                                    | 12-07-2023 |
| ALOPY8130A | RAMKUMAR BHOLANATH YADAV          | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/IVD/ID6/P/OW/ 2023/13874/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/14904/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/16505/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/18150/1 | 17-07-2023 |
| BSVPC7326K | VIJAY ISHVARBHAI CHAUHAN          | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/IVD/ID6/P/OW/ 2023/13884/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/16169/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/17381/1                                        | 17-07-2023 |
| BYNPP4009C | KEYUR VINOD CHANDRA PARMAR        | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/IVD/ID6/P/OW/ 2023/13898/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/14903/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/16510/1                                        | 17-07-2023 |
| AOCPM4140D | DHAVAL MEHTA                      | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/IVD/ID6/P/OW/ 2023/13904/2;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/13904/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/15432/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/16853/1 | 17-07-2023 |
| BMCP57297E | RITU RAHUL MEHTA                  | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/IVD/ID6/P/OW/ 2023/13907/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/13907/2;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/15434/1;<br>SEBI/HO/IVD/ID6/P/OW/ 2023/16854/1 | 17-07-2023 |

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| BWZPV9140E | KINJAL RONAK VORA         | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/TVD/ID6/P/OW/ 2023/13888/1; SEBI/HO/TVD/ID6/P/OW/ 2023/15435/1; SEBI/HO/TVD/ID6/P/OW/ 2023/16857/1                                     | 17-07-2023 |
| BZHPR2102P | MONIK CHANDUBHAI RUPAREL  | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/TVD/ID6/P/OW/ 2023/13881/1; SEBI/HO/TVD/ID6/P/OW/ 2023/16166/1; SEBI/HO/TVD/ID6/P/OW/ 2023/17377/1                                     | 17-07-2023 |
| IJDPK7239H | KOSHTI DHARMESH MOHANBHAI | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/TVD/ID6/P/OW/ 2023/13883/1; SEBI/HO/TVD/ID6/P/OW/ 2023/16168/1; SEBI/HO/TVD/ID6/P/OW/ 2023/17379/1                                     | 17-07-2023 |
| BWGPG2510J | DHAVAL VINODBHAI GADANI   | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/TVD/ID6/P/OW/ 2023/13880/1; SEBI/HO/TVD/ID6/P/OW/ 2023/14908/1; SEBI/HO/TVD/ID6/P/OW/ 2023/16520/1; SEBI/HO/TVD/ID6/P/OW/ 2023/18152/1 | 17-07-2023 |
| BKNPV8527M | RONAK HASMUKHBHAI VORA    | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/TVD/ID6/P/OW/ 2023/13889/1; SEBI/HO/TVD/ID6/P/OW/ 2023/15436/1; SEBI/HO/TVD/ID6/P/OW/ 2023/16859/1                                     | 17-07-2023 |
| ELNPP0642B | HARSHADBHAI PANCHAL       | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/TVD/ID6/P/OW/ 2023/13894/1; SEBI/HO/TVD/ID6/P/OW/ 2023/14904/1; SEBI/HO/TVD/ID6/P/OW/ 2023/16518/1; SEBI/HO/TVD/ID6/P/OW/ 2023/18151/1 | 17-07-2023 |
| BOWPT8671P | SUREKHABEN THAKKAR        | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/TVD/ID6/P/OW/ 2023/13877/1; SEBI/HO/TVD/ID6/P/OW/ 2023/16061/1; SEBI/HO/TVD/ID6/P/OW/ 2023/17117/1; SEBI/HO/TVD/ID6/P/OW/ 2023/18153/1 | 17-07-2023 |
| CCOPC7186H | DHARMIK CHAUHAN           | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF BEST AGROLIFE LTD | SEBI/HO/TVD/ID6/P/OW/ 2023/13886/1; SEBI/HO/TVD/ID6/P/OW/ 2023/16173/1; SEBI/HO/TVD/ID6/P/OW/ 2023/17383/1                                     | 17-07-2023 |

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| BOKPT7518D | DHARMIK CHAUHAN      | NON DELIVERY OF EMAILS / SUMMONS UNDER SECTION 11C (3)/ 11C (5) OF THE SEBI ACT, 1992 IN THE MATTER OF TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRP OF BEST AGROLIFE LTD              | SEBI/HO/TVD/ID6/P/OW/ 2023/13876/1;<br>SEBI/HO/TVD/ID6/P/OW/ 2023/16018/1;<br>SEBI/HO/TVD/ID6/P/OW/ 2023/17117/2;<br>SEBI/HO/TVD/ID6/P/OW/ 2023/18153/2 | 17-07-2023 |
| CJHPS9562H | ANAND H SONI         | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF THE SEBI ACT, 1992 IN THE MATTER OF CAPRI GLOBAL CAPITAL LIMITED | SEBI/EAD-1/BS/RG/18453/2023                                                                                                                             | 19-07-2023 |
| CJIPP3064Q | VIPUL B PITHADIA     | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF THE SEBI ACT, 1992 IN THE MATTER OF CAPRI GLOBAL CAPITAL LIMITED | SEBI/EAD-1/BS/RG/18453/2023                                                                                                                             | 19-07-2023 |
| AXIPY0954G | ANURUDHKUMAR B YADAV | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF THE SEBI ACT, 1992 IN THE MATTER OF CAPRI GLOBAL CAPITAL LIMITED | SEBI/EAD-1/BS/RG/18453/2023                                                                                                                             | 19-07-2023 |
| COPPP4646J | PARMAR AKSHAY J      | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF THE SEBI ACT, 1992 IN THE MATTER OF CAPRI GLOBAL CAPITAL LIMITED | SEBI/EAD-1/BS/RG/18453/2023                                                                                                                             | 19-07-2023 |
| DZEPS8946B | REKHABEN H SAKARIYA  | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF THE SEBI ACT, 1992 IN THE MATTER OF CAPRI GLOBAL CAPITAL LIMITED | SEBI/EAD-1/BS/RG/18453/2023                                                                                                                             | 19-07-2023 |
| ADGPV6374B | NAYANBHAI S VYAS     | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF THE SEBI ACT, 1992 IN THE MATTER OF CAPRI GLOBAL CAPITAL LIMITED | SEBI/EAD-1/BS/RG/18453/2023                                                                                                                             | 19-07-2023 |

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| BQWPA5223L | SONU ARGAL                             | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF THE SEBI ACT, 1992 IN THE MATTER OF CAPRI GLOBAL CAPITAL LIMITED                                                                                                                                  | SEBI/EAD-1/BS/RG/18453/2023           | 19-07-2023 |
| CPGPK0246H | RAJESH S KUSHAVAHA                     | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF THE SEBI ACT, 1992 IN THE MATTER OF CAPRI GLOBAL CAPITAL LIMITED                                                                                                                                  | SEBI/EAD-1/BS/RG/18453/2023           | 19-07-2023 |
| AAACM2105K | MODEX INTERNATIONAL SECURITIES LIMITED | PERSONAL HEARING BEFORE WTM IN THE MATTER OF MODEX INTERNATIONAL SECURITIES LIMITED                                                                                                                                                                                                                                          | SEBI/HO/EFD1/DRA3/P/OW/2023/23985/1   | 19-07-2023 |
| AKYPG8318D | MR. PARTHA GHOSH                       | ON REPRESENTATION DATED JANUARY 29, 2018 IN THE MATTER OF NETWORTH MARKETING LIMITED WITH RESPECT TO ORDER DATED AUGUST 28, 2017                                                                                                                                                                                             | WTM/GM/EFD/45/2018-19                 | 20-07-2023 |
| ACGPH4147P | MOHAMMAD AHTESHAMUL HAQ                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/87/CIS-NRO/NOV/2015            | 20-07-2023 |
| AEIPK0881M | MR. DHARMENDRA LIMITED                 | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                              | ADJUDICATION ORDER NO. PG/AO- 12/2011 | 24-07-2023 |
| AADCM7110M | MAHANIVESH STOCK AND SHARES PVT LTD    | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                              | ADJUDICATION ORDER NO. RA/JP/112/2017 | 24-07-2023 |

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| APWPK3686H | PRADEEP KUMAR                       | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                               | ADJUDICATION ORDER NO. VSS/AO- 188/2009                     | 24-07-2023 |
| AADCT1652R | TIEN TRADING PVT LTD                | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                               | ADJUDICATION ORDER NO. RA/DPS/75- 86/2017                   | 24-07-2023 |
| AADCG6999E | GOODLIFE COMMERCIAL PVT LTD         | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                               | ADJUDICATION ORDER NO. BS/DP/2017- 18/1673-1676             | 24-07-2023 |
| AVZPS0368P | BIREN KANTILAL SHAH                 | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 (1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                           | ADJUDICATION ORDER NO. ISD/IPO/AO/DRK/MD/EA D-3/327/25-2012 | 24-07-2023 |
| AADCB5570C | BASUKINATH HIGHRISE PRIVATE LIMITED | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                               | ADJUDICATION ORDER NO. PG/AM/AO- 04/2013                    | 24-07-2023 |
| AHTPD3510C | DINESH JAYANTLAL DOSHI              | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                               | ADJUDICATION ORDER NO. MC/DPS/7/2018                        | 24-07-2023 |
| AAKHS2700K | SHAH (HUF) BH                       | NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SEBI ACT, 1992 IN THE MATTER OF SAFAL HERBS LIMITED (FORMERLY KNOWN AS PARIKHHERBALS LIMITED) | EAD-10/SCN/SM/DD/22769/1/2023                               | 24-07-2023 |

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| ACQPS5375Q | SUNITA S. SHAH                 | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SEBI ACT, 1992 IN THE MATTER OF SAFAL HERBS LIMITED (FORMERLY KNOWN AS PARIKHHERBALS LIMITED) | EAD-10/SCN/SM/DD/22769/1/2 023 | 24-07-2023 |
| ARAPS8707R | ROMIL SHAH                     | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SEBI ACT, 1992 IN THE MATTER OF SAFAL HERBS LIMITED (FORMERLY KNOWN AS PARIKHHERBALS LIMITED) | EAD-10/SCN/SM/DD/22769/1/2 023 | 24-07-2023 |
| ACQPS5387Q | SHRENIK DHAH                   | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SEBI ACT, 1992 IN THE MATTER OF SAFAL HERBS LIMITED (FORMERLY KNOWN AS PARIKHHERBALS LIMITED) | EAD-10/SCN/SM/DD/22769/1/2 023 | 24-07-2023 |
| AGUPP7355B | AD PARIKH                      | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SEBI ACT, 1992 IN THE MATTER OF SAFAL HERBS LIMITED (FORMERLY KNOWN AS PARIKHHERBALS LIMITED) | EAD-10/SCN/SM/DD/22769/1/2 023 | 24-07-2023 |
| AAACB4604N | BHOJAWANI SECURITIES PVT. LTD. | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SEBI ACT, 1992 IN THE MATTER OF SAFAL HERBS LIMITED (FORMERLY KNOWN AS PARIKHHERBALS LIMITED) | EAD-10/SCN/SM/DD/22769/1/2 023 | 24-07-2023 |
| ADSPP8624L | DHANANJAY PARIKH               | NOTICE UNDER RULE 4(1) OD SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SEBI ACT, 1992 IN THE MATTER OF SAFAL HERBS LIMITED (FORMERLY KNOWN AS PARIKHHERBALS LIMITED) | EAD-10/SCN/SM/DD/22769/1/2 023 | 24-07-2023 |

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| AAGCA9717P | ALCHEMIST INFRA REALTY LIMITED | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE OF INDIA ACT, 1192 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                                            | ADJUDICATION ORDER NO. EAD/KS/AS/AO/10490-10494/2020-21 | 28-07-2023 |
| AYZPK9827A | NARAYAN MADHAV KUMAR           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE OF INDIA ACT, 1192 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                                            | ADJUDICATION ORDER NO. EAD/KS/AS/AO/10490-10494/2020-21 | 28-07-2023 |
| AAEPC9775G | CHANDRA SHEKHAR CHAUHAN        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE OF INDIA ACT, 1192 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                                            | ADJUDICATION ORDER NO. EAD/KS/AS/AO/10490-10494/2020-21 | 28-07-2023 |
| AARCS0445B | SWAR AGROTECH INDIA LIMITED    | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD ON INDIA ACT, 1992 READ WITH REGULATION 65 OF SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999                                                                                                                                                                                                                                                           | WTM/PS/22/EFD/MAY/2016                                  | 28-07-2023 |
| AACCN1305Q | NETWORTH MARKETING LIMITED     | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED MARCH 19, 2015 IN THE MATTER OF NETWORTH MARKETING LIMITED & ON REPRESENTATION DATED JANUARY 29, 2018 IN THE MATTER OF NETWORTH MARKETING LIMITED WITH RESPECT TO ORDER DATED AUGUST 28, 2017 | WTM/GM/EFD/44/2017-18 & WTM/GM/EFD/45/2018-19           | 28-07-2023 |
| AABCF0080D | F6 FINSERVE PVT LTD            | UNDER SECTION 12(3) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 27 OF SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008                                                                                                                                                                                                                                                        | WTM/AN/NRO/NRO/27625/2023-24                            | 28-07-2023 |

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| AAACC6370Q | CAVALIER SECURITIES LTD   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                                                                                                    | ADJUDICATION ORDER NO. EAD- 2/AO/56/2012             | 31-07-2023 |
| ACDPT6858J | HITESH MADHUSUDAN THAKKAR | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                                                                                                    | ADJUDICATION ORDER NO. EAD- 2/AO/36/2012             | 31-07-2023 |
| AEAPP8145E | RAMNIKLAL PATEL           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                                                                                                    | ADJUDICATION ORDER NO.: - PKK/AO/266/2010            | 31-07-2023 |
| AAACS9093A | SANRAA MEDIA LTD          | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 AND UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 | ADJUDICATION ORDER NO: ORDER/AA/AR/2019-20/5855-5861 | 31-07-2023 |

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| AABPV3960F | MR. ANNASWAMY<br>VENKATRAMANI                    | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 AND UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 | ADJUDICATION ORDER<br>NO: ORDER/AA/AR/2019-20/5855-5861  | 31-07-2023 |
| AHEPS7486F | MR. SAGAR PRAVIN SHAH                            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                                                                                                    | ADJUDICATION ORDER<br>NO. EAD-2/DSR/VVK/314/2014         | 31-07-2023 |
| AXXPS0523N | MS. PRATIMA SHAH                                 | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                                                                                                    | ADJUDICATION ORDER<br>NO. EAD-2/DSR/VVK/315/2014         | 31-07-2023 |
| AALCM4744M | M/S. MINANCE INVESTMENT ADVISORS PRIVATE LIMITED | UNDER SECTIONS 11, 11B (1) OF THE SECURITIES AND EXCHNAGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                                                                                          | WTM/SM/SRO/SRO/26953/2023-24                             | 31-07-2023 |
| AVEPB6967G | MR. ANURAG BHATIA                                | UNDER SECTIONS 11, 11B (1) OF THE SECURITIES AND EXCHNAGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                                                                                                                          | WTM/SM/SRO/SRO/26953/2023-24                             | 31-07-2023 |
| AUVPM4637N | KUMAR DILIP MEWADA                               | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                                                                                  | ADJUDICATION ORDER<br>NO.<br>AO/BJD/MAS/EAD/128-143/2018 | 03-08-2023 |

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| AFUPA7917B | KAMLESH AGARWAL               | ADJUDICATION PROCEEDINGS IN RESPECT OF KAMLESH AGRAWAL IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE: SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                       | SEBI/HO/EFD2/EFD2_SD/P/OW/2021/24807/1          | 03-08-2023 |
| AFMPA8305D | KANCHAN AGARWAL               | ADJUDICATION PROCEEDINGS IN RESPECT OF KANCHAN AGARWAL IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE: SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                       | EFD2/HO/EFD2/EFD2_SD/P/OW/000024053/1           | 03-08-2023 |
| AAHPV1218Q | KANCHAN VERMA                 | ADJUDICATION PROCEEDINGS IN RESPECT OF KANCHAN VERMA IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE: SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                         | SEBI/HO/EFD2/EFD2_SL D3/P/OW/2022/3900/ 1       | 03-08-2023 |
| AADCR7607Q | KANKRIYA CONSTRUCTION PVT LTD | ADJUDICATION PROCEEDINGS IN RESPECT OF KANKRIYA CONSTRUCTION PRIVATE LIMITED IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE: SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | SEBI/HO/EFD2/EFD2_SL D2/P/OW/2022/3861/ 1       | 03-08-2023 |
| ADOPD2660G | KANTA DIDWANIA                | ADJUDICATION PROCEEDINGS IN RESPECT OF KANTA DIDWANIA IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE: SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                        | SEBI/HO/EFD2/EFD2_SL D2/P/OW/2022/0000 003865/1 | 03-08-2023 |

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| AABCD9470H | DESTINY SECURITIES LTD                 | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                         | ADJUDICATION ORDER NO: ORDER/AS/GD/2022-23/25243     | 03-08-2023 |
| AABCF0080D | F6 FINSERVE PVT LTD                    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                             | ADJUDICATION ORDER NO. ORDER/AS/VC/2022-23/25244     | 03-08-2023 |
| AFEPS2295E | VIMAL KUMAR SAINI                      | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                                                                            | SEBI/HO/DEPA-III/DEPA-III_SSU/P/OW/2022/0000039336/1 | 07-08-2023 |
| AFEPS2295E | VIMAL KUMAR SAINI                      | ADJUDICATION PROCEEDINGS IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                                                                            | SEBI/HO/DEPA-III/DEPA-III_SSU/P/OW/2022/0000050526/1 | 07-08-2023 |
| BXMPP1272K | VINAY BHUSHAN PENDYALA                 | NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF SEBI ACT, 1992                                                                                                                                                                                                                                                                                           | EAD-10/SCN/SM/DD/OW/22854/1/2023                     | 08-08-2023 |
| AAACM2105K | MODEX INTERNATIONAL SECURITIES LIMITED | PERSONAL HEARING BEFORE WTM IN THE MATTER OF MODEX INTERNATIONAL SECURITIES LIMITED                                                                                                                                                                                                                                                                                                                                                  | SEBI/HO/EFD1/DRA3/P/OW/2023/27522/1                  | 08-08-2023 |
| AACCA6193R | A-1 BOOK COMPANY PRIVATE LIMITED       | UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1), 11B(2) AND 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTIONS 12A(1), 12A(2) AND 23I OF SECURITIES CONTRACTS (REGULATIONS) ACT, 1956 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | WTM/AB/IVD/ID2/18060/2022-23                         | 09-08-2023 |

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| AXNPC3713G | PREM CHAND                                       | UNDER SECTION 15-I (2) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND UNDER SECTION 23-I(2) OF SECURITIES CONTRACTS (REGULATIONS) ACT, READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005      | ADJUDICATION ORDER NO. ORDER/MC/RM/2022-23/20426-20428                                                                               | 09-08-2023 |
| DNAPP1607Q | MS. PRABHA PATEL                                 | FINAL ORDER IN THE MATTER OF M/S. TRADE SOLUTIONS SERVICES, PROPRIETOR: MS. VARSHA OSWAL AND M/S. TRADE SOLUTION, PROPRIETOR: MS. PRABHA PATEL & UNDER SECTIONS 11(1), 11(4) AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                | SEBI/WRO/ILO/AN/OW/P/01043/1/2023,SEBI/WRO/ILO/AN/OW/P/01047/1/2023,SEBI/WRO/ILO/AN/OW/P/01048/1/2023 & WTM/AB/WRO/WRO/22737/2022-23 | 11-08-2023 |
| AQDPB0485F | SURENDRA SINGH BAGHEL                            | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER SUNSHINE INFRA BUILD CORPORATION LIMITED                                                                                                                                                                                                                          | WTM/PS/49/EFD/SEPTEMBER/2015                                                                                                         | 11-08-2023 |
| AMUPB0580E | BANWARI LAL BAGHEL                               | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER SUNSHINE INFRA BUILD CORPORATION LIMITED                                                                                                                                                                                                                          | WTM/PS/49/EFD/SEPTEMBER/2015                                                                                                         | 11-08-2023 |
| AAGFI7660G | M/S INVESTO INVESTMENT ADVISERS PARTNERSHIP FIRM | SUPPLEMENTARY SHOW CAUSE NOTICE UNDER SECTIONS 11(1), 11(4), 11(4A), 11B (1) AND 11 B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF INSPECTION OF INVESTMENT ADVISERS: YOGESH KUKADIA AND RAJESH R. KALLIDUMBIL | SEBI/SRO/SG/OW/2023/26680/6                                                                                                          | 11-08-2023 |

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| ADNFS2939J | M/S SS INFO SALES,<br>PARTNERSHIP FIRM | SUPPLEMENTARY SHOW CAUSE<br>NOTICE UNDER SECTIONS 11(1),<br>11(4), 11(4A), 11B (1) AND 11 B(2)<br>OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 ("SEBI ACT") READ WITH<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA (PROCEDURE FOR<br>HOLDING INQUIRY AND<br>IMPOSING PENALTIES) RULES, 1995<br>IN THE MATTER OF INSPECTION OF<br>INVESTMENT ADVISERS: YOGESH<br>KUKADIA AND RAJESH R.<br>KALLIDUMBIL | SEBI/SRO/SG/OW/2023/2<br>6680/7 | 11-08-2023 |
| ADNFS7110B | M/S SI DIGI SALES,<br>PARTNERSHIP FIRM | SUPPLEMENTARY SHOW CAUSE<br>NOTICE UNDER SECTIONS 11(1),<br>11(4), 11(4A), 11B (1) AND 11 B(2)<br>OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 ("SEBI ACT") READ WITH<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA (PROCEDURE FOR<br>HOLDING INQUIRY AND<br>IMPOSING PENALTIES) RULES, 1995<br>IN THE MATTER OF INSPECTION OF<br>INVESTMENT ADVISERS: YOGESH<br>KUKADIA AND RAJESH R.<br>KALLIDUMBIL | SEBI/SRO/SG/OW/2023/2<br>6680/8 | 11-08-2023 |
| AAMFC9502D | M/S CT WEB SALES,<br>PARTNERSHIP FIRM  | SUPPLEMENTARY SHOW CAUSE<br>NOTICE UNDER SECTIONS 11(1),<br>11(4), 11(4A), 11B (1) AND 11 B(2)<br>OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 ("SEBI ACT") READ WITH<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA (PROCEDURE FOR<br>HOLDING INQUIRY AND<br>IMPOSING PENALTIES) RULES, 1995<br>IN THE MATTER OF INSPECTION OF<br>INVESTMENT ADVISERS: YOGESH<br>KUKADIA AND RAJESH R.<br>KALLIDUMBIL | SEBI/SRO/SG/OW/2023/2<br>6680/9 | 11-08-2023 |

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| ABHFM3142P | M/S ML TELE SALES,<br>PARTNERSHIP FIRM    | SUPPLEMENTARY SHOW CAUSE<br>NOTICE UNDER SECTIONS 11(1),<br>11(4), 11(4A), 11B (1) AND 11 B(2)<br>OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA ACT,<br>1992 ("SEBI ACT") READ WITH<br>SECURITIES AND EXCHANGE<br>BOARD OF INDIA (PROCEDURE FOR<br>HOLDING INQUIRY AND<br>IMPOSING PENALTIES) RULES, 1995<br>IN THE MATTER OF INSPECTION OF<br>INVESTMENT ADVISERS: YOGESH<br>KUKADIA AND RAJESH R.<br>KALLIDUMBIL | SEBI/SRO/SG/OW/2023/2<br>6680/10                              | 11-08-2023 |
| AADCH8426M | D. S. CAPITAL VENTURE<br>PRIVATE LIMITED  | UNDER SECTION 15-I OF THE<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA ACT, 1992 READ WITH RULE<br>5 OF THE SECURITIES AND EXCHANGE<br>BOARD OF INDIA (PROCEDURE FOR<br>HOLDING INQUIRY AND<br>IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                        | ADJUDICATION ORDER<br>NO: ORDER/PM/GD/2022-<br>23/22750-22754 | 11-08-2023 |
| ECYPK7182R | PINKY KELVA                               | REPORT UNDER REGULATION 26<br>OF THE SECURITIES AND<br>EXCHANGE BOARD OF INDIA<br>(INTERMEDIARIES) REGULATIONS,<br>2008                                                                                                                                                                                                                                                                                               | REPORT NO.<br>ENQ/BM/JR/2023-<br>24/27728                     | 16-08-2023 |
| AADCA3311J | ANUGRAH COMMODITIES<br>PRIVATE LIMITED    | SUPPLEMENTARY SHOW CAUSE<br>NOTICE<br>UNDER REGULATION 27(1) OF<br>SEBI (INTERMEDIARIES)<br>REGULATIONS, 2008                                                                                                                                                                                                                                                                                                         | SEBI/HO/EFD1/EFD1_DR<br>A2/P/OW/2023/0000<br>013184/1         | 16-08-2023 |
| AAFCA8206N | TWENTY20 COMMODITIES                      | HEARING NOTICE IN RESPECT OF<br>TWENTY20<br>COMMODITIES PRIVATE LIMITED<br>IN THE MATTER OF NSEL                                                                                                                                                                                                                                                                                                                      | SEBI/HO/EFD1/EFD1_DR<br>A2/P/OW/2023/2881<br>6/1              | 17-08-2023 |
| AACCV4358H | VCK COMMODITY SERVICES<br>PRIVATE LIMITED | HEARING NOTICE IN RESPECT<br>OF VCK<br>COMMODITY SERVICES PVT LTD<br>IN THE MATTER OF NSEL                                                                                                                                                                                                                                                                                                                            | SEBI/HO/EFD1/EFD1_DR<br>A2/P/OW/2023/2882<br>0/1              | 17-08-2023 |
| AAECK2699A | KESARISUTA VINIMAY<br>PRIVATE LIMITED     | UNDER SECTION 15-I OF SECURITIES<br>AND EXCHANGE BOARD OF INDIA<br>ACT, 1992, READ WITH RULE 5<br>SEBI (PROCEDURE FOR HOLDING<br>INQUIRY AND IMPOSING<br>PENALTIES)<br>RULES, 1995                                                                                                                                                                                                                                    | ADJUDICATION ORDER<br>NO. ORDER/NH/KL/2023-<br>24/27951       | 17-08-2023 |

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| BLVPM9284R | MR. DEEPAK MISHRA             | NOTICE TO SHOW CAUSE UNDER REGULATION 25 AND REGULATION 25 AND REGULATION 26 OF SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008 AND SHOW CAUSE NOTICE UNDER RULE 4 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 | SEBI/HO/EAD/EAD9/P/O W/2023/0000028461/ 1-3 AND SEBI/HO/EAD/EAD9/P/O W/2023/0000028460/ 1-3 | 18-08-2023 |
| BPDPA3589K | ROSHANLAL DAULATRAM AGGARWAL  | NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15I OF THE SEBI ACT, 1992 IN THE MATTER OF MEGA NIRMAN AND INDUSTRIES LIMITED                                                                                                                                                          | SEBI/EAD-1/BS/DP/26545/1/2023                                                               | 18-08-2023 |
| CYBPP2358H | HARSHADBHAI BABUBHAI PATEL    | NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15I OF THE SEBI ACT, 1992 IN THE MATTER OF MEGA NIRMAN AND INDUSTRIES LIMITED                                                                                                                                                          | SEBI/EAD-1/BS/DP/26545/1/2023                                                               | 18-08-2023 |
| CYNPP0545E | VINITKUMAR POPATLAL PARIKH    | NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15I OF THE SEBI ACT, 1992 IN THE MATTER OF MEGA NIRMAN AND INDUSTRIES LIMITED                                                                                                                                                          | SEBI/EAD-1/BS/DP/26545/1/2023                                                               | 18-08-2023 |
| CYMPP9923K | MAULIK VINITKUMAR PARIKH      | NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15I OF THE SEBI ACT, 1992 IN THE MATTER OF MEGA NIRMAN AND INDUSTRIES LIMITED                                                                                                                                                          | SEBI/EAD-1/BS/DP/26545/1/2023                                                               | 18-08-2023 |
| GKCPS4278A | SUBHDRABEN RAMESHCHANDRA SHAH | NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15I OF THE SEBI ACT, 1992 IN THE MATTER OF MEGA NIRMAN AND INDUSTRIES LIMITED                                                                                                                                                          | SEBI/EAD-1/BS/DP/26545/1/2023                                                               | 18-08-2023 |

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| GTPPS2917N | NILESH RAMESHCHANDRA SHAH     | NOTICE UNDER RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15I OF THE SEBI ACT, 1992 IN THE MATTER OF MEGA NIRMAN AND INDUSTRIES LIMITED                           | SEBI/EAD-1/BS/DP/26545/1/2023                          | 18-08-2023 |
| BNEPP5649A | VIMLA SANJAY PATEL            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                         | ADJUDICATION ORDER NO. ORDER/BM/GN/2022-23/20892-20899 | 24-08-2023 |
| AAACA4781J | BONANZA INDUSTRIES LIMITED    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                         | ADJUDICATION ORDER NO. ORDER/BM/GN/2022-23/20892-20899 | 24-08-2023 |
| BJAPK7820G | SHRI KOTA SUNIL SHANKARBHAI   | UNDER SECTION 11(1), 11(40 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF UNREGISTERED INVESTMENT ADVISORY BY GOWTHAM S AND KOTA SUNIL SHANKARBHAI                                            | WTM/SM/SRO/SRO/26975/2023-24                           | 29-08-2023 |
| AAACC6370Q | CAVALIER SECURITIES LTD       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                         | ADJUDICATION ORDER NO. PG/AO- 57/2010                  | 01-09-2023 |
| AZGPS4457A | JITENDRA KUMAR SHARMA         | UNDER SECTIONS 11 (1), 11(4), 11A AND 1111 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 28 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 | WTM/RKA/EFD/133/2016                                   | 04-09-2023 |
| AAACF8795N | FAIRWEALTH SECURITIES LIMITED | UNDER REGULATION 27 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008 IN RESPECT OF FAIRWEALTH SECURITIES LIMITED, A REGISTERED INTERMEDIARY OF SEBI                                         | WTM/ASB/MIRSD/MIRSD_DPIEA/28314/202 3-24               | 05-09-2023 |

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| BACPS3885C | MR. SYED SADAQ                          | UNDER SECTION 11(1), 11(4) AND 11b OF SECURITIES AND EXCHANGE BOARD OF INDIA, 1992 IN RESPECT OF MCX BIX SOLUTIONS, ITS PROPRIETOR MR. SYED SADAQ (PAN:BACPS3885C).                                                                                                                                                                                                                                                                                                                                                                          | WTM/SR/SEBI/EFD-DRA2/39/07/2017                  | 05-09-2023 |
| AAACW2920N | ANUGRAH STOCK & BROKING PRIVATE LIMITED | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 AND UNDER SECTION 19H OF THE DEPOSITORS ACT, 1996 READ WITH RULE 5 DEPOSITORIES (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 | ADJUDICATION ORDER NO. ORDER/PM/SM/2020-21/10794 | 05-09-2023 |
| AADHC6879C | CHETAN MANWANI HUF                      | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                                                                                            | OUTWARD NO.39787/1/2022                          | 05-09-2023 |
| AAECP7154K | PARASMANI TRADELINK PRIVATE LIMITED     | ADJUDICATION PROCEEDINGS IN RESPECT OF PARASMANI TRADELINK PRIVATE LIMITED(PAN:AAECP7154K) IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE: SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                                                                                                                                                                                                                                                               | SEBI/HO/CFID/CFID_4/P/OW/2021/21110/1            | 05-09-2023 |
| AAJHA7611L | ATUL TANNA HUF                          | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                                                                                            | OUTWARD NO.44082/1/2022                          | 05-09-2023 |

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| AABCS5855M | SOLID CARBIDE TOOLS LIMITED           | UNDER SECTION 19 H (1) OF THE DEPOSITORIES ACT, 1996, READ WITH RULE 5 OF DEPOSITORIES (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005                                                                                                                                            | ADJUDICATION ORDER NO. PB/AO-69/2010     | 05-09-2023 |
| AGAPG2976K | VINTI GUPTA                           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                            | EAD6/AK/AJ/31470/1/2023                  | 11-09-2023 |
| ABUPG9329D | MADHU GUPTA                           | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT BSE                                                                                                                                                  | MAIL RECEIVED FROM SEBI AS ON 04-10-2022 | 18-09-2023 |
| AAECR3716R | RAGHUKUL SHARES INDIA PRIVATE LIMITED | UNDER SECTION 12(3) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 27 OF SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATION, 2008                                                                                                                                                  | WTM/ASB/MIRSD/MIRSD-SEC- 4/28839/2023-24 | 21-09-2023 |
| AABCV4377P | FICUS COMMODITIES PRIVATE LIMITED     | SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF THE SEBI (INTERMEDIARIES REGULATIONS, 2008 IN RESPECT OF ENQUIRY                                                                                                                                                                                                                 | SEBI/HO/EFD1/DRA3/P/OW/2022/52051/1      | 27-09-2023 |
| AJIPR8427K | MR. RAJ KUMAR RAGHAV                  | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999 AND REGULATION 4(2) (T) OF THE SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/PS/75/CIS-NRO/LKO/OCT/2015           | 27-09-2023 |
| ACLF55789F | SBS INVESTMENTS                       | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF SBS INVESTMENTS                                                                                                                                                                                                    | WTM/MPB/EFD-1-DRA-IV/117/2018            | 27-09-2023 |

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| AAMCS4236M | SILICON FIRST REALTORS PVT. LTD.   | SHOW CAUSE NOTICE UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1), 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995, FOR VIOLATIONS OF SEBI (SUBSTANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 1997/2011 | SEBI/HO/TVD/ID3/P/OW/2021/24408/1                                 | 27-09-2023 |
| AADCD1856D | DARSHANA EXPORTS PRIVATE LIMITED   | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                             | ADJUDICATION ORDER NO. ORDER/BM/DS/2022-23/17525-17534            | 27-09-2023 |
| AGVPK5838R | ABHISHEK KHARE                     | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                          | ADJUDICATION ORDER NO. IVD/WOL-AK/AODRK/AS/EAD3/200-2009/103-2010 | 28-09-2023 |
| AABCC5031H | CHP FINANCE PVT LTD.               | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                             | ADJUDICATION ORDER NO. ORDER/BM/DS/2022-23/17525-17534            | 04-10-2023 |
| AAECR4581N | ROYAL THEME PRODUCTS INDIA PVT LTD | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                             | ADJUDICATION ORDER NO. ORDER/BM/DS/2022-23/17525-17534            | 04-10-2023 |
| AEOPM6302D | SAMARJIT MONDALO                   | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                      | WTM/PS/136/ERO/JAN/2016                                           | 09-10-2023 |
| CEBPS5607E | RITESH K SHRIVASTAV                | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF THE SEBI (COLLECTIVE INVESTMENT SCHEMES) REGULATIONS, 1999,                                                                                                                                                                 | WTM/PS/48/CIS/NRO/NOV/2014                                        | 09-10-2023 |
| AAFHM3032H | MANOJ PATNI HUF                    | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                  | SEBI/EAD5/AA/43021                                                | 09-10-2023 |

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| AABCG8309G | GRASS ROOT FINANCE & INVESTMENT COMPANY (INDIA) LTD.                                  | UNDER SECTIONS 11 AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF INTERIM ORDER CUM SHOW CAUSE NOTICE DATED OCTOBER 18, 2017 IN THE MATTER OF GRASS ROOT FINANCE & INVESTMENT COMPANY (INDIA) LTD. | WTM/AB/EFD-1/DRA-3/09/2018-19               | 09-10-2023 |
| AAHCS2210C | SAAMYA BIOTECH INDIA LIMITED                                                          | ADJUDICATION ORDER DATED JUNE 28, 2019 IN THE MATTER OF SCORES COMPLAINT AGAINST SAAMYA BIOTECH INDIA LIMITED                                                                                                                | ADJUDICATION ORDER:ORDER/MC/VS/2019-20/3517 | 10-10-2023 |
| AABCD1032B | M/S RAAVEE MERCHANDISERS PRIVATE LIMITED (EARLIER KNOWN AS M/S BIMEX EXPORTS P LTD)   | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                       | ADJUDICATION ORDER No. VSS/AO- 98/2009      | 12-10-2023 |
| AABCD1032B | M/S RAAVEE MERCHANDISERS PRIVATE LIMITED (EARLIER KNOWN AS M/S BIMEX EXPORTS P LTD)   | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                       | ADJUDICATION ORDER No. SD/AO/140/2009       | 12-10-2023 |
| AABCB1128L | M/S. BUBNA STOCK BROKING SERVICES LTD. (NOW KNOWN AS SUNBRIGHT STOCK BROKING LIMITED) | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                       | ADJUDICATION ORDER No. BM/AO-3/2011         | 12-10-2023 |
| AEKPA8540F | M/S R FOUNDRY AND SHRI RAJENDRA AGGARWAL                                              | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                       | ADJUDICATION ORDER No. PKB/AO- 50/2010      | 12-10-2023 |
| AAMHP8284R | PARAMJIT SINGH & SONS HUF                                                             | SHOW CAUSE NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                            | EAD5/AA/PR/2022/44935                       | 13-10-2023 |
| ADSPN9721A | DEEPAK NARVEKAR                                                                       | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                       | ADJUDICATION ORDER NO. SD/AO/44/2009        | 16-10-2023 |

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| AVOPS4111P | AJIT SURYAVANSHI                         | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                  | ADJUDICATION ORDER NO. SD/AO/49/2009                        | 16-10-2023 |
| AATCS8589E | SATYALAXMI VINIMAY PVT LTD               | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                  | ADJUDICATION ORDER NO:AO/SBM/EAD-3/80/2017                  | 16-10-2023 |
| ANYPP1513A | ZALAK PURVESH PARIKH                     | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                  | ADJUDICATION ORDER REF. NO. ORDER/NH/RJ/2023-24/29108-29111 | 17-10-2023 |
| AACFM6761L | MOREPLUS MERCHANTS PRIVATE LIMITED       | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                  | ADJUDICATION ORDER NO. ORDER/BM/DS/2022-23/22551-22580      | 19-10-2023 |
| AJZPL1369K | DHARMENDRA KUMAR                         | UNDER REGULATION 26 OF SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008 IN RESPECT OF FSTAR INDIA MARKET RESEARCH                                                                                                                                              | ENQUIRY REPORT NO:ENQ/AK/AS/2023-24/28871                   | 20-10-2023 |
| EZSPB9777C | JITENDRA BHARBHUJA                       | SHOW CAUSE NOTICE UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1) AND 11B(2) READ WITH SECTION 15HA, SECTION 15HB AND SECTION 15EB OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 4(1) OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995. | SEBI/WRO/ILO/AK/OW/P/39537/2023                             | 25-10-2023 |
| ADEPD0040N | RABINDRA NATH DEY                        | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                  | ADJUDICATION ORDER NO. EAD-7/BJD/BKM/2018-19/1472-1475      | 25-10-2023 |
| AACCC2960N | CONSOLIDATED MERCANTILES PRIVATE LIMITED | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                  | ADJUDICATION ORDER NO. ORDER/AK/AJ/2023-24/29120            | 01-11-2023 |

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| AECFS8917E | SHIV MARKETING AND TRADING       | SECTION 12A (a), (b), AND (c) SEBI ACT, 1992 R/W REGULATION 3 (a), (b), (c), (d), 4(1), 4(2) (a) & (e) OF SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATION 2003.                                                       | EAD-8/SKV/VC/28876/2023                                | 01-11-2023 |
| AASFV6757F | VISHWAKARMA TRADING HOUSE        | SECTION 12A (a), (b), AND (c) SEBI ACT, 1992 R/W REGULATION 3 (a), (b), (c), (d), 4(1), 4(2) (a) & (e) OF SEBI (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATION 2003.                                                       | EAD-8/SKV/VC/28878/2023                                | 01-11-2023 |
| AIDPB1831B | RANA BHADRA                      | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                     | ADJUDICATION ORDER NO. EAD-7/BJD/BKM/2018-19/1472-1475 | 01-11-2023 |
| AAFPA1252P | SHIV KUMAR AGARWAL               | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF MOONGIPA INVESTMENTS LIMITED                                                                                                                                  | WTM/AB/EFD-1/DRA-2/19/2018-19                          | 03-11-2023 |
| AAFCA5165L | ADDLIFE PHARMA LIMITED           | UNDER SECTION 19H(1) OF DEPOSITORIES ACT, 1996, READ WITH RULE 5 OF DEPOSITORIES (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005                                                                                                | ADJUDICATION ORDER NO. PB/AO-39/2010                   | 16-11-2023 |
| AADCM7640L | MODEX COMMODITY TRADES PVT. LTD. | UNDER SECTION 12(3) AND SECTION 19 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 27 OF SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATION, 2008                                                                                 | QJA/SVMDR/MIRSD/29692/2023-24                          | 16-11-2023 |
| AWXPA3588J | MS. NAGMA HUSAIN AHMED ANSARI    | UNDER SECTIONS 11(1), 11(4)(b) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECURITIES AND EXCHANGE BOARD OF INDIA (INVESTMENT ADISER) REGULATIONS, 2013 AND THE SECURITIES AND EXCHANGE BOARD OF INDIA (RESEARCH ANALYST) REGULATIONS, 2014. | WTM/MPB/SEBI/EFD-DRA4/108/2017                         | 20-11-2023 |

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| ACTPN3464G | SANTOSH NARVEKAR            | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING (OFFICER) RULES, 1995                   | ADJUDICATION ORDER NO. SD/AO/50/2009    | 20-11-2023 |
| ALTPP0349K | VIVEKANAND PATANKAR         | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING (OFFICER) RULES, 1995                   | ADJUDICATION ORDER NO. SD/AO/28/2009    | 20-11-2023 |
| ADKPM7260M | YUGANDHAR MEKA              | UNDER SECTIONS 11(1), 11(4), 11B(1) AND 11B(2) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 IN THE MATTER OF KARVY STOCK BROKING LIMITED | WTM/SM/MIRSD/MIRSD-SEC-4/26042/2023- 24 | 28-11-2023 |
| AVRPT3394C | DINESH AVADHESHSINGH THAKUR | INVESTIGATION INTO THE TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF CONTINENTAL SEEDS & CHEMICALS LTD (CSCL)                                                                                            |                                         | 01-12-2023 |
| BMCP57297E | RITU RAHUL MEHTA            | INVESTIGATION INTO THE TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF CONTINENTAL SEEDS & CHEMICALS LTD (CSCL)                                                                                            |                                         | 01-12-2023 |
| AXIPY0954G | ANURUDHKUMAR BARELAL YADAV  | INVESTIGATION INTO THE TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF CONTINENTAL SEEDS & CHEMICALS LTD (CSCL)                                                                                            |                                         | 01-12-2023 |
| BYNPP4009C | KEYUR VINODCHANDRA PARMAR   | INVESTIGATION INTO THE TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF CONTINENTAL SEEDS & CHEMICALS LTD (CSCL)                                                                                            |                                         | 01-12-2023 |
| AUUPY6312L | SHIBAKUMAR MODHAUSINH TYAGI | INVESTIGATION INTO THE TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF CONTINENTAL SEEDS & CHEMICALS LTD (CSCL)                                                                                            |                                         | 01-12-2023 |
| CJHPS9562H | ANAND H SONI                | INVESTIGATION INTO THE TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF CONTINENTAL SEEDS & CHEMICALS LTD (CSCL)                                                                                            |                                         | 01-12-2023 |

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| BWGPG2510J | DHAVAL VINODBHAIGADANI            | INVESTIGATION INTO THE TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF CONTINENTAL SEEDS & CHEMICALS LTD (CSCL)                                                                                                                                                                                                          |                                                                                      | 01-12-2023 |
| BKQPS3900Q | SHARDA SHARMA                     | INVESTIGATION INTO THE TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF CONTINENTAL SEEDS & CHEMICALS LTD (CSCL)                                                                                                                                                                                                          |                                                                                      | 01-12-2023 |
| AAICA5378C | AAGAS SOFTWARE SOLUTIONS PVT. LTD | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS(REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 04-12-2023 |
| AACCK7144E | KATASHRAJ SECURITIES PVT. LTD.    | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS(REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 04-12-2023 |
| AAHCC0112H | CHAHEK HOUSING PVT. LTD.          | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS(REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 04-12-2023 |

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| AAGPC7158P | YOGESH BHOGILAL CHAUHAN    | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENAL TIES BY ADJUDICATING OFFICER} RULES.1896 ("SEBI AO RULES") | EAD-12/ AO/SM/57-72/2017       | 07-12-2023 |
| AYAPS0436L | SHRI BABLU SAHA            | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                            | WTM/PS/176/ERO/MAR/2016        | 07-12-2023 |
| ATFPB1416M | MR. ANIRUDHHA BHATTACHARYA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                               | WTM/PS/14/IMD-ERO/APR/2016     | 07-12-2023 |
| ATFPB1416M | MR. ANIRUDHHA BHATTACHARYA | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/53/2017   | 07-12-2023 |
| AZFPB1929H | SANKAR BHATTACHARYA        | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF -                                                                                                                                             | WTM/GM/94/2018-19              | 07-12-2023 |
| AFAPA9440H | RAJESH KUMAR AGARWAL       | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH THE SEBI (ISSUE AND LISTING OF DEBT SECURITIES) REGULATIONS, 2008 AND SEBI (DEBENTURE TRUSTEES) REGULATIONS, 1993                                | WTM/PS/160/IMD/ERO/FEB/2016    | 07-12-2023 |
| ACDPR4876J | PRANAB KUMAR ROY           | UNDER SECTION 11,11(4),11A AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                      | WTM/GM/EFD/48/2017-18          | 07-12-2023 |
| AKOPJ0216B | PRAMOD KUMAR JAISWAL       | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                               | WTM/MPB/EFD-1-DRA-IV/65/2017   | 07-12-2023 |
| COLPS0476M | PANKAJ SETH                | UNDER SECTIONS 11 (1 ), 11 (4), 11 B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                | WTM/MB/IMD/DOF-1/10676/2020-21 | 07-12-2023 |
| AGSPG3778K | MR. SAURABH GUPTA          | UNDER SECTIONS 11(1), 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 107 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (ISSUE OF CAPITAL AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2009 IN RESPECT OF:     | WTM/RKA/EFD/123/2016           | 07-12-2023 |

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| AMEPS2466G | DEEPAK RANJAN SAMANT                     | UNDER SECTIONS 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN RESPECT OF:                                                                                                                                                                                                                     | WTM/RKA/EFD/141/2016                                                                 | 07-12-2023 |
| ALJPD7750L | BHAKTAPRASAD DAS                         | UNDER SECTIONS 11(1), 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF -                                                                                                                                                                                                                  | WTM/GM/SEBI/ERO/IM D/23/JUNE/2017                                                    | 07-12-2023 |
| AAKCM6309D | M/S MINANCE TECHNOLOGIES PRIVATE LIMITED | UNDER SECTIONS 11(1), 11(4), 11B AND 11D OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                     | WTM/AB/SRO/SRO/1653 9/2022-23                                                        | 07-12-2023 |
| AAACF8795N | FAIRWEALTH SECURITIES LTD.               | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 08-12-2023 |
| AFUPG9615E | DHIRENDER GABA                           | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 08-12-2023 |
| AAEPG8929N | NAVEEN GABA                              | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 08-12-2023 |

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| AETPJ4553L | SANDEEP JINDAL                         | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS(REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 08-12-2023 |
| AACCR2424A | REETS PLASTICS PVT. LTD.               | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS(REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 08-12-2023 |
| AAACS4473Q | FAIRWEALTH FINANCIAL SERVICES LTD.     | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS(REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 08-12-2023 |
| AABCF0079J | FAIRWEALTH COMMODITY BROKING PVT. LTD. | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS(REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 08-12-2023 |

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| AROPK2904N | VIKRAM KUMAR                             | UNDER 11(1), 11(4) AND 11B, 11B(2), 11D PF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 12A(1) AND 12A(2) OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 23D AND SECTION 23H OF SECURITIES CONTRACTS(REGULATION) ACT, 1956 READ WITH REGULATION 35 OF SEBI (INTERMEDIARIES) REGULATIONS, 2008 | WTM/ASB/MIRSD/MIRSD_DPIEA/27868/202 3-24<br>WTM/ASB/MIRSD/MIRSD_DPIEA/27869/202 3-24 | 08-12-2023 |
| AACCK8267C | KALYANI AND KALYANI DEVELOPERS INDIA LTD | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                                                                                                             | WTM/AB/SEBI/10/2020-21                                                               | 13-12-2023 |
| AJMPD9925C | BAMAN CHARANA DAS                        | UNDER SECTIONS 11(1), 11(4), 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992                                                                                                                                                                                                                                             | WTM/AB/SEBI/10/2020-21                                                               | 13-12-2023 |
| AGCPM6239M | ABHISHEK MEHTA                           | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                          | ADJUDICATION ORDER NO. EAD/SR/SM/AO/91/2018-19/1963                                  | 13-12-2023 |
| AAACM2862M | EXELON INFRASTRUCTURE LIMITED            | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                          | ADJUDICATION ORDER NO. EAD/BJD/VS/24-33/2017-18                                      | 14-12-2023 |
| ACQPM0876L | SRINIVAS RAO MARUPUDI                    | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                          | ADJUDICATION ORDER NO. EAD/BJD/VS/24-33/2017-18                                      | 20-12-2023 |
| BCDPM3124P | SRINIVAS RAO MARUPUDI                    | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                          | ADJUDICATION ORDER NO. EAD/BJD/VS/24-33/2017-18                                      | 20-12-2023 |
| ACIPM3240J | MADHU MOHAN REDDY                        | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                          | ADJUDICATION ORDER NO. AO/JS/VRP/29-30/2017                                          | 20-12-2023 |

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| AABCG6112D | GUJARAT MEDITECH LTD          | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961 | CERTIFICATE<br>NO.RC3517/2021 | 21-12-2023 |
| AABCM2777L | MODERN CEMENT INDUSTRIES LTD. | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961 | CERTIFICATE<br>NO.RC3770/2021 | 21-12-2023 |
| AELPS4797P | NAIMISH K. SHAH               | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961 | CERTIFICATE<br>NO.RC4282/2021 | 21-12-2023 |
| AQBPP0893P | RAJENDRA PATHAK               | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT/SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF DEPOSITORIES ACT, 1996               | CERTIFICATE<br>NO.RC5285/2022 | 21-12-2023 |

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| AWSP9675Q  | KARAN ENTERPRISE                     | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT/SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF DEPOSITORIES ACT, 1996 | CERTIFICATE NO.RC5793/2022 | 21-12-2023 |
| AFFPM6604L | SURAJ TRADING CORPORATION            | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT/SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF DEPOSITORIES ACT, 1996 | CERTIFICATE NO.RC5796/2022 | 21-12-2023 |
| ASOPP2722N | SHREE GANESH ENGINEERING CORPORATION | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT/SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF DEPOSITORIES ACT, 1996 | CERTIFICATE NO.RC5797/2022 | 21-12-2023 |
| AQSP97982N | SHREEJI MACHINE TOOLS                | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT/SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF DEPOSITORIES ACT, 1996 | CERTIFICATE NO.RC5798/2022 | 21-12-2023 |

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| APTPP6092D | M/S. OM ASSOCIATES                                               | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT/SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF DEPOSITORIES ACT, 1996 | CERTIFICATE NO.RC6066/2022              | 21-12-2023 |
| AACCH8077M | HIGHBROW MARKET RESEARCH PVT. LTD ,                              | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | CERTIFICATE NO.RC6925/2023              | 21-12-2023 |
| DTUPM2592D | MERIDIAN CAPITAL RESEARCH PROPRIETOR RUPESHBHAI BABUBHAI MARVADI | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                               | CERTIFICATE NO.RC7130/2023              | 21-12-2023 |
| ECYPK7182R | MS. PINKY KELVA                                                  | UNDER SECTION 12(3) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATIONS 27 AND 35 OF SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008                                                                         | WTM/AN/WRO/WRO/29772/2023-24            | 21-12-2023 |
| BYNPP4009C | KEYUR VINODCHANDRA PARMAR                                        | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED (NON-UPDATION OF KYC, INACTIVE)                                                                                                                             | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| DZEPS8946B | REKHABEN SAKARIYA                                                | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED (NON-UPDATION OF KYC, INACTIVE)                                                                                                                             | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| BMCP57297E | RITU RAHUL MEHTA                                                 | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED (NON-UPDATION OF KYC, INACTIVE)                                                                                                                             | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| BSVPC7326K | VIJAY CHAUHAN                                                    | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED (NON-UPDATION OF KYC, INACTIVE)                                                                                                                             | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |

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| BWGPG2510J | DHAVAL GADANI                 | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| GBYPS3750L | DURGESHKUMAR KALIDAS SATHVARA | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| CSMPM5079H | AMIT MAKWANA                  | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| CCJPM9654D | SALEJ MAKWANA                 | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| BOPPV1278D | JAYESH VAGHELA                | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| AXIPY0954G | ANURUDHKUMAR BARELAL YADAV    | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| ADGPV6374B | NAYANBHAI SHIVSHANKAR VYAS    | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| CJIPP3064Q | VIPUL BHARATBHAI PITHADIA     | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| ANTPP1230H | AMITKUMAR NAVINCHANDRA PATEL  | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| DDDPM8675Q | JITENDRABHAI MADHAVLAL MISTRI | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE) | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |

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| COPPP4646J | AKSHAY PARMAR                    | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE)                                                                                                                                            | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| CLYPP2035H | KAMLESHKUMAR BIPINCHANDRA PARMAR | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE)                                                                                                                                            | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| BKQPS3900Q | SHARDA SHARMA                    | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE)                                                                                                                                            | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| BDHPS5040K | HARI GOPAL SHARMA                | INVESTIGATION IN TRADING ACTIVITIES OF CERTAIN ENTITIES IN THE SCRIP OF KAVIT INDUSTRIES LIMITED(NON-UPDATION OF KYC, INACTIVE)                                                                                                                                            | SEBI/HO/IVD/ID8/JL/PH/OW/P/2023/49577/2 | 21-12-2023 |
| AQBPC1558Q | PRITI JAYAKARBHAI CHRISTIAN      | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961 | CERTIFICATE NO.RC3687/2021              | 28-12-2023 |
| ABRPG0167E | ANOOP KUMAR GARG                 | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961 | CERTIFICATE NO.RC4142/2021              | 28-12-2023 |
| AAACR9384B | RFL INTERNATIONAL LIMITED        | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                             | CERTIFICATE NO.RC6453/2023              | 28-12-2023 |

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| AAQFA3264Q | AASHISH DEVELOPER                                   | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                            | CERTIFICATE NO.RC6973/2023         | 28-12-2023 |
| BBZPK6473J | GLOBAL PORTFOLIO MANAGEMENT (PROPRIETOR IMRAN KHAN) | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                            | CERTIFICATE NO.RC7174/2023         | 28-12-2023 |
| AADCS3116P | M/S BLAZON MARBLES LTD                              | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4261/2021         | 28-12-2023 |
| ALPRB9295L | MR. BHAVIK SATISH BADANI                            | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4261/2021         | 28-12-2023 |
| ABJPS8612E | MR. MANSUKH SANGHVI                                 | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4261/2021         | 28-12-2023 |
| AABCP9030F | PARSOLI CORPORATION LIMITED                         | SHOW CAUSE NOTICE UNDER SECTION 11B(1) AND SECTION 11B(2) READ WITH SECTION 15HB OF THE SEBI ACT, 1992 IN THE MATTER OF PARSOLI CORPORATION LIMITED                                                                                                                       | SEBI/HO/CFD/CFD-SEC-1/P/OW/05300/1 | 29-12-2023 |

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| AADCG0853B | GARIMA REAL ESTATE & ALLIED LIMITED        | UNDER SECTION 15 - I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                            | ADJUDICATION ORDER NO: ORDER/SM/SM/2019-20/7197-7203 | 02-01-2024 |
| BNXPS1496L | BIJENDRA PAL SINGH                         | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC3357/2021                           | 02-01-2024 |
| AVQPK4359M | SHIVRAM KUSHWAH                            | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC3357/2021                           | 02-01-2024 |
| AVQPK4360A | BALKISHAN KUSHWAH                          | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC3357/2021                           | 02-01-2024 |
| AANCS7178R | SAI PRAKASH PROPERTIES DEVELOPMENT LIMITED | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4185/2021                           | 02-01-2024 |

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| AXMPB0165C | DHEERENDRA KRISHAN PRATAP                  | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4216/2021 | 02-01-2024 |
| BKJPB6325H | MRAGENDRA SINGH BAGHEL                     | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4217/2021 | 02-01-2024 |
| ATTPB8254D | RANVIJAY PRATAP SINGH BAGHEL               | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4226/2021 | 02-01-2024 |
| ATTPB8244M | SHAHENDRA SINGH BAGHEL                     | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4227/2021 | 02-01-2024 |
| AANCS7178R | SAI PRAKASH PROPERTIES DEVELOPMENT LIMITED | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4228/2021 | 02-01-2024 |

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| ATTPB8244M | SHAHENDRA SINGH BAGHEL                              | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4228/2021 | 02-01-2024 |
| ATTPB8254D | RANVAJAY PRATAP SINGH BAGHEL                        | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4228/2021 | 02-01-2024 |
| BKJPB6325H | MRAGENDRA SINGH BAGHEL                              | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4228/2021 | 02-01-2024 |
| AXMPB0165C | DHEERENDRA KRISHAN PRATAP                           | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4228/2021 | 02-01-2024 |
| AAMCS4086P | SHRI RAM REAL ESTATE AND BUSINESS SOLUTIONS LIMITED | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4402/2021 | 02-01-2024 |

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| AMQPP8230M | BABLOO PRAJAPATI             | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4402/2021 | 02-01-2024 |
| BXYPM8890C | GOPAL MEENA                  | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4402/2021 | 02-01-2024 |
| BXMPS0718K | VIJAY SINGH                  | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4402/2021 | 02-01-2024 |
| AAECA1954G | SMS TECHSOFT (INDIA) LIMITED | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF DEPOSITORIES ACT, 1996    | CERTIFICATE<br>No.RC4522/2022 | 02-01-2024 |
| AAECA1954G | SMS TECHSOFT (INDIA) LIMITED | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF DEPOSITORIES ACT, 1996    | CERTIFICATE<br>No.RC4562/2022 | 02-01-2024 |

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| AAFCP3908E | PRAGYA DIARIES AND AGRO LIMITED | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961                                                                                                                                                   | CERTIFICATE No.RC4800/2022                           | 02-01-2024 |
| AVBPP1293Q | POOJA PATIDAR                   | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961                                                                                                                                                   | CERTIFICATE No.RC4800/2022                           | 02-01-2024 |
| AHEPG5644F | ANUJ GARG                       | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956                                        | CERTIFICATE NO.7153 OF 2023                          | 03-01-2024 |
| AAACC3235A | CPR CAPITAL SERVICES LTD        | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956                                        | CERTIFICATE NO.7156 OF 2023                          | 03-01-2024 |
| AAGPF1976L | BANWARI LAL KUSHWAH             | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT. 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1996                                               | ADJUDICATION ORDER NO: ORDER/SM/SM/2019-20/7197-7203 | 08-01-2024 |
| AAGPF1976L | BANWARI LAL KUSHWAH             | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC3357/2021                           | 08-01-2024 |

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| ACAPL9691A | BANABARILAL LODHI        | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC3357/2021 | 08-01-2024 |
| AFZPB0624B | PUSHPENDRA SINGH BAGHEL  | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4228/2021 | 08-01-2024 |
| AFZPB0557M | PUSHPANJALI SINGH BAGHEL | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4228/2021 | 08-01-2024 |
| AFCPD1730M | SUBHASH DESHMUKH         | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4402/2021 | 08-01-2024 |
| ALCPP9159L | SOHAN KUMAR PATEL        | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE<br>No.RC4402/2021 | 08-01-2024 |

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| CNHPS3845M | BHUVNESHWAR PRASAD SAHU     | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC4402/2021                       | 08-01-2024 |
| BTUPP0108C | PUNAM CHAND PATIDAR         | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961                                                                                                                                                   | CERTIFICATE No.RC4800/2022                       | 08-01-2024 |
| AJWPP3490J | NANA LAL PATIDAR            | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961                                                                                                                                                   | CERTIFICATE No.RC4800/2022                       | 08-01-2024 |
| APJPP6921M | DURGA PATIDAR               | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961                                                                                                                                                   | CERTIFICATE No.RC4800/2022                       | 08-01-2024 |
| AFFPA4197L | ANSAR AHMED                 | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961                                                                                                                                                   | CERTIFICATE No.RC4800/2022                       | 08-01-2024 |
| AVTPT6188Q | SHRI. AMARJEET SINGH TREHAN | UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1), 11B(2) AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 4(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                  | QJA/SVMDR/WRO/WRO/29848/2023-2                   | 09-01-2024 |
| AAOPZ1502G | AMBER ZAIDI                 | SHOW CAUSE NOTICE UNDER SECTION 11B(1) AND 11B(2) READ WITH SECTION 15HB OF THE SEBI ACT, 1992 IN THE MATTER IF PARSOLI CORPORATION LIMITED                                                                                                                               | SEBI/HO/CFD/CFD-SEC-1/P/OW/05300/5               | 15-01-2024 |
| ACQPS5375Q | SUNITA SHAH                 | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                    | ADJUDICATING ORDER NO-ASK/RGA/AO/176-185/2014-15 | 17-01-2024 |

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| ABTFS0353F | SHREE SHAGUN FINANCIAL SERVICES       | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                | ADJUDICATING ORDER NO- ORDER/GR/AE/2019-20/5335-5350   | 17-01-2024 |
| AAMCM7283L | MARKAB INDIA SPV PRIVATE LIMITED      | FINAL ORDER UNDER SECTION 11(1), 11(2)(H), 11(4), 11B(1) AND 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 32 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA(SUBSATANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 2011 | QJA/VS/CFD/CFD-SEC-3/23792/2022-23                     | 18-01-2024 |
| ALEPN1421F | NAZEER AZAM SULTHAN                   | FINAL ORDER UNDER SECTION 11(1), 11(2)(H), 11(4), 11B(1) AND 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 32 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA(SUBSATANTIAL ACQUISITION OF SHARES AND TAKEOVERS) REGULATIONS, 2011 | QJA/VS/CFD/CFD-SEC-3/23792/2022-23                     | 18-01-2024 |
| ALWPS7673Q | PRATIK RAMESHCHANDRA SHAH             | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                        | CERTIFICATE NO.1202 OF 2017                            | 23-01-2024 |
| AAQCS6937F | SMART INFRAPROPERTIES PRIVATE LIMITED | NOTICE FOR SUMMARY SETTLEMENT IN THE MATTER OF CRESSANDA SOLUTIONS LIMITED                                                                                                                                                                                            | SEBI/HO/CFD/SEC-1/OW/P/2023/32884/1                    | 23-01-2024 |
| AADPJ5102D | PRAVEEN KUMAR JAIN                    | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                | ADJUDICATION ORDER NO. PM/NR/2020-21/10421             | 24-01-2024 |
| ADGPV0696L | CHIRANJILAL VYAS                      | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                | ADJUDICATION ORDER NO. ORDER/BM/JR/2023-24/29259-29263 | 24-01-2024 |

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| AISPR2737D | NARENDRA KUMAR RATHORE                         | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER NO. PM/NR/2020-21/9088              | 24-01-2024 |
| AADCM7110M | MAHANIVESH STOCK AND SHARES PVT. LTD.          | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER NO. RA/JP/112/2017                  | 24-01-2024 |
| AERPC7192L | JAYWANT CHAVAN                                 | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER NO. EAD/PM-RR/AO/2019-20/4682-4722  | 24-01-2024 |
| ACQPS5387Q | SHRENIK SHAH                                   | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                   | ADJUDICATING ORDER NO-ASK/RGA/AO/176-185/2014-15       | 24-01-2024 |
| AAACB1655R | H BHAVESH SECURITIES AND COMMODITIES PVT. LTD. | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                   | ADJUDICATING ORDER NO-ORDER/GR/AE/2019-20/5335-5350    | 24-01-2024 |
| ACQPM0876L | SRINIVAS RAO MARUPUDI                          | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO-EAD-7/BJD/NJMR/2018-19/1979-2006 | 24-01-2024 |
| BCDPM3124P | SRINIVAS RAO MARUPUDI                          | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO-EAD-7/BJD/NJMR/2018-19/1979-2006 | 24-01-2024 |

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| AAACZ2996D | ZOLTON PROPERTIES PRIVATE LIMITED                 | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | EAD-4/ADJ/GR/HK/OW/P/2133 2/2/2022 | 29-01-2024 |
| AODPA6026K | ARVIND PODDAR                                     | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                             | CERTIFICATE No.6728 OF 2023        | 29-01-2024 |
| AIXPG2195F | CHANDAN GUPTA                                     | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                             | CERTIFICATE No.6730 OF 2023        | 29-01-2024 |
| AADCK9238Q | KING POWER INDUSTRIES PRIVATE LIMITED             | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                             | CERTIFICATE No.6782 OF 2023        | 29-01-2024 |
| AAEPG8328D | SALASAR TRADING CO. (PROPRIETOR MANOJ KUMAR GARG) | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                             | CERTIFICATE No.6911 OF 2023        | 29-01-2024 |
| AANFV4919L | VIMUK ENTERPRISES                                 | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                             | CERTIFICATE No.6916 OF 2023        | 29-01-2024 |
| ASUPC0179N | MR. SANJAY MADANLAL CHOUHAN                       | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                             | CERTIFICATE No.2726 OF 2020        | 29-01-2024 |

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| AAACI8851P | I360 STAFFING AND TRAINING SOLUTION PVT. LTD. | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                         | CERTIFICATE No.7164 OF 2023                            | 29-01-2024 |
| ABTFS0353F | SHREE SHAGUN FINANCIAL SERVICES               | IN RESPECT OF SEBI ORDER DATED JANUARY 31, 2019 AND HON'BLE SECURITIES APPELLATE TRIBUNAL ORDER DATED MARCH 04, 2020 IN THE MATTER OF POLYTEX INDIA LIMITED, GEMSTONE INVESTMENTS LIMITED AND KGN ENTERPRISES LIMITED. | WTM/GM/EFD/22/2020-21                                  | 30-01-2024 |
| CLAPK2809N | SAGAR KADAM                                   | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                 | ADJUDICATING ORDER NO: ORDER/PM/GD/2022-23/16720-16739 | 02-02-2024 |
| AFAPB7100D | DHARMENDRA HARILAL BHOJAK                     | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                 | ADJUDICATING ORDER NO: ORDER/PM/GD/2022-23/16720-16739 | 02-02-2024 |
| AAJCS1526R | SHUBHANG EXPORTS LTD                          | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                         | CERTIFICATE No.6665 OF 2023                            | 02-02-2024 |
| AACCT8158M | TORUS BUILDCON PRIVATE LIMITED                | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                         | CERTIFICATE No.6697 OF 2023                            | 02-02-2024 |
| AACCT7439H | TIGER DEVELOPERS PRIVATE LIMITED              | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                             | EAD-4/ADJ/GR/HK/OW/P/21332/1/2022                      | 02-02-2024 |

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| AALCS1157L | SAUBHAGYA BUILDCON PRIVATE LIMITED   | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE No.6700 OF 2023 | 02-02-2024 |
| AIAPG7306B | RUCHIKA GOEL                         | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 | CERTIFICATE No.6707 OF 2023 | 02-02-2024 |
| ADEPG1122G | DEEPAK GOEL                          | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 | CERTIFICATE No.6707 OF 2023 | 02-02-2024 |
| ACTPG7828D | PANKAJ GOEL                          | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 | CERTIFICATE No.6708 OF 2023 | 02-02-2024 |
| AFSPG7531F | MEENU GOEL                           | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 | CERTIFICATE No.6708 OF 2023 | 02-02-2024 |
| AAACT2207P | TRIPOLI INVESTMENT & TRADING COMPANY | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE No.6788 OF 2023 | 02-02-2024 |

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| AAACG0278K | GURUDEV FINANCIAL SERVICES PRIVATE             | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE No.6789 OF 2023 | 02-02-2024 |
| AAACT0545N | TARA ALLOYS LIMITED                            | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE No.6790 OF 2023 | 02-02-2024 |
| AAFCP3549R | PRIUS REAL ESTATE PRIVATE LIMITED              | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE No.6791 OF 2023 | 02-02-2024 |
| AAFCA0211M | SRIDHAM DISTRIBUTORS PRIVATE LIMITED           | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE No.7015 OF 2023 | 02-02-2024 |
| AAECA3909P | AMRAPALI AADYA TRADING & INVESTMENTS PVT. LTD. | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 | CERTIFICATE No.7066 OF 2023 | 02-02-2024 |
| ALEPS6005L | SAJEEV KUMAR SINHA                             | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 | CERTIFICATE No.7066 OF 2023 | 02-02-2024 |

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| AOIPS2038G | AMITA SINHA          | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                    | CERTIFICATE No.7066 OF 2023                         | 02-02-2024 |
| ASUPS6193E | VANDANA SINHA        | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956                                                                                                    | CERTIFICATE No.7066 OF 2023                         | 02-02-2024 |
| AEGPT3607N | GAJENDER KUMAR TYAGI | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                        | CERTIFICATE No.7141 OF 2023                         | 02-02-2024 |
| AGDPG7175M | RAM MOHAN GUPTA      | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                        | CERTIFICATE No.7162 OF 2023                         | 02-02-2024 |
| AMWPM2947A | AMALENDU MUKHERJEE   | UNDER SECTIONS 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND REGULATION 11 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF INSIDER TRADING) REGULATIONS, 1992 READ WITH REGULATION 12 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF INSIDER TRADING) REGULATIONS, 2015. | WTM/MPB/IVD-ID6/120 /2020                           | 05-02-2024 |
| AOPCK3066L | UMARDAN KHARIYA      | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005.                                                                                                                                           | ADJUDICATION ORDER NO.EAD/SR/SM/AO/89/2 018-19/1892 | 08-02-2024 |

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| AAEPT9209L | MG CAPITAL SERVICES LIMITED                 | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                         | CERTIFICATE No.6874 OF 2023                                                                                               | 08-02-2024 |
| AACPR3785K | BHUPESH RATHOD                              | IN RESPECT OF SEBI ORDER DATED JANUARY 31, 2019 AND HON'BLE SECURITIES APPELLATE TRIBUNAL ORDER DATED MARCH 04, 2020 IN THE MATTER OF POLYTEX INDIA LIMITED, GEMSTONE INVESTMENTS LIMITED AND KGN ENTERPRISES LIMITED. | WTM/GM/EFD/22/2020-21                                                                                                     | 15-02-2024 |
| AAJCR2361R | REDDITO CAPITAL INVESTMENT ADVISORS P. LTD. | SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF THE SEBI (INTERMEDIARIES) REGULATIONS, 2008 IN RESPECT OF ENQUIRY CONDUCTED AGAINST REDDITO CAPITAL INVRSTMENT ADVISORS PVT. LTD. (NOTICE)                                 | SEBI/HO/EFD-1-DRA6/P/OW/2023/5879/1<br>SEBI/HO/EFD-1-DRA6/P/OW/2023/33675/1<br>ENQUIRY REPORT NO. ENQ/AS/GD/2022-23/23252 | 22-02-2024 |
| ABBPS2467H | CHETAN YASHWANT SHUKLA                      | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                 | ADJUDICATING ORDER NO. ORDER/GR/PU/2022-23/15951                                                                          | 27-02-2024 |
| AAACZ6848C | ZIMIG TRADING COMPANY PRIVATE LIMITED       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF SECURITES CONTRACTS (REGULATIONS) ACT, 1956                                                                           | ADJUDICATING ORDER NO; ORDER/VV/AS/2022-23/17519-17633                                                                    | 27-02-2024 |
| AAACO2454R | NOVA GOLD PETRO RESOURCES LIMITED           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF SECURITES CONTRACTS (REGULATIONS) ACT, 1956                                                                           | ADJUDICATING ORDER NO; ORDER/VV/AS/2022-23/17519-17633                                                                    | 27-02-2024 |
| AAHCS1332H | STARDOM TRADING COMPANY PVT. LTD            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF SECURITES CONTRACTS (REGULATIONS) ACT, 1956                                                                           | ADJUDICATING ORDER NO; ORDER/VV/AS/2022-23/17519-17633                                                                    | 27-02-2024 |
| BIKPS4962G | SAIRA AMANATALI SHAIKH                      | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                 | ADJUDICATING ORDER NO. PM/NR/2020-21/9598                                                                                 | 27-02-2024 |

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| ACIPG0193J | ARVIND BABULALJI GOYAL      | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATING ORDER NO. ORDER/KS/VC/2019-20/5772-5779   | 27-02-2024 |
| AAECC0841Q | CROMAKEM LIMITED            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGULATIONS) ACT, 1956                          | ADJUDICATING ORDER NO; ORDER/VV/AS/2022-23/17519-17633 | 27-02-2024 |
| AMMPG4969Q | BHAVESH GADHAVI             | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992         | CERTIFICATE NO. 7431 OF 2023                           | 27-02-2024 |
| AAACD1881H | KELVIN FINCAP LTD           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGULATIONS) ACT, 1956                          | ADJUDICATING ORDER NO; ORDER/VV/AS/2022-23/17519-17633 | 28-02-2024 |
| BKXPS1638G | DINANATH SHAMSUNDER         | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATING ORDER NO. ORDER/DS/AY/2022-23/19458-19459 | 29-02-2024 |
| ASAPK9943L | KALPANA KOMATI              | NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15I OF SEBI ACT, 1992                          | EAD-4/ADJ/GR/PU/24766/1/2023                           | 01-03-2024 |
| GWLPS3968A | SILAMKOTI ABILASH           | NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15I OF SEBI ACT, 1992                          | EAD-4/ADJ/GR/PU/24768/1/2023                           | 01-03-2024 |
| ABRPA8654L | SRINIVASAGOPALAN ARA AMUDAN | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO. RA/DPS/101/2017                 | 07-03-2024 |
| DXSPR9776L | SHRI SHUBHAM RAI            | UNDER SECTION 11(1), 11(4) AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                          | WTM/ASB/WRO/WRO/23943/2022-23                          | 12-03-2024 |

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| EDRPR4810K | SHRI RAJESH NATH                                                                                        | UNDER SECTION 11(1), 11(4) AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                      | WTM/ASB/WRO/WRO/23<br>943/2022-23 | 12-03-2024 |
| AAJFC0166C | CAPPROIN FINANCIAL ADVISORY                                                                             | UNDER SECTION 11(1), 11(4) AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                      | WTM/ASB/WRO/WRO/22<br>386/2022-23 | 12-03-2024 |
| CSEPS0815B | MR. RAJINDER SINGH                                                                                      | UNDER SECTION 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES), REGULATIONS, 1999                        | WTM/AB/NRO/NRO/1573<br>1/2021-22  | 12-03-2024 |
| AABCO6972D | RAGHUPATI OVERSEAS PRIVATE LIMITED (NAINADEVI COMMOTRADE PVT. LTD. / ORANGE COMMOTRADE PRIVATE LIMITED) | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE NO. 6930<br>of 2023   | 14-03-2024 |
| AXNPC3713G | PREM CHAND                                                                                              | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 | CERTIFICATE NO. 7418<br>of 2023   | 14-03-2024 |
| AAACV5887D | VITOBA REALTORS PRIVATE LIMITED                                                                         | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE NO. 6831<br>of 2023   | 14-03-2024 |
| CXMPK2057E | SACHIN KUMAR                                                                                            | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE NO. 6843<br>of 2023   | 14-03-2024 |
| ACZFS4147H | SKYNET SOLUTIONS                                                                                        | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                     | CERTIFICATE NO. 6883<br>of 2023   | 14-03-2024 |

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| BOHPC6521A | MS. RAJNANDANI<br>JALKHEDIYA | UNDER SECTION 11(1), 11(4), 11(4A), 11B(1) AND 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF M/S SAFE TRADER (PROPRIETOR: MS. RAJNANDANI JALKHEDIYA)                      | QJA/SVMDR/WRO/WRO/23145/2022-23                        | 18-03-2024 |
| BNTPB7100D | JASMEET KAUR BAGGA           | UNDER SECTION 11(1), 11(4) AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                               | WTM/ASB/WRO/WRO/22386/2022-23                          | 18-03-2024 |
| CPWPP2985J | PRIYANK SHARMA               | UNDER SECTION 11(1), 11(4) AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                               | WTM/ASB/WRO/WRO/22386/2022-23                          | 18-03-2024 |
| ADPPO5693K | MS. VARSHA OSWAL             | UNDER SECTION 11(1), 11(4) AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                               | WTM/AB/WRO/WRO/22737/2022-23                           | 18-03-2024 |
| DNAPP1607Q | MS PRABHA PATEL              | UNDER SECTION 11(1), 11(4) AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                               | WTM/AB/WRO/WRO/22737/2022-23                           | 18-03-2024 |
| CACPS0218L | MS. ARTI SHARMA              | UNDER SECTION 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES), REGULATIONS, 1999 | WTM/AB/NRO/NRO/15731/2021-22                           | 18-03-2024 |
| BESPS6281L | MS. SUDHI SINGH              | UNDER SECTION 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES), REGULATIONS, 1999 | WTM/AB/NRO/NRO/15731/2021-22                           | 18-03-2024 |
| ALUPG7490G | GANESH ANANT GHADGE          | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                      | ADJUDICATION ORDER NO: ORDER/PM/PA/2022-23/18104-18110 | 18-03-2024 |
| ACIPG0193J | ARVIND BABULAL GOYAL         | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                      | ADJUDICATION ORDER NO: ORDER/PM/PA/2022-23/18093-18097 | 21-03-2024 |

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| ABOPW5107F | SORAB WADIA                | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                          | ADJUDICATION ORDER NO: ORDER/PM/PA/2022-23/18093-18097 | 21-03-2024 |
| AMTPD7404Q | RAMESH DWARKADAS DAGA      | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                          | ADJUDICATION ORDER NO: ORDER/PM/PA/2022-23/18093-18097 | 21-03-2024 |
| ABNPD1798C | CHETAN DOGRA               | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005      | ADJUDICATION ORDER NO: BS/AO/53- 60/2018-19            | 21-03-2024 |
| AFXPB0128C | KALPESH RAMNIKLAL BABARIYA | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                          | ADJUDICATION ORDER NO: EAD-2/AO/18/2012                | 21-03-2024 |
| ACUPV1785B | GIRIDHAR J VAGADIYA        | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                          | ADJUDICATION ORDER NO: EAD-2/AO/19/2012                | 21-03-2024 |
| ACUPV1785B | GIRIDHAR J VAGADIYA        | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                          | ADJUDICATION ORDER NO: PKK/AO/275/2010                 | 21-03-2024 |
| ACUPV1785B | GIRIDHAR J VAGADIYA        | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                          | ADJUDICATION ORDER NO: SD/AO/86/2010                   | 21-03-2024 |
| AGCPM0469R | BIMLESH KUMAR MISHRA       | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO.: SD/AO/170/2009                 | 21-03-2024 |

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| AGCPM0469R | BIMLESH KUMAR MISHRA            | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO.: SD/AO/79/2010            | 21-03-2024 |
| ACAPT3474F | MADHUSUDAN THAKKAR              | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO: PKK/AO/244/2010           | 21-03-2024 |
| AAGCS6595M | SHYAM ALCOHOL AND CHEMICALS LTD | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. PM/NR/2020-21/11117-11121 | 22-03-2024 |
| AACCS7980C | SAMPADA CHEMICALS LTD           | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. PM/NR/2020-21/11117-11121 | 22-03-2024 |
| ABNPD1798C | CHETAN DOGRA                    | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. PM/NR/2020-21/10364-10366 | 22-03-2024 |

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| AACHC5554P | CHETAN DOGRA HUF        | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                          | ADJUDICATION ORDER NO. PM/NR/2020-21/10364-10366                      | 22-03-2024 |
| AOIPS9379C | TANUJA SINGH            | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER NO. EAD/SR/AO/81/2018-19                           | 22-03-2024 |
| AAXPH9088C | SHRI VINOD HINGORANI    | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER NO. ACL/VH/AO/DRK/AS/EAD-3/165/09-68/2010          | 22-03-2024 |
| AAXPH9088C | SHRI VINOD HINGORANI    | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER NO. IVD-ID-3/ACL/VH/AO/DRK/AS/EAD-3/111/09-40/2010 | 22-03-2024 |
| AABPD5165A | BIPIN PUSHPABEN DIVECHA | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 AND SECURITIES CONTRACTS (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 | ADJUDICATION ORDER NO. EAD/SR/SM/AO/79-85/2019-20/3444-3450           | 26-03-2024 |

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| AABCF9494P | FINALYSIS CREDIT & GUARANTEE COMPANY LIMITED | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 AND SECURITIES CONTRACTS (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 | ADJUDICATION ORDER NO. EAD/SR/SM/AO/79-85/2019-20/3444-3450 | 26-03-2024 |
| AAACC3529P | M/S COSMO CORPORATE SERVICES LIMITED         | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER NO. JJ/AK/AO- 114/2014                   | 26-03-2024 |
| AAACI4661A | ISHITA FINSTOCK LTD                          | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER NO. JJ/AK/AO- 177/2014                   | 26-03-2024 |
| AACCB4484G | BAHAR PAPER PRIVATE LIMITED / KODA MALIA     | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                   | ADJUDICATION ORDER NO. EAD-2/DSR/RG/406-465/2015            | 26-03-2024 |
| AABCH8216M | HEENA DEVELOPERS LTD                         | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005                                                                                                                                        | ADJUDICATION ORDER NO. BS/AO/33- 40/2018-19                 | 26-03-2024 |
| AMUPB0580E | BANWARI LAL BAGHEL (DIRECTOR)                | UNDER SECTION 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SUNSHINE INFRA BUILD CORPORATION LIMITED                                                                                                                                                                           | WTM/PS/49/EFD/SEPTEMBER/2015                                | 26-03-2024 |
| AQDPB0485F | SURENDRA SINGH BAGHEL (DIRECTOR)             | UNDER SECTION 11, 11(4), 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, IN THE MATTER OF SUNSHINE INFRA BUILD CORPORATION LIMITED                                                                                                                                                                           | WTM/PS/49/EFD/SEPTEMBER/2015                                | 26-03-2024 |

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| AAEPC9775G | CHANDRA SHEKHAR CHAUHAN                         | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD/KS/AS/AO/10490-10494/2020-21 | 26-03-2024 |
| CUCPG7495R | VIKASH GUPTA                                    | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                  | CERTIFICATE NO. 7571 OF 2024                            | 01-04-2024 |
| AARCS5133J | SHALLOT TIE-UP PRIVATE LIMITED                  | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD-6/AO/OM/NK/013/2019-20       | 02-04-2024 |
| AARCS4827R | SHALLOT DEALTRADE PRIVATE LIMITED               | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD-6/AO/OM/NK/013/2019-20       | 02-04-2024 |
| AADCR4597F | RIDS TEXTILES LTD                               | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. RA/JP/310- 319/2018              | 02-04-2024 |
| AACCD4984F | DINESH PATADIA FINANCIAL & INVESTMENTS PVT. LTD | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. RA/JP/310- 319/2018              | 02-04-2024 |
| AFWPM0506N | DHILIN MEHTA                                    | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD-12/AO/SM/250-251/2018        | 02-04-2024 |

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| AACCA2226R | AHILYA COMMERCIAL PVT LTD | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                            | ADJUDICATION ORDER NO. RA/AO-10680/2011           | 02-04-2024 |
| AACPM1058Q | PRASHANT MULEKAR          | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO. EAD-4/SRP/AE/AO/2018-19/19 | 02-04-2024 |
| ABHPS7396D | MR. P.S. SAMINATHAN       | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                            | ADJUDICATION ORDER NO. PKK/AO/192/2011            | 02-04-2024 |
| ABHPS7396D | MR. P.S. SAMINATHAN       | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                            | ADJUDICATION ORDER NO. BM/AO-109/2011             | 02-04-2024 |
| ABHPS7396D | MR. P.S. SAMINATHAN       | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                            | ADJUDICATION ORDER NO. BM/AO-138/2013             | 02-04-2024 |
| ABHPS7396D | MR. P.S. SAMINATHAN       | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                            | ADJUDICATION ORDER NO. BM/AO-137/2013             | 02-04-2024 |

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| AAACL7744D | LAKSHYA SECURITIES AND CREDIT HOLDINGS LIMITED | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. PKB/AO- 51/2011           | 02-04-2024 |
| AAACL7744D | LAKSHYA SECURITIES AND CREDIT HOLDINGS LIMITED | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. PKB/AO- 16/2012           | 02-04-2024 |
| AACCS1366C | SHANTI TRADELINK PVT LTD.                      | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. PKB/AO- 11/2012           | 02-04-2024 |
| ARHPD5353R | SURAJIT DUTTA                                  | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER: ORDER/GR/RK/2021-22/13614    | 03-04-2024 |
| AUWPJ3225E | MITHILESH KUMAR JHA                            | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER: ORDER/GR/RK/2021-22/13615    | 03-04-2024 |
| AABCB1442P | M/S BOBBY LEASE FINANCE LIMITED                | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. SD/AO/16/2010             | 03-04-2024 |
| AANPD5594R | VENUGOPAL DHOOT                                | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005      | ADJUDICATION ORDER NO. ORDER/SM/DP/2022-23/25293 | 04-04-2024 |

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| ADHPP4699Q | CHIRAG PATEL                | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. RA/JP/215- 221/2017          | 08-04-2024 |
| AAICA4474D | ACUITY MERCHANTS PVT LTD    | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER: ORDER/GR/RK/2021-22/13447-13454 | 09-04-2024 |
| AABCR4071J | RICHHOLD PROPERTIES PVT LTD | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005                                                                                                               | ADJUDICATION ORDER: ORDER/GR/RK/2021-22/12929-12935 | 09-04-2024 |
| AACCK7867L | KABERI GOODS PVT LTD        | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER: ORDER/GR/RK/2021-22/13447-13454 | 09-04-2024 |
| AACCI3168A | INVOREX VINCOM PVT LTD      | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005                                                                                                               | ADJUDICATION ORDER: ORDER/GR/RK/2021-22/12929-12935 | 09-04-2024 |
| AAGCA8604B | AKANSHA COMMODITIES PVT LTD | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER: ORDER/GR/RK/2021-22/13447-13454 | 09-04-2024 |

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| AABCG1461B | M/S GODAVARI<br>COMMERCIAL SERVICES<br>PRIVATE LIMITED | UNDER SECTION 15I OF THE<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA ACT, 1992 READ WITH RULE 5<br>OF THE SEBI (PROCEDURE FOR<br>HOLDING INQUIRY AND<br>IMPOSING PENALTIES BY ADJUCATING<br>OFFICER) RULES,<br>1995 | ADJUDICATION<br>ORDER:<br>ORDER/GR/RK/2021-<br>22/13447-13454 | 09-04-2024 |
| AAICA4474D | ACUITY MERCHANTS PVT<br>LTD                            | UNDER SECTION 23-1 OF<br>SECURITIES CONTRACTS<br>(REGULATION) ACT, 1956 READ WITH<br>RULE 5 OF SECURITIES CONTRACTS<br>(REGULATION) (PROCEDURE FOR<br>HOLDING INQUIRY AND IMPOSING<br>PENALTIES) RULES,<br>2005      | ADJUDICATION<br>ORDER:<br>ORDER/GR/RK/2021-<br>22/12929-12935 | 09-04-2024 |
| AABCG1461B | GODAVARI COMMERCIAL<br>SERVICES PVT LTD                | UNDER SECTION 23-1 OF<br>SECURITIES CONTRACTS<br>(REGULATION) ACT, 1956 READ WITH<br>RULE 5 OF SECURITIES CONTRACTS<br>(REGULATION) (PROCEDURE FOR<br>HOLDING INQUIRY AND IMPOSING<br>PENALTIES) RULES,<br>2005      | ADJUDICATION<br>ORDER:<br>ORDER/GR/RK/2021-<br>22/12929-12935 | 09-04-2024 |
| AACCK7867L | KABERI GOODS PVT LTD                                   | UNDER SECTION 23-1 OF<br>SECURITIES CONTRACTS<br>(REGULATION) ACT, 1956 READ WITH<br>RULE 5 OF SECURITIES CONTRACTS<br>(REGULATION) (PROCEDURE FOR<br>HOLDING INQUIRY AND IMPOSING<br>PENALTIES) RULES,<br>2005      | ADJUDICATION<br>ORDER:<br>ORDER/GR/RK/2021-<br>22/12929-12935 | 09-04-2024 |
| AACCI3168A | INVOREX VINCOM PVT LTD                                 | UNDER SECTION 15I OF THE<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA ACT, 1992 READ WITH RULE 5<br>OF THE SEBI (PROCEDURE FOR<br>HOLDING INQUIRY AND<br>IMPOSING PENALTIES BY ADJUCATING<br>OFFICER) RULES,<br>1995 | ADJUDICATION<br>ORDER:<br>ORDER/GR/RK/2021-<br>22/13447-13454 | 09-04-2024 |
| AAGCA8604B | AKANSHA COMMODITIES<br>PVT LTD                         | UNDER SECTION 23-1 OF<br>SECURITIES CONTRACTS<br>(REGULATION) ACT, 1956 READ WITH<br>RULE 5 OF SECURITIES CONTRACTS<br>(REGULATION) (PROCEDURE FOR<br>HOLDING INQUIRY AND IMPOSING<br>PENALTIES) RULES,<br>2005      | ADJUDICATION<br>ORDER:<br>ORDER/GR/RK/2021-<br>22/12929-12935 | 09-04-2024 |
| AAECS0527R | SUPERDEAL FINCOM PVT<br>LTD                            | UNDER SECTION 15I OF THE<br>SECURITIES AND EXCHANGE BOARD<br>OF INDIA ACT, 1992 READ WITH RULE 5<br>OF THE SEBI (PROCEDURE FOR<br>HOLDING INQUIRY AND<br>IMPOSING PENALTIES BY ADJUCATING<br>OFFICER) RULES,<br>1995 | ADJUDICATION<br>ORDER:<br>ORDER/GR/RK/2021-<br>22/13447-13454 | 09-04-2024 |

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| AAACV5947Q | ELECTROPARTS (INDIA) PVT LTD                                                     | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER:<br>ORDER/GR/RK/2021-22/13337       | 09-04-2024 |
| AAACV2303E | VIDEOCON REALTY AND INFRASTRUCTURES LTD                                          | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005      | ADJUDICATION ORDER:<br>ORDER/GR/RK/2021-22/12972-12975 | 09-04-2024 |
| AAACV5947Q | ELECTROPARTS (INDIA) PVT LTD                                                     | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER:<br>ORDER/GR/RK/2021-22/13548-13550 | 09-04-2024 |
| AAACV2303E | VIDEOCON REALTY AND INFRASTRUCTURES LTD                                          | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER:<br>ORDER/GR/RK/2021-22/13548-13550 | 09-04-2024 |
| AANPD5594R | VENUGOPAL DHOOT                                                                  | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER:<br>ORDER/GR/RK/2021-22/13548-13550 | 09-04-2024 |
| AAACV5947Q | ELECTROPARTS (INDIA) PVT. LTD. (ERSTWHILE SHREE DHOOT TRADING AND AGENCIES LTD.) | UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005      | ADJUDICATION ORDER:<br>ORDER/GR/RK/2021-22/12972-12975 | 09-04-2024 |
| AAACV2303E | VIDEOCON REALTY AND INFRASTRUCTURES LTD                                          | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATION ORDER:<br>ORDER/GR/RK/2021-22/13338       | 09-04-2024 |

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| AANPD5593J | PRADEEP KUMAR DHOOT                                                | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                                       | ADJUDICATION ORDER:<br>ORDER/GR/RK/2021-22/13691    | 09-04-2024 |
| AACCE1213E | JUG MUG SALES PRIVATE LIMITED (NOW ENCORD TRADING PRIVATE LIMITED) | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                                       | ADJUDICATING ORDER NO.<br>ORDER/GR/BM/2023-24/29301 | 12-04-2024 |
| AAEPL2191D | MS. PREM LATA                                                      | UNDER SECTION 11(1), 11(4) AND 11B OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 65 OF SECURITIES AND EXCHANGE BOARD OF INDIA (COLLECTIVE INVESTMENT SCHEMES), REGULATIONS, 1999                                                                                                                                                                                           | WTM/AB/NRO/NRO/15731/2021-22                        | 18-04-2024 |
| AETPJ9387E | DEVENDER KUMAR JAIN                                                | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                        | CERTIFICATE NO. 7728 OF 2024                        | 19-04-2024 |
| AAAH3061N  | D. K. JAIN & SONS HUF                                              | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                        | CERTIFICATE NO. 7727 OF 2024                        | 19-04-2024 |
| AQNPR3366R | RAMSWAROOP B PANCHARIYA                                            | NOTICE UNDER RULE 4 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 4 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRE AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 23-I OF SECURITIES CONTRACT REGULATION ACT, 1956 IN THE MATTER OF "ALKA INDIA LIMITED" | SEBI/HO/EAD/EAD3/P/O W/2024/000000/8243 /7/1        | 19-04-2024 |

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| AMYPK4943N | RUPESH KUMAR                                | NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF SEBI ACT, 1992 AND RULE 4(1) OF THE SECURITIES CONTRACTS (REGULATIONS) PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 231 OF SECURITIES CONTRACTS REGULATION ACT, 1956 | EAD-IO/ADJ/SM/AS/OW/44659/1/2023                  | 22-04-2024 |
| AMYPK4943N | RUPESH KUMAR                                | NOTICE UNDER RULE 4(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 151 OF SEBI ACT, 1992 AND RULE 4(1) OF THE SECURITIES CONTRACTS (REGULATIONS) PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 231 OF SECURITIES CONTRACTS REGULATION ACT, 1956 | EAD-IO/ADJ/SM/AS/OW/44819/1/2023                  | 22-04-2024 |
| AAACM9900G | MH MILLS & INDUSTRIES LIMITED               | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                            | ADJUDICATING ORDER NO. EAD-8/KS/AA/AO/219/2018-19 | 22-04-2024 |
| AABCT3010D | M/S T H VAKIL SHARES AND SECURITIES PVT LTD | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                            | ADJUDICATING ORDER NO. SD/AO/165/2009             | 23-04-2024 |
| AABCT3010D | M/S T H VAKIL SHARES AND SECURITIES PVT LTD | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                            | ADJUDICATING ORDER NO. SD/AO/166/2009             | 23-04-2024 |
| AUNPS2417E | AMUL P. SHETH                               | UNDER SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                            | ADJUDICATING ORDER NO. MC/AO-10/2012              | 24-04-2024 |

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| AAFHG7351F | GOPAL GOENKA HUF        | SEBI SETTLEMENT SCHEME IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                                               | SEBI/HO/EFD1_DRA3/O<br>W/9563/1/2024               | 24-04-2024 |
| ABMPA0916C | ANITA AGARWAL           | SEBI SETTLEMENT SCHEME IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                                               | SEBI/HO/EFD1_DRA3/O<br>W/9565/1/2024               | 24-04-2024 |
| ATUPS9251J | AMREEN SUKHYANI         | SEBI SETTLEMENT SCHEME IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                                               | SEBI/HO/EFD1_DRA3/O<br>W/9601/1/2024               | 24-04-2024 |
| AEVPP6124P | ASHOK R PANCHARIYA      | NOTICE UNDER RULE 4 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 4 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRE AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 23-I OF SECURITIES CONTRACT REGULATION ACT, 1956 IN THE MATTER OF "ALKA INDIA LIMITED" | SEBI/HO/EAD/EAD3/P/O<br>W/2024/000000/8243<br>/2/1 | 25-04-2024 |
| ADRPP1806H | SATISH R PANCHARIYA     | NOTICE UNDER RULE 4 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 4 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRE AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 23-I OF SECURITIES CONTRACT REGULATION ACT, 1956 IN THE MATTER OF "ALKA INDIA LIMITED" | SEBI/HO/EAD/EAD3/P/O<br>W/2024/000000/8243<br>/3/1 | 25-04-2024 |
| AQNPP3367Q | SHANTADEVI R PANCHARIYA | NOTICE UNDER RULE 4 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 4 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRE AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 23-I OF SECURITIES CONTRACT REGULATION ACT, 1956 IN THE MATTER OF "ALKA INDIA LIMITED" | SEBI/HO/EAD/EAD3/P/O<br>W/2024/000000/8243<br>/5/1 | 25-04-2024 |

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| AHWPP6235D | RADHADEVI S PANCHARIYA    | NOTICE UNDER RULE 4 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 4 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRE AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 23-I OF SECURITIES CONTRACT REGULATION ACT, 1956 IN THE MATTER OF "ALKA INDIA LIMITED" | SEBI/HO/EAD/EAD3/P/O W/2024/000000/8243 /6/1      | 25-04-2024 |
| AAACC6370Q | CAVALIER SECURITIES LTD   | NOTICE UNDER RULE 4 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 4 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRE AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 23-I OF SECURITIES CONTRACT REGULATION ACT, 1956 IN THE MATTER OF "ALKA INDIA LIMITED" | SEBI/HO/EAD/EAD3/P/O W/2024/000000/8243 /10/1     | 25-04-2024 |
| AABCR0270K | RAJESH MALLEABLES LIMITED | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                                                                       | ADJUDICATION ORDER NO. EAD-8/KS/AA/AO/225/2018-19 | 25-04-2024 |
| AAYHS3088Q | MR. SANJAY SHASTRI HUF    | SEBI SETTLEMENT SCHEME IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                                                               | SEBI/EFD1/SEC/8910/1                              | 25-04-2024 |
| AHWPP6223H | SARITADEVI PANCHARIYA     | NOTICE UNDER RULE 4 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 4 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRE AND IMPOSING PENALTIES) RULES, 2005 READ WITH SECTION 23-I OF SECURITIES CONTRACT REGULATION ACT, 1956 IN THE MATTER OF "ALKA INDIA LIMITED" | SEBI/HO/EAD/EAD3/P/O W/2024/000000/8243 /9/1      | 29-04-2024 |

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| AEAPP8945F | RAMNIKLAL MANJIBHAI PATEL           | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. SD/AO/87/2010             | 29-04-2024 |
| AEAPP8945F | RAMNIKLAL MANJIBHAI PATEL           | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. PKK/AO/276/2010           | 29-04-2024 |
| BAPPS6818A | SARIN PRANAV                        | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-5/BS/AO/08-26/2018-19 | 29-04-2024 |
| AAACO6061G | OURS TRADING AND HOLDINGS PVT. LTD. | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-5/BS/AO/08-26/2018-19 | 29-04-2024 |
| AFMPA6266M | SIYA BANSAL                         | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. RA/DPS/124-126/2017       | 29-04-2024 |
| APKPR9706D | ROBART                              | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015 | 29-04-2024 |
| ARQPS6069Q | RAJAN SHRIVASTAVA                   | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015 | 29-04-2024 |

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| AMSPG0605P | RAJAN GHOSH                                | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015 | 29-04-2024 |
| BDMPK0156K | PUNIT KAPOOR                               | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015 | 29-04-2024 |
| AXCPK5271G | NARENDER KUMAR                             | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015 | 29-04-2024 |
| AAFCM5760R | MARKUP TRADING PVT. LTD.                   | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015 | 29-04-2024 |
| AAHFG9994Q | GLOBAL WEALTH CREATORS                     | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015 | 29-04-2024 |
| AAACF9476E | FIRSTCALL CONSULTANCY SERVICES PRIVATE LTD | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015 | 29-04-2024 |
| AIQPG6739G | EMINENCE CAPITAL SERVICES/NARESH GUPTA     | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015 | 29-04-2024 |

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| ABNPD1798C | CHETAN DOGRA                    | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-7/BJD/NJMR/115-116/2018-19 | 29-04-2024 |
| AEAPP8945F | RAMNIKLAL M. PATEL              | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. MC/AO-10/2012                  | 29-04-2024 |
| AHWPM5390G | MAHESH H. MISTRY                | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. PKK/AO/287/2010                | 29-04-2024 |
| AGMPB8395B | RAJAN BANSAL                    | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. RA/DPS/124-126/2017            | 29-04-2024 |
| AADCG1655R | GAMUT EXPORTS LTD               | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995 | ADJUDICATING ORDER NO. EAD-2/DSR/RG/406-465/2015      | 29-04-2024 |
| AAKHA1804N | ANIL KUMAR GARG HUF             | SEBI SETTLEMENT SCHEME IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                         | SEBI/HO/EFD1_DRA3/O W/9546/1/2024                     | 30-04-2024 |
| AAFHD3367J | DILIP KUMAR KEDIA HUF           | SEBI SETTLEMENT SCHEME IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                         | SEBI/HO/EFD1_DRA3/O W/9554/1/2024                     | 30-04-2024 |
| AACCA3894K | AAKANSHA TREXIM PRIVATE LIMITED | SEBI SETTLEMENT SCHEME IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                         | SEBI/HO/EFD1_DRA3/O W/9573/1/2024                     | 30-04-2024 |
| AAIHD6045G | DEVA NAND AGGARWAL HUF          | SEBI SETTLEMENT SCHEME IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                         | SEBI/HO/EFD1_DRA3/O W/9588/1/2024                     | 30-04-2024 |

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| DQTPS4378R | AKASHDEEP SINGH                       | SEBI SETTLEMENT SCHEME IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                                  | SEBI/HO/EFD1_DRA3/O W/9603/1/2024                      | 30-04-2024 |
| AYGPD9258H | URMILA DEBI                           | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                          | ADJUDICATION ORDER NO: Order/AK/VP/2022-23/21846       | 30-04-2024 |
| AABCK7306F | KARTIK SHARE TRADERS PRIVATE LIMITED  | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                          | ADJUDICATION ORDER NO. EAD/SR/AO/80/2018-19            | 30-04-2024 |
| AAFCA3058E | RVL SECURITIES PVT. LTD.              | SEBI SETTLEMENT SCHEME 2024 IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS (ISO) AT BSE                                                                                                                                                                                                                                                             | SEBI/EFD1/SEC/8918/1                                   | 02-05-2024 |
| BBPPR7839K | SUSHMA VIMALKUMAR RAVA                | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23-I OF SECURITIES CONTRACT (REGULATION) ACT, 1956 AND RULE 5 OF SECURITIES CONTRACT (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO. Order/GR/PU/2022-23/20625-20642 | 07-05-2024 |
| ABNPD1798C | CHETAN DOGRA                          | UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUCATING OFFICER) RULES, 1995                                                                                                                                                          | ADJUDICATION ORDER NO. EAD/SR/VV/AO/45/2018-19         | 07-05-2024 |
| AAACK2230P | KRISHA INCAP SERVICES PRIVATE LIMITED | NOTICE UNDER REGULATION 25(1) OF SECUTIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS. 2008 IN RESPECT OF KRISHA INCAP SERVICES PRIVATE LIMITED                                                                                                                                                                                             | EAD-IO/ENQ/SM/AS/OW/4466 3/1/2023                      | 07-05-2024 |
| AAACM2862M | EXELON INFRASTRUCTURE LIMITED         | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PANALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                              | EAD/BJD/VS/24-33/2017-18                               | 04-07-2024 |

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| ATFPA3651B | Gaurav Agarwal                                     |                                                                                                                                                                                                                                                                                              |                                                      | 04-07-2024 |
| AABCO2030J | OLIWONDERS FINANCIAL SERVICES PRIVATE LIMITED      |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAECA3869N | Shree Aeran Marketing Pvt Ltd                      |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAACR0210J | Roshi Appliances Pvt Ltd                           |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AACCN7650G | Neevan Capital Markets Private Limited             |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAECM7271J | Mridul Securities Pvt Ltd                          |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAFCA6229B | Advance India Shares & Securities Pvt Ltd          |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAECR4581N | Royal Theme Products India Pvt                     |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAACR0210J | Roshi Appliances Pvt Ltd                           |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAIHA3468A | Avinash Pitale HUF                                 |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AMVPG6042M | SAURABH KUMAR RASIKLAL GANDHI                      |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AGSPC0944K | Manish Chaturvedi                                  |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAACI7325P | Taksheel Solutions Limited                         |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AFBPB2887C | SANTOSH VASANT BHELEKAR                            |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAACA7300E | Amadhi Investments Ltd.                            |                                                                                                                                                                                                                                                                                              |                                                      | 10-07-2024 |
| AAACA8504G | Castex Technologies Ltd.                           | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING AND INQUIRY IMPOSING PENALTIES RULES 1995 AND SECTION 231 OF SECURITIES CONTRACT (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PANALTIES) RULES, 2005. | ADJUDICATING ORDER NO: Order/AA/MG/2019-20/3506-3507 | 10-07-2024 |
| AHSP7976M  | Dipali Nilay Patel                                 |                                                                                                                                                                                                                                                                                              |                                                      | 12-07-2024 |
| ADSPR1560P | Kusum Deepak Rathod                                |                                                                                                                                                                                                                                                                                              |                                                      | 12-07-2024 |
| AABCG0986D | Commex Technology Limited                          |                                                                                                                                                                                                                                                                                              |                                                      | 12-07-2024 |
| AAACP4032A | M/s PACL Ltd                                       |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| AAQPN1499Q | N. Nagesh                                          |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| AMVPL4417B | Lakhani Babulal Hansraj                            |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| DMKPS4150Q | Vinod Solanki                                      |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| DHGPP1260K | Mahendrabhai Naranbhai Patel                       |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| ATJPT1108Q | Dhirajbhai Baladevji Thakor                        |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| GDWPS4583K | Ramanlal Ravchand Shah                             |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| CZTPS4626L | BHARTI SHARMA                                      |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| AACCL0133G | Limestone Properties P Ltd                         |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| AAICA2155K | M/s Aristo Media And Entertainment Private Limited |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| AACCA7725M | Acute Consultancy Limited                          |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |
| AACCB8181G | BLC Trading and Agencies Pvt Ltd                   |                                                                                                                                                                                                                                                                                              |                                                      | 16-07-2024 |

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| AABCI6628L | Innovist India Pvt. Ltd.                           |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AADCB6654M | Bluebell Agencies Pvt. Ltd.                        |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AKIPL0751H | mukesh ramchandra lade                             |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AACCI3651K | Jesse Trading Pvt Ltd                              |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| ACHPC5141R | Karsan Chitroda                                    |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| ACTPC6124A | Mukesh Chauhan                                     |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| ACXPJ1278Q | Jaymani Joshi                                      |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AMPPG0185K | Samir Ghosh                                        |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AAACM7494B | M/S Acclaim Industries Ltd                         |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AAVCS5813R | Singhanian Media Solutions Private Limited (SMSPL) |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AMCPS0309L | Rajesh Shah                                        |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AHOPV1194R | Shekhar D Vaishnav                                 |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AAMCS8457N | S5 Trading Pvt Ltd                                 |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AAFPM9963R | RAJESH MEHTA                                       |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AACCE2069E | Everready Marketing Private Limited                |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| APOPS5722A | ABHAYRAJ RAMPHER SHUKLA                            |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AAACJ9577E | Kajol Impex Limited.                               |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AHJPR6079C | R Ravichandran                                     |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AABCF1127B | First Futures and Stocks Private Ltd               |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AGOPG2342M | Chennai Commodities                                |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| DUWPS2496M | Sathish Kumar N                                    |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AEPPV7309L | Varalakshmi P                                      |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| ARHPN2907P | S Nagarajan                                        |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AMXPM1460H | K Manikandan                                       |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| BSBPM8534R | M Sasikala                                         |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| BKDPR6611L | Raja P                                             |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| BLJPS1968J | Solomon Y                                          |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| BILPS7862N | M Sethujanani                                      |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| DKLPS1799L | S Sengolancy Beaula                                |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| BESPS4830M | Subhalakshmi M S                                   |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AACCS8246B | Secunderabad Healthcare Limited                    |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| BCTPS9910B | Dheeraj Sisodia                                    |                                                                                                                                                                                                 |                                                | 16-07-2024 |
| AALCA9216G | Al Mareija Precious Metals & Bullions              |                                                                                                                                                                                                 |                                                | 18-07-2024 |
| AAICM7748N | Mankool General Trading                            |                                                                                                                                                                                                 |                                                | 18-07-2024 |
| AALCA9215F | Al Juraina Precious Metals & Bullions              |                                                                                                                                                                                                 |                                                | 18-07-2024 |
| ATSPK8706G | Neeraj Kedia                                       | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATING ORDER NO: AO/SBM/EAD-3/35-56/2017 | 18-07-2024 |

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| AADCG3026G | Growfast Realtor Pvt. Ltd                            | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATING ORDER NO: AO/SBM/EAD-3/35-56/2017 | 18-07-2024 |
| ARJPS0674C | Pramod Ramdin Sharma                                 | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATING ORDER NO: AO/SBM/EAD-3/35-56/2017 | 18-07-2024 |
| AAECA3909P | Amrapali Aadya Trading & Investment Pvt Ltd          |                                                                                                                                                                                                 |                                                | 23-07-2024 |
| AAACB1655R | H Bhavesh Securities and Commodities Private Limited |                                                                                                                                                                                                 |                                                | 24-07-2024 |
| AAFCA2670L | Alishan Estaste Pvt. Ltd.                            | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATING ORDER NO: AO/SBM/EAD-3/35-56/2017 | 23-07-2024 |
| AAJCS1020N | Shridhan Jewellery Pvt. Ltd.                         | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATING ORDER NO: AO/SBM/EAD-3/35-56/2017 | 23-07-2024 |
| ACHPB8147L | Pulak Bagchi                                         | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATING ORDER NO: AO/SBM/EAD-3/35-56/2017 | 23-07-2024 |
| AABCJ5609C | Jagarnath Consultants Pvt. Ltd.                      | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATING ORDER NO: AO/SBM/EAD-3/35-56/2017 | 23-07-2024 |
| BGCP8001A  | Umesh Singh                                          | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATING ORDER NO: AO/SBM/EAD-3/35-56/2017 | 23-07-2024 |

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| AACCM0740J | Sunshine Housecon Ltd.                  | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATING ORDER NO: AO/SBM/EAD-3/35-56/2017 | 23-07-2024 |
| BLZPS6412H | Biraj Sonakar                           |                                                                                                                                                                                                 |                                                | 23-07-2024 |
| AABCR6000R | Ranklin Solutions Limited               |                                                                                                                                                                                                 |                                                | 26-07-2024 |
| AABCR6000R | Ranklin Solutions Limited               |                                                                                                                                                                                                 |                                                | 26-07-2024 |
| AQOPP1860D | Manoj Kumar Pandit                      |                                                                                                                                                                                                 |                                                | 29-07-2024 |
| BLEPS0813B | Anup Kumar Sharma                       |                                                                                                                                                                                                 |                                                | 29-07-2024 |
| ADVPI9206N | Ifteqaar                                |                                                                                                                                                                                                 |                                                | 29-07-2024 |
| ABGFM6563R | Money Streets Advisory Services LLP     |                                                                                                                                                                                                 |                                                | 29-07-2024 |
| BFYPS4464N | Anil Sharma                             |                                                                                                                                                                                                 |                                                | 30-07-2024 |
| ABZPG3628G | Vithalbhai Gajera                       |                                                                                                                                                                                                 |                                                | 01-08-2024 |
| ACUPV1785B | Girdharbhai J Vagadia                   |                                                                                                                                                                                                 |                                                | 01-08-2024 |
| AFXPB0128C | Kalpesh Babaraya                        |                                                                                                                                                                                                 |                                                | 01-08-2024 |
| AACPR2189P | Brijmohan Rathi                         |                                                                                                                                                                                                 |                                                | 01-08-2024 |
| BRHPK7160G | Sarvesh Kumar                           |                                                                                                                                                                                                 |                                                | 02-08-2024 |
| ABTPZ7804K | Zulfiqar Ahmed                          |                                                                                                                                                                                                 |                                                | 02-08-2024 |
| CODPM3115F | Manish Kumar Mahaseth                   |                                                                                                                                                                                                 |                                                | 02-08-2024 |
| AAPPM2859L | S Madhavan                              |                                                                                                                                                                                                 |                                                | 02-08-2024 |
| AAUFG1283H | Garuda Finance                          |                                                                                                                                                                                                 |                                                | 05-08-2024 |
| BROPP5797B | Sashi Pandey                            | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961                                                                         | RECOVERY CERTIFICATE NUMBER 7863 OF 2024       | 05-08-2024 |
| DSPSP8381L | Mahesh Sharma                           | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961                                                                         | RECOVERY CERTIFICATE NUMBER 7864 OF 2024       | 05-08-2024 |
| CYBPP2362R | Bhagavatiben Vishnubhai Patel           |                                                                                                                                                                                                 |                                                | 07-08-2024 |
| ADSPR1560P | Kusum Deepak Rathod                     |                                                                                                                                                                                                 |                                                | 07-08-2024 |
| AAACG1479J | Aplaya Creations Ltd                    |                                                                                                                                                                                                 |                                                | 07-08-2024 |
| ABRPG4589Q | Pramod Kumar Gupta                      |                                                                                                                                                                                                 |                                                | 07-08-2024 |
| AABCE1275F | Edelweiss Estates Pvt Ltd.              |                                                                                                                                                                                                 |                                                | 07-08-2024 |
| AAACE2875N | Excel Paints Private Ltd                |                                                                                                                                                                                                 |                                                | 07-08-2024 |
| AAHCS4914K | Suryamangal Media Entertainment Limited |                                                                                                                                                                                                 |                                                | 07-08-2024 |
| AACCC0591P | Cornhill Trading Company Pvt Ltd        |                                                                                                                                                                                                 |                                                | 07-08-2024 |
| AAACM7948J | Manusi Securities Pvt. Ltd.             |                                                                                                                                                                                                 |                                                | 07-08-2024 |
| CIGPM5834A | Balram Mukherjee                        |                                                                                                                                                                                                 |                                                | 08-08-2024 |

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| BSCPA7915B | Akash                          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961                                                                                                                                                  | RECOVERY<br>CERTIFICATE NO. 7836<br>OF 2024 | 13-08-2024 |
| BNEPP5649A | Vimala Sanjay Patel            |                                                                                                                                                                                                                                                                                          |                                             | 13-08-2024 |
| AIDPD4564F | Barun Kumar Das                |                                                                                                                                                                                                                                                                                          |                                             | 14-08-2025 |
| AALCA9217H | Al Layyah General trading FZE  | CORRIGENDUM TO THE ORDER DATED JUNE 17 , 2021 BEARING REFERENCE NUMBER WTM/MB/CFD/DCR/12284/2021-22 IN THE MATTER OF ATLAS JEWELLERY INDIA LIMITED                                                                                                                                       | WTM/MB/CFD/DCR/12284/2021-22                | 19-08-2024 |
| AAACA4718J | Bonanza Industries Limited     | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO.<br>7908/2024                | 22-08-2024 |
| AHZPM5440L | Namdeo H More                  | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 7422<br>OF 2023             | 27-08-2024 |
| AOAPR7655G | Nitesh Ranjan                  |                                                                                                                                                                                                                                                                                          |                                             | 27-08-2024 |
| AADCK9235D | King Empire Tradexim Pvt. Ltd. | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 7925<br>OF 2024             | 28-08-2024 |

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| AAECA3909P | Amrapali Aadya Trading & Investments Pvt. Ltd.                                | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 222 OF THE INCOME TAX, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956. | CERTIFICATE NO 7909 OF 2024 | 29-08-2024 |
| AAGCA5007J | Adept Lifespaces Private Limited<br>Formerly- Adept Creations Private Limited | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 222 OF THE INCOME TAX, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956. | CERTIFICATE NO 7874 OF 2024 | 29-08-2024 |
| AADCB1809L | Best Cure Private Limited (New Name-Devera Developers Pvt. Ltd.)              | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 222 OF THE INCOME TAX, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956. | CERTIFICATE NO 7875 OF 2024 | 29-08-2024 |

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| AADCR6690P | Rexcin Finance Private Limited      | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 222 OF THE INCOME TAX, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956. | CERTIFICATE NO 7877 OF 2024                        | 29-08-2024 |
| AAGCA5140E | Artifice Properties Private Limited | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH SECTION 222 OF THE INCOME TAX, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956. | CERTIFICATE NO 7878 OF 2024                        | 29-08-2024 |
| AACCC7690K | Carol Securities Private Limited    | CERTIFICATE UNDER 28A OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                     | CERTIFICATE NO. 6792 OF 2023                       | 02-09-2024 |
| AACCK6859L | Karn Merchant Bankers               | UNDER SECTION-I OF SECURITIES AND EXCHANGE RULE NO 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                                                                                      | ADJUDICATION ORDER NO: EAD/BJD/BKM/99/2017-18      | 05-09-2024 |
| AADCB8132G | Bholebaba Suppliers Pvt.Ltd.        | UNDER SECTION-I OF SECURITIES AND EXCHANGE RULE NO 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                                                                                      | ADJUDICATION ORDER NO: Order/AA/MG/2019-20/4766-72 | 06-09-2024 |

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| AAECV8139N | Vinahast Dealcom Private Limited         | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: Order/BD/VS/2019-20/7382-7409            | 06-09-2024 |
| AADCE6828J | Ekaparnik Vintrade Private Limited       | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: Order/BD/VS/2019-20/7382-7409            | 06-09-2024 |
| AACCH5764P | Keynote Painting Dealers Private Limited | UNDER SECTION 15-I (2) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                            | ADJUDICATION ORDER NO: Order/MC/HP/2020-21/9517-9532            | 06-09-2024 |
| AAECD0600N | Delicious Diamonds Private Limited       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995  | ADJUDICATION ORDER NO. EAD-7/BJD/NJMR/2019-20/3805,3807 to 3823 | 06-09-2024 |
| AACCE8491Q | Eversafe Promoters Pvt. Ltd.             | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995  | ADJUDICATION ORDER NO. Order/AA/MG/2019-20/4766-72              | 06-09-2024 |
| AAQCS4922A | Subhankar Exim Pvt. Ltd.                 | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995  | ADJUDICATION ORDER NO. Order/AA/MG/2019-20/4766-72              | 06-09-2024 |
| AACCO0086H | Onceover Deal Trade Pvt Ltd.             | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: Order/BD/VS/2019-20/7382-7409            | 06-09-2024 |
| AADC15560R | Indrawati Commosales Private Limited     | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO: Order/BD/VS/2019-20/7382-7409            | 06-09-2024 |

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| AACCO0067C | Outstripe Suppliers Private Limited    | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                 | ADJUDICATION ORDER NO: Order/BD/VS/2019-20/7382-7409 | 06-09-2024 |
| BRVPM0273J | Firoz Hanifbhai Memon                  | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHRDULE AND TO THE INCOME TAX ACT,1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,192 (AS amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961                  | CERTIFICATE No.RC3675/2021                           | 09-09-2024 |
| AAQFA3264Q | Aashish Developer                      | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHRDULE AND TO THE INCOME TAX ACT,1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT,192 (AS amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961                | CERTIFICATE No.RC3231/2021                           | 09-09-2024 |
| AHZPP1406F | Prasad V Potluri                       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                 | ADJUDICATION ORDER NO. ASK/AO/172-73/2014-15         | 09-09-2024 |
| AAFCS5114D | Sunil Shares & Stock Broking Pvt. Ltd. | ORDER UNDER SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT READ WITH RULE 5(1) OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY THE ADJUDICATING OFFICER) RULES, 1995 IN THE MATTER OF ADJUDICATION PROCEEDINGS AGAINST SUNIL SHARES AND STOCK PVT. LTD | ADJUDICATION ORDER NO. - BS/AO-14/2008               | 09-09-2024 |
| AJIPM5196M | Sujal Sharma                           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                               | ADJUDICATION ORDER NOs. ASK/AO/62-67/2014            | 09-09-2024 |

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| ALBPT6629A | Jitendra Kumar Tiwari                                             | UNDER SECTIONS 11(1), 11(4), 11B(1) 11B(2) AND 11(4A), OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI(PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                            | WTM/SM/IVD/ID3/15009/2021-22                           | 09-09-2024 |
| AARFP4833F | P.P Capital Management Services                                   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/ SECTION 19-IB OF THE DEPOSITORIES ACT, 1996 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961 | CERTIFICATE NO.7325 of 2023                            | 11-09-2024 |
| AFJPC3081P | Mr. P S Chadha HUF                                                | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/ SECTION 19-IB OF THE DEPOSITORIES ACT, 1996 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961 | CERTIFICATE NO.7325 of 2023                            | 11-09-2024 |
| AACCC8085A | Corporate Strategic Allianz Pvt Ltd                               | POST-ENQUIRY SHOW CAUSE NOTICE UNDER REGULATION 27(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATION, 2008 IN RESPECT OF CORPORATE STRATEGIC ALLIANZ PVT LTD.                                                             | EFD/DRA4/BS/OW/24069 /2/2024                           | 11-09-2024 |
| AACCK0438R | Swarnajyothi Agrotech Ltd. (Earlier known as Kushal Software Ltd) | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                           | [ADJUDICATION ORDER NO.: - AIL/AO/SKS/SG/D CR/01/2012] | 13-09-2024 |
| ABSPS8464M | R. Shivagurunathan                                                | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                           | [ADJUDICATION ORDER NO. BM/AO-115/2011]                | 13-09-2024 |

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| ADIPJ1942R | Rameshchandra K. Jain        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                   | [ADJUDICATION ORDER NO.: - SD/AO/90/2010]   | 13-09-2024 |
| AACHS3486G | Govind Gendalal Somani (HUF) | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                  | [ADJUDICATION ORDER NO. PKK/AO/21/2011]     | 13-09-2024 |
| AJUPP5517G | Devjibhai Parmar             | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                   | [ADJUDICATION ORDER NO.: - SD/AO/161/2009]  | 13-09-2024 |
| ADAPT8178K | Amit Tripathi                | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                  | [ADJUDICATION ORDER NO. PKK/AO/227/2010]    | 13-09-2024 |
| ACXPT5866A | Dharmendra S Thapa           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                   | [ADJUDICATION ORDER NO. PKB/AO-23/2010]     | 13-09-2024 |
| AACPM2147G | J C Mansukhani               | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | [ADJUDICATION ORDER NOs. ASK/AO/62-67/2014] | 13-09-2024 |

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| AGOPM7538H | Awanish Kumar Mishra                       | UNDER SECTIONS 11(1), 11(4), 11B(1) 11B(2) AND 11(4A), OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI(PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                           | WTM/SM/IVD/ID3/15009/2021-22                           | 13-09-2024 |
| AAZFM1357R | Money Mishra Financial Services            | UNDER SECTIONS 11(1), 11(4), 11B(1) 11B(2) AND 11(4A), OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI(PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                           | WTM/SM/IVD/ID3/15009/2021-22                           | 13-09-2024 |
| AAJCM8612N | Money Mishra Overseas Pvt. Ltd             | UNDER SECTIONS 11(1), 11(4), 11B(1) 11B(2) AND 11(4A), OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI(PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                           | WTM/SM/IVD/ID3/15009/2021-22                           | 13-09-2024 |
| AABCS4046C | Sunciti Financial Services Private Limited | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                          | [ADJUDICATION ORDER NO.EAD-5/SVKM/DS/AO/47/2015-16]    | 13-09-2024 |
| AACCL0866A | Lithmus Capital Consultance Ltd            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA AT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 3 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 | ADJUDICATION ORDER NO. ORDER/BM/DS/2022-23/18147-18164 | 13-09-2024 |

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| AAECK2699A | Kesarisuta Vinimay Pvt. Ltd.     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961, NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                    | RECOVERY<br>CERTIFICATE NO. 7910<br>OF 2024                   | 18-09-2024 |
| AAACB4604N | Bhojawani Securities Pvt Ltd     | Under section 15-I of the Securities and Exchange Board of India Act, 1992 read with rule 5 of the Securities and Exchange Board of India (Procedure for Holding Inquiry & Imposing Penalties) Rules, 1995                                                                                                                                                                           | Adjudication Order:<br>Order/SM/AS/2023-<br>24/29325-29337    | 19-09-2024 |
| AACCB3144P | Best Health Management Pvt Ltd   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) BY RULES, 1995 AND SECTION 23 I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT 1956, R/W RULE 5 OF THE SECURITIES IMPOSING PENALTIES) RULES, 2005 IN THE MATTER OF RELIGARE ENTERPRISES LTD. | ADJUDICATION ORDER<br>NO. Order/DS/DK/2022-<br>23/20903-20964 | 23-09-2024 |
| AAFCK3314D | Kautirya Vanijya Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961, NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | RECOVERY<br>CERTIFICATE NO. 7887<br>OF 2024                   | 23-09-2024 |
| AAFCK3315C | Kautirya Trading Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961, NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                     | RECOVERY<br>CERTIFICATE NO. 7886<br>OF 2024                   | 23-09-2024 |

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| ALBPT6629A | Jitendra Kumar Tiwari              | UNDER SECTION 11(1), 11(4), 11B(2), AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, AND SECTION 12A(1) AND 12A(2) OF THE SECURITIES CONTRACTS (REGULATION) ACT 1956 READ WITH SECTION 23D OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 IN THE MATTER OF ALLIED FINANCIAL SERVICES PVT. LTD.. | WTM/AB/MIRSD-SEC-4/21079/2022-23                       | 23-09-2024 |
| AABCW4428J | Wakeeta Commercial Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961, NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                | RECOVERY CERTIFICATE NO. 7889 OF 2024                  | 24-09-2024 |
| AAHCA5673K | Active Nirman Private Limited      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961, NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                | RECOVERY CERTIFICATE NO. 7952 OF 2024                  | 27-09-2024 |
| AABHA9528A | A. K. Roongta Huf                  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                             | Adjudication Order No: Order/GR/PU/2022-23/18215-18256 | 10-10-2024 |
| AAACH9471P | Roongta Rising Stock Pvt Ltd       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                             | Adjudication Order No: Order/GR/PU/2022-23/18215-18256 | 10-10-2024 |
| CGUPS0090N | Anil Kumar Sharma                  |                                                                                                                                                                                                                                                                                                                 |                                                        | 14-10-2024 |
| AIMPG6205H | Mr. Girish Chandra Gupta           | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961, NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.               | CERTIFICATE NO. 6390 OF 2023                           | 14-10-2024 |

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| BMHPS8135C | Ms. Bhawani Srivastava | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961, NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                     | CERTIFICATE NO. 6390 OF 2023         | 14-10-2024 |
| BDDPJ0903L | Jagadeesan S           | Under Section 11(1), 11(4), 11(4A), 11B (1) and 11B (2) of the Securities and Exchange Board of India Act, 1992 read with Rule 4 of the Securities and Exchange Board of India (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995.                                                                                                    | QJA/GR/SRO/SRO/29770/2023-24         | 15-10-2024 |
| BZAPM0098N | Nitu Marethia          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                         | RECOVERY CERTIFICATE NO 7348 OF 2023 | 15-10-2024 |
| CDDPS5928P | Satyendra Singh        | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014. | CERTIFICATE NO 1914/2019             | 15-10-2024 |
| CLHPK5064N | Afasar Khan            | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014.                                                                                                                                      | CERTIFICATE NO 1914/2019             | 15-10-2024 |

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| BHIPP4346J | Santosh Pawar                          | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961.                                                                                                                                       | CERTIFICATE NO.<br>RC3022/2020 | 15-10-2024 |
| CBIPS7345R | Abadh Kumar Singh                      | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961.                                                                                                                                      | CERTIFICATE NO.<br>RC3032/2020 | 15-10-2024 |
| AAKCA5452F | Adamant Infrastructures Limited        | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961.                                                                                                                                      | CERTIFICATE NO.<br>RC3314/2021 | 15-10-2024 |
| BCVPS0290L | Ms. Soma Sharma                        | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961.                                                                                                                                      | CERTIFICATE NO.<br>RC4297/2021 | 15-10-2024 |
| AAJCA8863D | Active Rural Development India Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4759/2022 | 15-10-2024 |

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| DFDPS3198A | Ms. Vandana Saha          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4759/2022 | 15-10-2024 |
| ABGPD2004E | Shri Dilip Kumar Diwakar  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4759/2022 | 15-10-2024 |
| ASKPK2385C | Shri Atendra Kumar        | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4760/2022 | 15-10-2024 |
| AAHCA6607P | Option One Industries Ltd | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4807/2022 | 15-10-2024 |

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| AHVPC3063F | Shri Vivek Chaurasia                                  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4807/2022 | 15-10-2024 |
| CMCPS8260C | Shri Vinod Kumar Shrivastava                          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4807/2022 | 15-10-2024 |
| AADCL2283J | M/S. Loftier Investment Advisor and Research Pvt. Ltd | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                             | CERTIFICATE NO.<br>7760/2024   | 15-10-2024 |
| AACCL2342M | Life Care Infrastructures India Limited               | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961                                                                                                                                       | CERTIFICATE NO.<br>RC3160/2020 | 15-10-2024 |

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| AAFCP3908E | Pragya Dairies and Agro Limited                             | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961.                     | CERTIFICATE No.RC3030/2020  | 15-10-2024 |
| DGXPK9360P | Jitendra Kumar                                              |                                                                                                                                                                                                                                                                                               |                             | 15-10-2024 |
| CTNPP8328L | Mahendrabhai Panchal                                        | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. RC7271/2023 | 15-10-2024 |
| BVPPJ3417H | M/s.Billionaire Solution (Sole Proprietor Mr. Akash Jaiswal | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. RC7397/2023 | 15-10-2024 |
| EDRPR4810K | Shri Rajesh Nath                                            | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 7544/2024   | 15-10-2024 |
| DXSPR9776L | Shri Shubham Rai                                            |                                                                                                                                                                                                                                                                                               |                             | 15-10-2024 |
| NSSPS1252P | M/s.Sanchi Research Proprietor-Mr. Ramgopal Set             | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 7670/2024   | 15-10-2024 |
| NSSPS1252P | Mr. Ramgopal Set                                            |                                                                                                                                                                                                                                                                                               |                             | 15-10-2024 |

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| AABFY3695C | Y P Enterprises                                                             | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                        | CERTIFICATE NO. 8033 OF 2024          | 16-10-2024 |
| AAECA8718H | AMS Powertronic Private Limited                                             |                                                                                                                                                                                                                                                                                                                                                      |                                       | 16-10-2024 |
| DAIPS9917R | Columbia Sales                                                              |                                                                                                                                                                                                                                                                                                                                                      |                                       | 16-10-2024 |
| AXFPR4439L | Ram Prakash & Its proprietorship firm viz. Khan Enterprise Aggarwal Traders |                                                                                                                                                                                                                                                                                                                                                      |                                       | 16-10-2024 |
| ADGPT9294C | Shashank Tekriwal                                                           |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| AAKPG2688Q | Hem Chand Gupta                                                             |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| AAHCS7579Q | Sikhar Infrastructure Private Limited                                       |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| DLZPS9807N | Jayanti Singh                                                               |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| AETPA7820D | Gopal Hari Agarwal                                                          |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| AGDPA4644F | Jatin Ahuja                                                                 |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| GUUPM8688E | Mr. Rajat Mishra                                                            |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| CGJPS6216D | Hemant Solapurkar                                                           |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| AACCR5455P | M/s Ripples Advisory Private Limited                                        |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| CGJPS6216D | Hemant Solapurkar                                                           |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| AACCR5455P | M/s Ripples Advisory Private Limited                                        |                                                                                                                                                                                                                                                                                                                                                      |                                       | 18-10-2024 |
| AAQCS7850M | Sanwaria Investment Consultants Pvt Ltd                                     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                        | RECOVERY CERTIFICATE NO. 7346 OF 2023 | 21-10-2024 |
| AJJPB1169R | Dinesh Singh Bhadoriya                                                      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AS AMENDED BY THE SECURITIES LAW (AMENDMENT) ACT, 2014. | CERTIFICATE NO. RC1914/2019           | 21-10-2024 |

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| AWTPK1049A | Sunil Kumar                  | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE No.RC3032/2020  | 21-10-2024 |
| ABUPG5799B | Shri Sanjay Gupta            | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE NO. RC3256/2021 | 21-10-2024 |
| AABCG5430A | Neesa Technologies Limited   | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE NO. RC3256/2021 | 21-10-2024 |
| ABIPJ6029P | Shri Kamendra Joshi          | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE NO. RC3256/2021 | 21-10-2024 |
| ADVPG4051D | Shri Yogesh Ghisumal Gemawat | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. | CERTIFICATE NO. RC3256/2021 | 21-10-2024 |

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| AQYPM7781N | Mr. Anand Mohan        | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961.                                                                                                                                      | CERTIFICATE NO.<br>RC3314/2021 | 21-10-2024 |
| ARWPS6298R | Mr. Prashant Sharma    |                                                                                                                                                                                                                                                                                                                                                                                                          |                                | 21-10-2024 |
| AAHPU7040F | Nilesh Upadhyay        | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4591/2022 | 21-10-2024 |
| ABOPY8869L | Shri Bipin Singh Yadav | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4760/2022 | 21-10-2024 |
| AHWPY1598A | Shri Rajkumar Yadav    | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4760/2022 | 21-10-2024 |

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| AJWPG8924E | Shri Siba Prosad Ghosh    | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4760/2022 | 21-10-2024 |
| ALIPJ5869M | Shri Anuj Jain            | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4807/2022 | 21-10-2024 |
| AESPA2305N | Shri Rajendra Agarwal     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992/SECTION 23JB OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956/SECTION 19-IB OF THE DEPOSITORIES ACT, 1996. | CERTIFICATE NO.<br>RC4807/2022 | 21-10-2024 |
| AAACR9384B | RFL International Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                   | CERTIFICATE<br>NO.RC7276/2023  | 21-10-2024 |

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| AXPPT8469C | Amit Tripathi       | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO.<br>7760/2024   | 21-10-2024 |
| APQPM8659A | Sanjoy Kumar Maiti  | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1                              | CERTIFICATE NO.<br>RC3160/2020 | 21-10-2024 |
| AJNPM1411D | Sujit Mitra         | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1                              | CERTIFICATE NO.<br>RC3160/2020 | 21-10-2024 |
| ADPPG0695P | Partha Pratim Ghosh | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1                              | CERTIFICATE NO.<br>RC3160/2020 | 21-10-2024 |
| ACAPL9691A | Banabarilal Lodhi   | NOTICE OF DEMAND UNDER RULE OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 read with SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 (As amended by the Securities Laws (Amendment) Act, 2014) READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961.                     | CERTIFICATE<br>No.RC3030/2020  | 21-10-2024 |

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| ACQPS5387Q | Shrenik Shah      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO.<br>7732/2024 | 21-10-2024 |
| BWTPS4387N | Anurag Srivastava | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO.<br>7750/2024 | 21-10-2024 |
| AJDPJ2709F | Lokendra Jain     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO.<br>7750/2024 | 21-10-2024 |
| FFDPS9776G | Sandeep Shriwas   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO.<br>7750/2024 | 21-10-2024 |
| AMJPT3407D | Vijay Singh Tomar | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO.<br>7750/2024 | 21-10-2024 |

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| BWTPS4387N | Anurag Srivastava | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                 | CERTIFICATE NO.<br>7750/2024                                            | 21-10-2024 |
| AJDPJ2709F | Lokendra Jain     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                 | CERTIFICATE NO.<br>7750/2024                                            | 21-10-2024 |
| FFDPS9776G | Sandeep Shriwas   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                 | CERTIFICATE NO.<br>7750/2024                                            | 21-10-2024 |
| AMJPT3407D | Vijay Singh Tomar | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                 | CERTIFICATE NO.<br>7750/2024                                            | 21-10-2024 |
| BNMPP8375B | Anamika Pandey    | SUB SHOW CAUSE NOTICE UNDER REGULATION 25(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008 IN THE MATTER OF RIPPLES ADVISORY PRIVATE LIMITED- SEBI REGISTERED IA. SUB SHOW CAUSE NOTICE UNDER RULE 4 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 IN THE MATTER OF RIPPLES ADVISORY PRIVATE LIMITED- SEBI REGISTERED IA. | SEBI/EAD-<br>5/AN/RG/29107/6/2024.<br>SEBI/EAD-<br>5/AN/RG/29102/6/2024 | 24-10-2024 |

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| CHCPD0925J | Balvinder Dhillon                                                                   | SUB SHOW CAUSE NOTICE UNDER REGULATION 25(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (INTERMEDIARIES) REGULATIONS, 2008 IN THE MATTER OF RIPPLES ADVISORY PRIVATE LIMITED- SEBI REGISTERED IA                                                                                           | SEBI/EAD-5/AN/RG/29102/7/2024.<br>SEBI/EAD-5/AN/RG/29102/10/2024 | 24-10-2024 |
| AAACO7265J | TOPLINE FABRICS PRIVATE LIMITED                                                     | UNDER SECTION 15-I (3) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992                                                                                                                                                                                                                    | WTM/ASB/IVD/ID2/1929 6/2022-23                                   | 25-10-2024 |
| AIDPG5053A | Sheetal Gupta                                                                       | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | SEBI/NRO/OW/P/2023/32 950/1 CERTIFICATE NO. 7070 OF 2023         | 28-10-2024 |
| BCFPK2068C | Devinder Kumar                                                                      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | SEBI/NRO/OW/P/2023/41 085/1 CERTIFICATE NO. 7211 OF 2023         | 28-10-2024 |
| AAACD3040L | DAYA BUILDERS PRIVATE LIMITED                                                       | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8144 OF 2024                                     | 30-10-2024 |
| AAACO7265J | TOPLINE FABRICS PRIVATE LIMITED (NOW KNOWN AS M.A. MARKET SERVICES PRIVATE LIMITED) | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8143 OF 2024                                     | 30-10-2024 |

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| AARHS9086F | SUNIL KUMAR LODHA HUF                                | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                    | ADJUDICATION ORDER NO. ORDER/SM/S./2023-24/27833       | 31-10-2024 |
| AAACW9754E | Weird Infrastructure Corporation Limited             | SCN NO. SEBI/NRO/SCN/SR/P/OW/2024/26601/1, DATED 22 AUGUST HAS BEEN ISSUED IN THE CAPTIONED MATTER . THE SAID SCN WAS SENT THROUGH REGISTERED POST AT YOUR LAST KNOWN ADDRESS, HOWEVER SAME HAS RETURNED UNDELIVERED.                                                                         | SEBI/NRO/P/OW/2024/28542/3, SEBI/NRO/P/OW/2024/28542/4 | 31-10-2024 |
| ANUPJ8465D | Mr Jadunath Jena                                     | SCN NO. SEBI/NRO/SCN/SR/P/OW/2024/26601/1, DATED 22 AUGUST HAS BEEN ISSUED IN THE CAPTIONED MATTER . THE SAID SCN WAS SENT THROUGH REGISTERED POST AT YOUR LAST KNOWN ADDRESS, HOWEVER SAME HAS RETURNED UNDELIVERED.                                                                         | SEBI/NRO/P/OW/2024/28542/5                             | 31-10-2024 |
| AANCS2863F | Sunrise Legal Advisor and Consultant Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7993 OF 2024                  | 04-11-2024 |
| AAHCS0386H | Sri Jagannath Alloys Pvt Ltd                         | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7359 OF 2023                  | 04-11-2024 |
| AAECP9398K | Paramdham Vinimay Pvt Ltd                            | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7296 OF 2023                  | 04-11-2024 |

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| AACCK4103F | Kaustav Construction Private Limited           | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8001<br>OF 2024                                | 04-11-2024 |
| BWIPS3911H | Ameet Singh                                    | NOTICE OF HEARING IN THE MATTER OF RE INDIA INFRA TECH LIMITED                                                                                                                                                                                                                                | SEBI/NRO/GN/SR/OW/H<br>N/2024/21533/1                                      | 05-11-2024 |
| AABCC5031H | CHP Finance Private Limited                    | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8050<br>OF 2024                                            | 06-11-2024 |
| AAACF3149C | Frontline Biosystems Ltd.                      | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                   | ADJUDICATION ORDER<br>NO. ISD/SL/AO/DRK-<br>DS/EAD3-517-527/61-71-<br>2014 | 07-11-2024 |
| AAOPG1125C | SWATI GUPTA                                    | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8172<br>OF 2024                                            | 07-11-2024 |
| AABCF2582N | FUTURESTIC<br>INTERNATIONAL PRIVATE<br>LIMITED | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8141<br>OF 2024                                | 07-11-2024 |

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| AVHPG5782H | Mohan Garg & his Proprietorship firm viz. Garg Traders & Suppliers | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8032 OF 2024          | 07-11-2024 |
| AAGHG6952F | GAURAV BHATIA AND SONS HUF                                         | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8094 OF 2024          | 07-11-2024 |
| AARCS6606E | Subhrekha Dealmark Pvt Ltd                                         | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7992 OF 2023 | 08-11-2024 |
| ACIPA1867D | Pushpa Devi Agarwal                                                | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7363 OF 2023 | 08-11-2024 |
| AAICM8785F | MC Securities Ltd                                                  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7292 OF 2023 | 08-11-2024 |

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| AAECM7068B | Manas Mercantile Pvt Ltd          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.       | RECOVERY CERTIFICATE NO. 7291 OF 2023                    | 08-11-2024 |
| AAKHS2700K | BH Shah HUF                       | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                         | ADJUDICATION ORDER NO. Order/SM/AS/2023-24/29352-29356   | 08-11-2024 |
| AAQFB5938G | Bakul Garments LLP                | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                                                                                                                                 | ADJUDICATION ORDER NO. Order/AN/HP/2023-24/29914-29945   | 11-11-2024 |
| AYFPA9042F | Namita Aggarwal                   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.       | SEBI/NRO/OW/P/2023/44 952/1 CERTIFICATE NO. 7336 OF 2023 | 11-11-2024 |
| AAECC3138N | Capacious Farming Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 R/W SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.       | SEBI/NRO/OW/P/2024/34 82/1 CERTIFICATE NO. 7534 OF 2024  | 11-11-2024 |
| ACQPY5145E | Gaurav Yadav                      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | SEBI/NRO/OW/P/2024/34 82/1 CERTIFICATE NO. 7534 OF 2024  | 11-11-2024 |

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| BCLPS1117G | Gurbakhsh Singh                        | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | SEBI/NRO/OW/P/2024/34 82/1 CERTIFICATE NO. 7534 OF 2024 | 11-11-2024 |
| AACCE0416B | Eco Friendly Food Processing Park Ltd. | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8022 OF 2024                            | 11-11-2024 |
| ALBPT6629A | Jitendra Kumar Tiwari                  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8062 OF 2024                            | 11-11-2024 |
| AACCN9621P | Neelkamal Deacom P. Ltd.               | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                 | ADJUDICATION ORDER NO:AO/SBM/EAD-3/35-56/2017           | 13-11-2024 |
| AAECP8654J | Pushpanjali Hirise Pvt. Ltd.           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                 | ADJUDICATION ORDER NO:AO/SBM/EAD-3/35-56/2017           | 13-11-2024 |
| ARAPS8707R | Romil B Shah                           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                         | ADJUDICATION ORDER SM/AS/2023-24/29352-29356            | 14-11-2024 |

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| CDEPK3717K | Mr. Mrityunjay Kumar                                                                           | UNDER SECTIONS 11(4), 11 (B)(1), 11(4A) AND 11(B)(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 3(1) OF THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013 AND UNDER SECTION 15-I OF THE SEBI ACT, 1992 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | QJA/AA/NRO/NRO/30187 /2023-24                            | 14-11-2024 |
| AAJPS3797D | Sarbjit Singh                                                                                  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                     | CERTIFICATE NO. 7304 OF 2024                             | 18-11-2024 |
| ABMPA7898P | Munna Lal Agarwal                                                                              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                     | CERTIFICATE NO. 7334 OF 2023                             | 18-11-2024 |
| CLKPM2478P | Muskaan Arora                                                                                  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                     | SEBI/NRO/OW/P/2023/44 953/1 CERTIFICATE NO. 7337 OF 2023 | 18-11-2024 |
| AWWPK8525E | Satendra Kumar & his Proprietorship firm viz. Bright Securities, A R Enterprise, Nisha Traders | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                     | SEBI/NRO/OW/P/2023/32 964/1 CERTIFICATE NO. 7074 OF 2023 | 18-11-2024 |

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| AWWPK8525E | Satendra Kumar & his Proprietorship firm viz. Bright Securities, A R Enterprise, Nisha Traders | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8020 OF 2024 | 18-11-2024 |
| AACCG6377M | M/s. Goldline International Finvest Ltd.                                                       | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8021 OF 2024 | 18-11-2024 |
| ARUPK1589P | Sumit Kumar & its Proprietorship firm viz. Vijay Bhagwandas & Co., Durga Prasad & Co.          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8024 OF 2024 | 18-11-2024 |
| AAKHA1804N | Anil Kumar Garg HUF                                                                            | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8025 OF 2024 | 18-11-2024 |
| AAIHD6045G | Deva Nand Aggarwal HUF                                                                         | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8026 OF 2024 | 18-11-2024 |

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| AACCR3509E | Fern Healthcare Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8058 OF 2024 | 18-11-2024 |
| AAACM0216F | Modland Wears Pvt. Ltd          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8059 OF 2024 | 18-11-2024 |
| AGOPM7538H | Awanish Kumar Mishra            | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8061 OF 2024 | 18-11-2024 |
| AEYPJ0761M | Kamla Jain                      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8063 OF 2024 | 18-11-2024 |
| AAUPN5467E | Radhika Nevatia                 | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8091 OF 2024 | 18-11-2024 |

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| AAOCS8998N | Sumpoorna Portfolio Limited                                         | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8133 OF 2024                                              | 18-11-2024 |
| DYLPS2734D | Prem Shankar                                                        | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8132 OF 2024                                              | 18-11-2024 |
| AAAHB9543D | Banwari Lal Arora HUF                                               | RECOVERY CERTIFICATE NO. 7020 OF 2023 AGAINST BANWARI LAL ARORA HUF IN THE MATTER OF DEALINGS IN ILLIQUID STOCK OPTIONS AT THE BOMDAY STOCK EXCHANGE                                                                                                                                                | RECOVERY CERTIFICATE NO. 7020 OF 2023                                     | 18-11-2024 |
| ANUPK3333M | Manish Kumar Kanodia                                                | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | SEBI/NRO/OW/P/2023/44 884/1 CERTIFICATE NO. 70328 OF 2023                 | 18-11-2024 |
| AABCR5196G | Brain Strong Consulting Ltd.<br>(Earlier Wellindia Securities Ltd.) | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | SEBI/NRO/OW/P/2023/30 506/1 CERTIFICATE NO. 7016 OF 2023                  | 18-11-2024 |
| AUYPV2775R | Mr. Mangilal Verma                                                  | NOTICE OF PERSONAL HEARING IN THE MATTER OF EPIC TRADERS- PROPRIETOR-MR MANGILAL VERMA                                                                                                                                                                                                              | SEBI/WRO/ILO/NKS/OW/P/34015/1/2024,<br>SEBI/WRO/ILO/NKS/OW/P/34014/1/2024 | 21-11-2024 |

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| AAGCA8260K | Atlas Jewellery Private Limited               | Under Sections 11 (1), 11(4) and 11B (1) of the Securities and Exchange Board of India Act, 1992 read with Section 12A of the Securities Contracts (Regulation) Act, 1956 In Re: Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011, Securities Contracts (Regulation) Rules, 1957 and Listing Agreement In the matter of Atlas Jewellery India Limited | WTM/MB/CFD/DCR/1228<br>4A/2021-22             | 21-11-2024 |
| AAACI0202K | International Diamond Services Ltd.           | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                      | ADJUDICATION ORDER<br>NO. BM/AO-18/2010       | 22-11-2024 |
| AUYPV2775R | Epic Traders, Proprietor – Mr. Mangilal Verma | NOTICE OF PERSONAL HEARING IN THE MATTER OF EPIC TRADERS- PROPRIETOR-MR MANGILAL VERMA                                                                                                                                                                                                                                                                                                                          | SEBI/WRO/ILO/NKS/OW/<br>P/34014/1/2024        | 22-11-2024 |
| CUEPS1687K | Sukhwinder Singh                              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                             | Certificate no. 3165 of<br>2020, NRO/OW/20476 | 27-11-2024 |
| CLEPS7179D | Gurwinder Singh                               | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                             | Certificate no. 3165 of<br>2020, NRO/OW/20476 | 27-11-2024 |
| BQXPS7815M | Kuldeep Singh                                 | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                             | Certificate no. 3165 of<br>2020, NRO/OW/20476 | 27-11-2024 |

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| CRRPS1400A | Mahavir Singh                   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | Certificate no. 3165 of 2020, NRO/OW/20476 | 27-11-2024 |
| COUPS1306H | Sukhchain Singh                 | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | Certificate no. 3165 of 2020, NRO/OW/20476 | 27-11-2024 |
| AQXPR2438L | Prince Rana                     | BEFORE THE SECURITIES AND EXCHANGE BOARD OF INDIA CORAM : KAMLESH C VARSHNEY, WHOLE THE MEMBER FINAL ORDER, UNDER SECTION 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                | WTM/KV/EFD/DRA/30326/2024-25               | 28-11-2024 |
| ADSPA9050B | Mr. Anil Kumar Agarwal          | UNDER THE SEBI (PROCEDURE FOR HOLDINGS INQUIRY AND IMPOSING PENALTIES BY THE ADJUDICATION OFFICER) RULES, 1995                                                                                                                                                                                      | ORDER                                      | 28-11-2024 |
| AABCE7405K | EXCEL BUILDTECH PRIVATE LIMITED | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8249 OF 2024               | 29-11-2024 |

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| AIFPM3626B | USHA MAURYA                             | BASED ON THE INFORMATION PROVIDED BY THE EFD -1\DRA5 IN FORM-1 VIDE OFFICE NOTE ON OCTOBER 29,2024, I, KSHAMA P. WAGHERKAR, RECOVERY OFFICER CERTIFY THAT A SUM OF RS. 5,96,000/- (RUPEES FIVE LAKH NINETY SIX THOUSAND ONLY) IS DUE FROM USHA MAURYA (PAN AAKCM1468M) AS GIVEN ALONG WITH FURTHER INTEREST, ALL COST, CHARGES AND EXPENSES INCURRED IN RESPECT OF ALL PRECEEDINGS TAKEN FOR RECOVERY OF THE SAID SUM | RECOVERY CERTIFICATE NO. 8250 OF 2024                 | 29-11-2024 |
| AAKCM1468M | Money Mishra Securities Private Limited | UNDER SECTION 11(1), 11(4), 11B(1), 11(4A) AND 11(B)(2) OF THE SEBI ACT, 1992 READ WITH REGULATION 3 OF THE SEBI (PORTFOLIO MANAGERS) REGULATIONS, 1993READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES ) RULES, 1995.                                                                                                                                                              | QJA/AA/IMD/IMD-SEC-1/30316/2024-25                    | 29-11-2024 |
| AADCG6785A | Gaungour Suppliers Private Limited      | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                        | ADJUDICATION ORDER NO: Order/AA/AR/2020-21/8690-8721] | 03-12-2024 |
| AHPPA3304H | PARTHASARTHI ADHIKARI                   | BEFORE THE SECURITIES AND AND EXCHANGE BOARD OF INDIA CORAM : KAMLESH C VARSHNEY, WHOLE THE MEMBER FINAL ORDER, UNDER SECTION 11, 11(4) AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                              | WTM/KV/EFD/DRA/30326/2024-25                          | 04-12-2024 |
| ADIPS2660P | Chirag Shah                             | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                                            | ADJUDICATION ORDER MO. Pkk/A0/191/2011                | 05-12-2024 |
| AAZFM1357R | Money Mishra Financial Services         | UNDER SECTION 11(1), 11(4), 11B(1), 11(4A) AND 11(B)(2) OF THE SEBI ACT, 1992 READ WITH REGULATION 3 OF THE SEBI (PORTFOLIO MANAGERS) REGULATIONS, 1993READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES ) RULES, 1995.                                                                                                                                                              | QJA/AA/IMD/IMD-SEC-1/30316/2024-25                    | 05-12-2024 |

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| AUXPA3314Q | Himanshu Arora                                   | UNDER SECTION 11(1), 11(4), 11B(1), 11(4A) AND 11(B)(2) OF THE SEBI ACT, 1992 READ WITH REGULATION 3 OF THE SEBI (PORTFOLIO MANAGERS) REGULATIONS, 1993 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES ) RULES, 1995. | QJA/AA/IMD/IMD-SEC-1/30316/2024-25                     | 05-12-2024 |
| AACCG5385R | Gulistan Vanijya Pvt Ltd                         | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                            | ADJUDICATION ORDER NO: Order/AA/AR/2020-21/8690-8721   | 06-12-2024 |
| AACCG0062C | Janvi Tanvi Share Traders Private Limited        | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                            | ADJUDICATION ORDER NO: EAD-3/VKV/GSS/2019-20/6861-6869 | 06-12-2024 |
| AABCH4523R | Heranba Finvest Services Private Limited         | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                            | ADJUDICATION ORDER NO: Order/AA/AR/2020-21/8690-8721   | 06-12-2024 |
| AABCS5265M | South Asia Portfolios Private Limited            | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                            | ADJUDICATION ORDER NO: EAD-3/VKV/GSS/2019-20/6861-6869 | 06-12-2024 |
| AAACS5142E | Sukusama Trading and Investments Private Limited | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                            | ADJUDICATION ORDER NO: Order/AA/AR/2020-21/8690-8721   | 06-12-2024 |
| AADCR7368C | Ranisati Dealer Pvt Ltd                          | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                            | ADJUDICATION ORDER NO: Order/AA/AR/2020-21/8690-8721   | 06-12-2024 |

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| AADCN8108N | Nikita Enterprise Private Ltd               | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                      | ADJUDICATION ORDER<br>NO: Order/SM/MG/2020-21/10579-10580 | 06-12-2024 |
| BDJPG6082P | Usha Gupta                                  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 7961<br>OF 2024               | 12-12-2024 |
| AAOCS7903F | Sunbright Commodities Trade Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8146<br>OF 2024               | 12-12-2024 |
| AAECG1347F | Ghar Aangan Distributors Private Limited    | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8211<br>OF 2024               | 12-12-2024 |
| AJAPS0361D | Bina Singhania                              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8002<br>OF 2024               | 12-12-2024 |

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| AAJHA7611L | Atul Tanna HUF                                                                   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8106<br>OF 2024         | 12-12-2024 |
| AAFCA1262N | Appu Marketing and Manufacturing Limited (Now known as Ejecta Marketing Limited) | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8209<br>OF 2024         | 12-12-2024 |
| AACMS9183M | Saraswati Sales Pvt Ltd                                                          | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                      | ADJUDICATION ORDER<br>NO: Order/VV/NK/2023-24/27773 | 12-12-2024 |
| AADCD0686P | Devbhumi Suppliers Pvt Ltd                                                       | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8057<br>OF 2024         | 13-12-2024 |
| AAECG5218M | Gokul Retailers Pvt Ltd                                                          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 7323<br>OF 2024         | 13-12-2024 |

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| AABCK1567G | Golden Bull Research and Growth Ltd | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8085 OF 2024       | 13-12-2024 |
| AUWPJ3225E | Mithilesh Kumar Jha                 | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8120 OF 2024       | 13-12-2024 |
| AVZPS6488G | Nalini Sanwal                       | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8100 OF 2024       | 13-12-2024 |
| AADCN7274M | Nufact Merchandise Pvt Ltd          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7289 OF 2023       | 13-12-2024 |
| AESPS2135J | Vasant C Shah                       | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                    | ADJUDICATION ORDER NO: PKB/AO-116/2010      | 16-12-2024 |
| ABSPN2640J | Altaf Ahmed G.Nagad                 | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                    | ADJUDICATION ORDER NO: RA/DPS/14-15 OF 2015 | 16-12-2024 |

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| ADBPS6310F | GIRRAJ SINGH                                  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8064 OF 2024                   | 16-12-2024 |
| AADCG6999E | Goodlife Commercial P. Ltd.                   | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                    | ADJUDICATION ORDER NO: BS/DP/2017-18/1673-1676 | 16-12-2024 |
| AAACW8385R | Welkin Investment Consultants Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7999 OF 2024          | 18-12-2024 |
| AABCU1506F | Uttam Dealers Private Limited                 | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8000 OF 2024          | 18-12-2024 |
| AALCS6093F | Seva Bhawan Private Limited                   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8167 OF 2024          | 18-12-2024 |

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| AKIPM9260E | Pratyoosh Kumar Mishra                             | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8102<br>OF 2024 | 18-12-2024 |
| AAGCM5438B | Mastery Marketing Private Limited                  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8147<br>OF 2024 | 18-12-2024 |
| AAAFK8628A | Khera Motor Finance Private Limited                | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 7998<br>OF 2024 | 18-12-2024 |
| AABCJ6752E | Jayanta Fanzen Lighting Industries Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8212<br>OF 2024 | 18-12-2024 |
| AACCD8763E | Devalaya Commercial Private Limited                | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8055<br>OF 2024 | 18-12-2024 |
| AHCPK7426P | Mr. Kamal Jitendra Katkoria                        | UNDER SECTION 11N AND 11(4) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                     | WTM/MPB/SEBI/efd/DR<br>A-3/05/2018          | 18-12-2024 |

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| AAOCS7375K | Soundlight Projects Private Limited   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7979 OF 2024 | 18-12-2024 |
| AABCW2566K | Worldwealth Dealtrade Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7990 OF 2024 | 18-12-2024 |
| AAECK2819G | Karabi Dealers Private Limited        | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8003 OF 2024 | 18-12-2024 |
| AAECK6455C | Kirteshwari Vintrade Private Limited  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8004 OF 2024 | 18-12-2024 |
| ANFPB6460K | Sanjay Kantibhai Baria                | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014                                                                              | CERTIFICATE NO. RC2338/2019/RV        | 18-12-2024 |

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| ADIPR9087A | Ratnaram B Rabari            | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014 WITH SECTION 222 OF THE INCOME TAX ACT, 1961                                 | CERTIFICATE NO. RC2608/2019                      | 18-12-2024 |
| AACMS9183M | SARSWATI SALES PVT LTD       | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                    | ADJUDICATION ORDER NO: Order/VV/NK/2023-24/27773 | 19-12-2024 |
| AICPR0141F | Prakash Kumar Ramuka         | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8097 OF 2024            | 20-12-2024 |
| AAXPD9770F | Sulochana Dalmia             | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7977 OF 2024            | 24-12-2024 |
| AAACQ1691G | Queen Tie-Up Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8086 OF 2024            | 24-12-2024 |

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| AADCC5615P | Crest Vanijya Private Limited    | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8096<br>OF 2024 | 24-12-2024 |
| AADCS5722R | Sonali Suppliers Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8152<br>OF 2024 | 24-12-2024 |
| ADJPB3183D | Usha Bansal                      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8153<br>OF 2024 | 24-12-2024 |
| AELPC5083L | Ratnaram Bhavram Choyal          | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014 WITH SECTION 222 OF THE INCOME TAX ACT, 1961                                 | CERTIFICATE NO.<br>RC2608/2019              | 24-12-2024 |
| EXHPS9436L | Henal Hemantbhai Shah            | NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT, 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AS AMENDED BY THE SECURITIES LAWS (AMENDMENT) ACT, 2014 WITH SECTION 222 OF THE INCOME TAX ACT, 1961                                 | CERTIFICATE NO.<br>RC2876/2020              | 24-12-2024 |

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| AFEPV5742H | HINA VIJAYKUMAR VORA                  | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                    | ADJUDICATION ORDER NO: Order No. AK/AO-15-20/2015 | 26-12-2024 |
| BTGPM3916H | Kuber Capital                         | Under Section 11(1), 11(4), 11(B) (1), 11(4A), and 11B (2) of the Securities and Exchange Board of India Act, 1992 read with regulation 3(1) SEBI ( Investment Advisers) Regulation 2013.                                                                                                           | QJA/AA/WRO/WRO/2264 5/2022-23                     | 30-12-2024 |
| AAECR3716R | Raghukul Shares India Private Limited | Under 11(1), 11 (4), 11B (1) and 11 D of the Securities and Exchange Board of India Act, 1992 In the matter of Raghukul Shares India Private Limited                                                                                                                                                | WTM / SM / MIRSD / MIRSD-SEC-4 / 26976 / 2023-24  | 03-01-2025 |
| ACIPS7085F | Jitendra J shah                       | ORDER AGAINST SHRI JITENDRA J SHAH UNDER RULE 5(1) OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                             | EMAIL BASED SCN DATED 29-06-2004                  | 03-01-2025 |
| AAKCA2392Q | Aromatic Tie Up Pvt. Ltd.             | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8309 OF 2024             | 06-01-2025 |
| AACCN8485F | Namaskar Dealcom Private Limited      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8341 OF 2024             | 06-01-2025 |
| BSMPS0016F | Swati Bajaj                           | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8353 OF 2024             | 06-01-2025 |

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| ADYPG3727C | Vivek Company                   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8236 OF 2024 | 06-01-2025 |
| BFSPR4717P | Saloni Ruia                     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8383 OF 2024 | 07-01-2025 |
| AADHC6879C | Chetan Manwani HUF              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8409 OF 2024 | 07-01-2025 |
| AAACQ7265J | Topline Fabrics Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8449 OF 2024 | 07-01-2025 |
| BCNPQ7383N | Subhra Garg                     | PENALTY IMPOSED BY THE ADJUDICATING OFFICER VIDE ORDER NO. ORDER NO. Order/AK/AJ/2023-24/29013 DATED AUGUST 30, 2023 IN THE MATTER OF DEALINGS IN ILLIQUID STOCKS OPTIONS AT BSE                                                                                                                    | CERTIFICATE NO. 8453 OF 2024          | 07-01-2025 |

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| ATUPS9251J | Amreen Sukhyani               | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                                                                                                | CERTIFICATE NO. 8360 OF 2024                         | 08-01-2025 |
| AJTPM2056N | Ratanlal Mardia               | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                                                                                                                                                                           | ADJUDICATION ORDER NO: Order/GR/KG/2019-20/7154-7157 | 09-01-2025 |
| AAAPI2428J | Mr. Kollenmareth Oomman Isaac | UNDER SECTION 11 & 11B OF THE SECURITIES & EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | WTM/SKM/EFD1-DRAI/02/2019-20                         | 09-01-2025 |
| AACCP6748B | Pigeon Construction Pvt Ltd   | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 AND SECTION 23-I OF THE SECURITIES CONTRACT (REGULATIONS) ACT 1956, ACT READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATIONS) (PROCEDURE FOR HOLDINGS INQUIRY AND IMPOSING PENALTIES ) RULES, 2005 AND SECTION 19H OF THE DEPOSITORIES ACT, 1996 READ WITH RULE 4 OF DEPOSITORIES (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 | ADJUDICATION ORDER NO: Order/GR/KG/2019-20/7154-7157 | 09-01-2025 |
| ADYPM7131K | Atul Mardia                   | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                                                                                                                                                                           | ADJUDICATION ORDER NO: Order/GR/KG/2019-20/7154-7157 | 09-01-2025 |

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| AAQPM1219H | Sanjay Rai Malhotra                  | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 AND SECTION 23-I OF THE SECURITIES CONTRACT (REGULATIONS) ACT, 1956 READ WITH RULES 5 OF THE SECURITIES CONTRACT (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO: Order/GR/KG/2019-20/7154-7157 | 09-01-2025 |
| AAECR1541A | RAGHAV CAPITAL AND INFRASTRUCTURE    | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/GR/RR/2020-21/9536-9539 | 10-01-2025 |
| AANFB7695P | M/s. Bourse India Investment Advisor | Under Section 11(1), 11(4), 11(B) (1), 11(4A), 11B (1) and 11B (2) of the Securities and Exchange Board of India Act, 1992 read with Rule 4 of the securities and Exchange Board of India (Procedure for holding inquiry and imposing penalties) Rules, 1995                                                                                                                                      | QJA/AA/WRO/WRO/2264 5/2022-23                        | 10-01-2025 |
| AHWP9045N  | NIRMALA RAGHAV                       | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/GR/RR/2020-21/9536-9539 | 10-01-2025 |
| AADCG3846Q | Glorious Vincom Private Limited      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                               | RECOVERY CERTIFICATE NO. 8345 OF 2024                | 10-01-2025 |
| AAHCM6553G | Malcom Suppliers Private Limited     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                               | RECOVERY CERTIFICATE NO. 8371 OF 2024                | 10-01-2025 |

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| ABBPJ2880M | Nemichand Kasturchand Jain      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8395 OF 2024 | 13-01-2025 |
| AAGCM2757D | Magus Cars Limited              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8382 OF 2024 | 13-01-2025 |
| AGJPM6202B | Virender Pal Mehta              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8454 OF 2024 | 13-01-2025 |
| AAKCS7804F | SSE Commodities Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8251 OF 2024 | 14-01-2025 |
| AAHHD4142B | Deepak Goel HUF                 | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8358 OF 2024 | 14-01-2025 |

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| ACTPG7828D | Pankaj Goel                                                                              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                | CERTIFICATE NO. 8390 OF 2024 | 14-01-2025 |
| AADCC4915E | Carona Infra Projects Private Limited (Now known as Alright Merchantile Private Limited) | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                | CERTIFICATE NO. 8394 OF 2024 | 14-01-2025 |
| AGFPA8312C | Vivek Aggarwal                                                                           | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                | CERTIFICATE NO. 8452 OF 2024 | 14-01-2025 |
| AJAPG0901B | Kirtidan K Gadhavi                                                                       | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8372 OF 2024 | 14-01-2025 |
| AJAPG0901B | Kirtidan K Gadhavi                                                                       | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8373 OF 2024 | 14-01-2025 |

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| AJAPG0901B | Kirtidan K Gadhavi | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8374 OF 2024 | 14-01-2025 |
| AJAPG0901B | Kirtidan K Gadhavi | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8375 OF 2024 | 14-01-2025 |
| AJAPG0901B | Kirtidan K Gadhavi | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8376 OF 2024 | 14-01-2025 |
| AJAPG0901B | Kirtidan K Gadhavi | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8377 OF 2024 | 14-01-2025 |
| AJAPG0901B | Kirtidan K Gadhavi | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8378 OF 2024 | 14-01-2025 |

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| AJAPG0901B | Kirtidan K Gadhavi  | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8379 OF 2024 | 14-01-2025 |
| AJRPS7737C | Ashish Panalal Shah | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8372 OF 2024 | 14-01-2025 |
| AJRPS7737C | Ashish Panalal Shah | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8373 OF 2024 | 14-01-2025 |
| AJRPS7737C | Ashish Panalal Shah | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8374 OF 2024 | 14-01-2025 |
| AJRPS7737C | Ashish Panalal Shah | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8375 OF 2024 | 14-01-2025 |

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| AJRPS7737C | Ashish Panalal Shah     | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8376 OF 2024   | 14-01-2025 |
| AJRPS7737C | Ashish Panalal Shah     | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8377 OF 2024   | 14-01-2025 |
| AJRPS7737C | Ashish Panalal Shah     | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8378 OF 2024   | 14-01-2025 |
| AJRPS7737C | Ashish Panalal Shah     | CORRIGENDUM TO CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8379 OF 2024   | 14-01-2025 |
| ATJPC5720H | Shenkey Chaurasia       | Under Section 11(1), 11(4), 11B (1), and 11B (2) of the Securities and Exchange Board of India Act, 1992 read with Rule 4 of the Securities and Exchange Board of India (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995                                                                         | QJA/KS/WRO/WRO/2894 5/2023-24  | 16-01-2025 |
| AXTPK1590M | MR. PANKAJ KHANCHANDANI | Under Section 11(1), 11(4), 11B, and 11D of the Securities and Exchange Board of India Act, 1992.                                                                                                                                                                                                                  | WTM/ASB/WRO/WRO/19 310/2022-23 | 16-01-2025 |

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| AAACP4032A | PACL Ltd.                             | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                    | ADJUDICATION ORDER NO: ORDER/GR/KG/2019-20/3359 | 16-01-2025 |
| AABCF8592J | Fastglow Distributors Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8286 OF 2024           | 20-01-2025 |
| AABCK8634L | Kirti Tracon Private Limited          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8367 OF 2024           | 20-01-2025 |
| AACCE9351K | Ecospace Distributors Pvt. Ltd.       | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8285 OF 2024           | 20-01-2025 |
| AACCJ5456G | Jyotiraditya Vincom Pvt. Ltd.         | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8365 OF 2024           | 20-01-2025 |

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| AADCD5746L | Daredevil Agencies Pvt. Ltd.     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8288<br>OF 2024 | 20-01-2025 |
| AADCV5277G | Versatile Saree Trader Pvt. Ltd  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8272<br>OF 2024 | 20-01-2025 |
| AADCV5566C | Vidyavaridhi Dealtrade Pvt. Ltd. | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8252<br>OF 2024 | 20-01-2025 |
| AAJHS6712E | SK Agarwal and Sons HUF          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8354<br>OF 2024 | 20-01-2025 |
| AAYHS3088Q | Sanjay Shastri HUF               | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8355<br>OF 2024 | 20-01-2025 |

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| AYWPK0382M | Sangita Karmakar                                            | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8364<br>OF 2024 | 20-01-2025 |
| BMXPA3387E | Minakshi Agarwal                                            | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8363<br>OF 2024 | 20-01-2025 |
| AAHCC3377N | M/S CREFIN INDIA<br>MANAGEMENT P.LTD                        | UNDER SECTION 11 AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                                   | WTM/AN/WRO/WRO/292<br>58/2023-24            | 21-01-2025 |
| AACCU2196G | UDAY INTELICALL PVT.<br>LTD.                                | UNDER SECTION 11(1), 11(4), AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                     | WTM/AB/WRO/WRO/264<br>45/2023-24            | 21-01-2025 |
| IUKPS1044F | MR. RAJAT SARAF                                             | UNDER SECTION 11(1), 11(4), AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                     | WTM/AB/WRO/WRO/264<br>45/2023-24            | 21-01-2025 |
| ASAPJ7659J | MS. KALPANA JAIN                                            | UNDER SECTION 11(1), 11(4), AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                     | WTM/AB/WRO/WRO/264<br>45/2023-24            | 21-01-2025 |
| AADCI0022Q | Indo global Financial Services and<br>Consultancy Pvt. Ltd. | UNDER SECTION 11(1), 11(4), AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                     | WTM/AB/NRO/NRO/2787<br>6/2023-24            | 21-01-2025 |
| ALOPB7339L | Tilak Bhardwaj                                              | UNDER SECTION 11(1), 11(4), AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                     | WTM/AB/NRO/NRO/2787<br>6/2023-24            | 21-01-2025 |
| BERPR1999P | MUSE TRADERS                                                | UNDER SECTION 11(1), 11(4), 11B (1) AND 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 3(1) OF THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013                                                                                                                | QJA/GG/QJC/QJC-<br>2/26152/2023-24          | 21-01-2025 |
| BBOPJ6519H | PURE TRADERS                                                | UNDER SECTION 11(1), 11(4), 11B (1) AND 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 3(1) OF THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013                                                                                                                | QJA/GG/QJC/QJC-<br>2/26152/2023-24          | 21-01-2025 |

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| EWEPB1991R | STANDARD CHARTISTS - PROPRIETOR MR. HEET MANISH | UNDER SECTION 11(1), 11(4), 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 3(1) OF THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013                                                                                                                                                                                                                        | QJA/AA/WRO/WRO/30066/2023-24                     | 22-01-2025 |
| AZQPR2305G | ANANT RATHORE                                   | UNDER SECTION 11, 11B (1) AND 11(4)ALONG WITH SECTION 114(A) AND 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                                                                                                     | WTM/AB/WRO/WRO/25157/2022-23                     | 22-01-2025 |
| AWVPN0180D | W Gain Research and Development Proprietor Shri | Under Section 11(1), 11(4), 11B (1), 11B (2) and 11D of the Securities and Exchange Board of India Act, 1992 read with Rule 4 of the Securities and Exchange Board of India (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995                                                                                                                                                       | QJA/SVMWR/WRO/WRO/29848/2023-24                  | 22-01-2025 |
| AAFCP5386A | PREVIEW VINIMAY PRIVATE LIMITED                 | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                     | ADJUDICATION ORDER NO: ORDER/BM/GN/2024-25/30872 | 24-01-2025 |
| AABCB4470B | Dwitiya Trading Limited                         | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 READ WITH SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT, 1956. | ADJUDICATION ORDER NO: ORDER/GR/KG/2021-22/12619 | 24-01-2025 |
| AADCN0586A | Newedge Vinimay Pvt. Ltd.                       | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                  | RECOVERY CERTIFICATE NO. 8054 OF 2024            | 24-01-2025 |

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| AABCU1005D | Pedestal Infra Tech Services Pvt. Ltd. | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8054 OF 2024 | 24-01-2025 |
| AACCE9181F | Expertise Vintrade Pvt. Ltd.           | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8289 OF 2024 | 24-01-2025 |
| AADCC8835H | Cosmos Distributors Pvt. Ltd.          | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8287 OF 2024 | 24-01-2025 |
| AAECK2586N | Kinetic Vyapaar Pvt. Ltd.              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8253 OF 2024 | 24-01-2025 |
| AAEHN7129R | Neeraj Gandhi HUF                      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8366 OF 2024 | 24-01-2025 |

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| AAGCR0172D | Rudramukhi Infrastructure Pvt. Ltd. | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8343 OF 2024 | 24-01-2025 |
| AAJFN3554B | Surendra Sharma                     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8271 OF 2024 | 24-01-2025 |
| AAPCS2265R | Satellite Infraprojects Pvt. Ltd.   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8310 OF 2024 | 24-01-2025 |
| ACNFS2256B | Saru Trading Co.                    | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8351 OF 2024 | 24-01-2025 |
| AEKPA8540F | M/s R. Foundry                      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8160 OF 2024 | 24-01-2025 |

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| DMEPK3997P | Roshni Kumari                                      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8244 OF 2024                | 24-01-2025 |
| AJIPR8427K | RAJ KUMAR RAGHAV                                   | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO: ORDER/GR/RR/2020-21/9536-9539 | 24-01-2025 |
| NSSPS1252P | SANCHI RESEARCH PROPRIETOR RAMGOPAL SET            | Under Section 11(1), 11(4), 11B (1), 11B (2) and 11D of the Securities and Exchange Board of India Act, 1992 read with SEBI (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995 in the matter of M/S Sachi Research, Proprietor - Mr. Ramgopal Set.                                  | WTM/SM/WRO/WRO/24649/2022-23                         | 24-01-2025 |
| AOAPS0373N | Shri Ameet Savant Proprietor of Ventura            | UNDER SECTION 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                   | WTM/AN/WRO/WRO/29258/2023-24                         | 27-01-2025 |
| AVEPP8927C | MR.JEEVENDRA KUMAR PODDAR                          | UNDER SECTION 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                   | WTM/AN/WRO/WRO/29258/2023-24                         | 27-01-2025 |
| BTKPS6899H | Ms. Shipra Singh                                   | UNDER SECTION 11A AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                   | WTM/AN/WRO/WRO/29258/2023-24                         | 27-01-2025 |
| AAKCM6309D | Minance Technologies Private Limited (MTPL)        | UNDER SECTION 11(1), 11(4), 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                     | WTM/AB/SROSRO/16539/2022-23                          | 27-01-2025 |
| AKPPN5003M | CAPITAL GAINS FINANCIAL SERVICES PROPRIETOR MR R N | UNDER SECTION 11(1), 11(4) and 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                          | WTM/AB/WRO/WRO/21389/2022-23                         | 27-01-2025 |
| BLVPM9284R | MONEY CLASSIC INVESTMENT ADVISER                   | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/GR/RR/2020-21/9536-9539 | 27-01-2025 |
| BMAPT1283P | Mr. Sandeep Tiwari                                 | UNDER SECTION 11(1), 11(4) and 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 3(1) OF SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013.                                                                                                                               | QJA/AA/WRO/WRO/28401/2023-24                         | 27-01-2025 |

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| AVTPB7780L | Umesh Kumar Bhambhu                 | UNDER SECTION 11(1), 11(4), AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                      | WTM/AB/NRO/NRO/27876/2023-24                           | 27-01-2025 |
| BSKPG9592A | SHIVAAY INVESTMENT                  | UNDER SECTION 11(1), 11(4), 11(4A), 11B (1) and 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 4 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                    | QJA/KS/WRO/WRO/29694/2023-24                           | 27-01-2025 |
| BVBPB4487K | MRS RUPABEN K BHATT                 | UNDER SECTION 11(1), 11(4), 11(4A), 11B (1) and 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 4 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                    | QJA/KS/WRO/WRO/29694/2023-24                           | 27-01-2025 |
| BKIPB0010L | Mr.Kelvinbhai Bhatt                 | UNDER SECTION 11(1), 11(4), 11(4A), 11B (1) and 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 4 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                    | QJA/KS/WRO/WRO/29694/2023-24                           | 27-01-2025 |
| BWRPK1312F | TAJ ENTERPRISES                     | UNDER SECTION 11(1), 11(4), 11(4A), 11B (1) and 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATIONS 3(1) OF THE SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013                                                                                                       | QJA/GG/QJC/QJC-2/26152/2023-24                         | 27-01-2025 |
| AAFCG6444C | Grovalue Securities Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | CERTIFICATE NO. 8396 OF 2024                           | 28-01-2025 |
| AAICM8924A | MC COMMODITIES LIMITED              | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO: ORDERVVV/AS/2023-24/28806-28805 | 29-01-2025 |

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| ADKPD7701J | OM PRAKASH DALMIA                | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                               | ADJUDICATION ORDER NO: ORDER/GR/HK/2023-24/27927        | 29-01-2025 |
| AHJPR6079C | Mr. R. Ravichandran              | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 AND UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGILATIONS) ACT, 1956 READ WITH RULE 5 OF THE SECURITIES CONTRATS (REGULATIONS) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES ) RULES, 2005          | ADJUDICATION ORDER NO: ORDER/SM/AD/2022-23/16841-16848  | 29-01-2025 |
| AAACM2862M | Exelon Infrastructure Ltd.       | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 29-01-2025 |
| AAACY5598E | YOHANA VYAPAAR PRIVATE LIMITED   | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                               | ADJUDICATION ORDER NO: ORDERVV/JR/2020-21/8582          | 29-01-2025 |
| AAECG5613Q | GANESHVANI STEEL PRIVATE LIMITED | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                                               | ADJUDICATION ORDER NO: ORDERVV/NK/2023-24/27771         | 29-01-2025 |

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| AAKCA3654M | AUROPLUS MARKETING PRIVATE LIMITED                                 | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO: ORDER/AK/VP/2023-24/26511     | 29-01-2025 |
| AOTPA5434M | Subh Laxmi Trading Co                                              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8462 OF 2024                | 29-01-2025 |
| AAGHS3174M | Subhash Kumar Poddar HUF                                           | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8438 OF 2024                | 29-01-2025 |
| BBDPC8554N | FLANKING RESEARCH INVESTMENT ADVISOR PROPRIETOR MR. TARUN CHANDANI | UNDER SECTION 11(1), 11(4), 11(4A), 11B(1) AND 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                       | CGM/GG/QJC2/WRO/WR O/21679/2022-23                   | 30-01-2025 |
| AABCL0873C | Lakhi Packaging Pvt Ltd                                            | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO: ORDER/MC/DS/2020-21/8114-8141 | 04-02-2025 |
| AAECT6598B | TOPTECH ENTERPRISES PRIVATE LIMITED                                | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO: ORDER/VV/JR/2019-20/7321      | 04-02-2025 |

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| AUAPS8547G | Srinivas Yadav Sher  | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |
| ABVPD6656R | Veerabhadra D        | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |
| BCKPK1101P | MAKKENA RAMA KRISHNA | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |

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| AJXPR4789F | Ravi Chakravati   | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER<br>NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |
| AEZPB3408A | Shaik Ameer Basha | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER<br>NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |
| AOAPK4529E | Nagendra Komera   | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER<br>NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |

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| ABTPV8259J | Ajitbhai P Vasa      | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |
| BVSPK9348F | Salma Sharafat Khan  | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |
| AMIPJ5748G | Sharadbhai R Jhaveri | UNDER SECTION 23I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 15I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |

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| AZMPS2291J | Manish Ratilal Shah                       | UNDER SECTION 231 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956, SECTION 151 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 2005, AND RULES 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES 1995 | ADJUDICATION ORDER NO: EAD-7/BJD/NJMR/2018-19/1979-2006 | 04-02-2025 |
| AABCB4470B | Dwitiya trading limited                   | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 READ WITH SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT, 1956.      | ADJUDICATION ORDER NO: ORDER/GR/KG/2021-22/12617-12619  | 04-02-2025 |
| ACCPP5173B | VISHNUBHAI SUNDERLAL PAREKH               | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                       | ADJUDICATION ORDER NO: ORDER/AS/2021-22/15779-15780     | 04-02-2025 |
| AACPC3302M | Laxmi Manoharlal Chaturvedi               | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                       | ADJUDICATION ORDER NO: ORDER/SBM/VS/2022-23/16857-16859 | 04-02-2025 |
| AAQPN1499Q | Mr. N. Nagesh (Company Secretary of BPSL) | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                       | ADJUDICATION ORDER NO: ORDER/GR/KG/2021-22/11512        | 04-02-2025 |
| AADCT8675L | TOPMOST COMMERCIAL PRIVATE LIMITED        | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                       | ADJUDICATION ORDER NO: ORDER/VV/JR/2020-21/7766         | 04-02-2025 |

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| AAJCS0291D | Simple Mining And Power Pvt Ltd             | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/MC/DS/2020-21/8114-8141 | 04-02-2025 |
| AADCR0189F | Ramkrishna Fabrication & Machineries P Ltd. | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO: ORDER/MC/DS/2020-21/8114-8141 | 04-02-2025 |
| AACCK5953H | Krishnum Investments Pvt Ltd                | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO: ORDER/MC/DS/2020-21/8114-8141 | 04-02-2025 |
| AAACJ6647H | JIT FINANCE PRIVATE LIMITED                 | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                  | ADJUDICATION ORDER NO: ORDER/GR/PU/2023-24/29323     | 04-02-2025 |
| AAECB8238J | Bestway Dealcom Private Limited             | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8423 OF 2024                | 04-02-2025 |
| AALCS5336D | Fendra Infrastructure Private Limited       | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8471 OF 2024                | 04-02-2025 |

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| ACBPT1028L | Kanak Lata Tibrewal                                                                                                                | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8467<br>OF 2024 | 04-02-2025 |
| AACCG6377M | Goldline International Finvest Ltd.                                                                                                | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8518<br>OF 2024 | 05-02-2025 |
| AJIPD7329J | Madhukar Dubey & its<br>Proprietorship firm viz. Alliance<br>Traders, N V Sales Corporation, A<br>One Furniture, Magnum Industrial | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8023<br>OF 2024 | 05-02-2025 |
| AADCC8189N | Castle Realcon Private Limited                                                                                                     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8357<br>OF 2024 | 05-02-2025 |
| AABCS7132F | Samarth Fincap Services Private<br>Limited                                                                                         | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8385<br>OF 2024 | 05-02-2025 |

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| AAACF6715A | Fortis Healthcare Holdings Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8386 OF 2024 | 05-02-2025 |
| AADCB6654M | Bluebell Agencies Pvt Ltd                  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8488 OF 2024 | 05-02-2025 |
| AACCB7383E | Balley Builders and Developers             | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8374 OF 2024 | 05-02-2025 |
| AADCJ0092M | Jitney Investments Private Limited         | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8320 OF 2024 | 05-02-2025 |
| KVSPS2783B | Shrawan                                    | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8322 OF 2024 | 05-02-2025 |

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| AALCA3008J | Ashworth Constructions Pvt. Ltd. | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8323<br>OF 2024 | 05-02-2025 |
| HFDPS1131F | Deepika Sharma                   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8373<br>OF 2024 | 05-02-2025 |
| DSZPR7910C | Romika                           | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8311<br>OF 2024 | 05-02-2025 |
| DSZPR7910C | Romika                           | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8375<br>OF 2024 | 05-02-2025 |
| AALCA2837R | Ancient Education Pvt. Ltd.      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8314<br>OF 2024 | 05-02-2025 |

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| AALCA2837R | Ancient Education Pvt. Ltd.                   | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8372<br>OF 2024 | 05-02-2025 |
| CFRPD1265B | Om Consultancy (Proprietor: Suraj Lalji Dubey | UNDER SECTION 11(1), 11(4), 11B, 11B(1) AND 11B(2) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                                                                                                                         | QJA/GR/MIRSD/MIRSD-SEC-1/310042024-25       | 05-02-2025 |
| AAZHS0892R | Sanjay Kumar Agarwal HUF                      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8402<br>OF 2024 | 05-02-2025 |
| AAHCM7170M | Mahamani Suppliers Private Limited            | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8408<br>OF 2024 | 05-02-2025 |
| AASPI2273F | Kashi Nath Ishar                              | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8412<br>OF 2024 | 05-02-2025 |
| AKNPK3850F | Sanjay Kumar Kochar                           | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY<br>CERTIFICATE NO. 8416<br>OF 2024 | 05-02-2025 |

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| AAACW2920N | ANUGRAH STOCK AND BROKING PVT. LTD. | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 AND UNDER SECTION 19H OF THE DEPOSITORS ACT, 1996 READ WITH RULE 5 DEPOSITORIES (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 2005 | ADJUDICATION ORDER NO. ORDER/PM/SM/2020-21/10794       | 10-02-2025 |
| ACTPG7828D | PANKAJ GOEL                         | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                                                                                                                                                                           | ADJUDICATION ORDER NO. ORDER/BM/JR/2022-23/20387       | 10-02-2025 |
| AFSPG7531F | MEENU GOEL                          | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 UNDER SECTION 23-I OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                                                                                                                                                                           | ADJUDICATION ORDER NO. ORDER/BM/JR/2022-23/20379-20387 | 10-02-2025 |
| AFAPB7100D | Dharmendra Harilal Bhojak           | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                                                                                                                                                                           | ADJUDICATION ORDER NO. ORDER/BM/JR/2022-23/19742-19750 | 10-02-2025 |

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| AAACK3482B | Kaynet Finance Limited                | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND SECTION 23-I OF SECURITIES CONTRACTS REGULATION ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATION OFFICER) RULES, 2005. | ADJUDICATION ORDER NO: ORDER/SBM/VS/2022-23/16857-16859   | 10-02-2025 |
| ADCPJ1922H | ANIL JATHAN                           | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                                         | ADJUDICATION ORDER NO. ORDER/AS/RM-AK/2023-24/29701-29717 | 10-02-2025 |
| CIGPM5834A | BALRAM MUKHERJEE                      | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1995 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                                                                                                 | ADJUDICATION ORDER NO. ORDER/AS/RM-AK/2023-24/29701-29717 | 10-02-2025 |
| AAQCS6937F | Smart Infraproperties Private Limited | SHOW CAUSE NOTICE UNDER RULE 4 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 READ WITH SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF CRESSANDA SOLUTION LTD                                                                                                                                               | SEBI/EAD-2/NH/YK/38434/2024                               | 11-02-2025 |
| AADCG5049H | Gravity Commodore Private Limited     | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                | RECOVERY CERTIFICATE NO. 8404 OF 2024                     | 11-02-2025 |
| AAKCM6309D | Minance Technologies Private Limited  | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                                                | RECOVERY CERTIFICATE NO. 7953 OF 2024                     | 11-02-2025 |

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| AVEPB6967G | Mr. Anurag Bhatia               | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 7953 OF 2024         | 11-02-2025 |
| ACDFS3492D | Nityanand Thakur                | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8270 OF 2024         | 11-02-2025 |
| AACCH8359J | Highview Agents Private Limited | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. | RECOVERY CERTIFICATE NO. 8407 OF 2024         | 11-02-2025 |
| BMMPS9407G | Harshawardhan Hanmant Sabale    | UNDER SECTION 11(1), 11(4) AND 11(B) READ WITH SECTION 19 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992                                                                                                                                                                                       | WTM/ASB/CFD/CFD-SEC-3/30894/2024-25           | 17-02-2025 |
| AAZCS6264J | Varanium Cloud Ltd              | UNDER SECTION 11(1), 11(4) AND 11(B) READ WITH SECTION 19 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992                                                                                                                                                                                       | WTM/ASB/CFD/CFD-SEC-3/30894/2024-25           | 17-02-2025 |
| AIZPV1760F | Jayarajbhai Vala                | Under Section 11(1), 11(4), 11(4A), 11B(1) and 11B(2) of the Securities and Exchange Board of India Act, 1992 read with Rule 4 of the Securities and Exchange Board of India (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995                                                     | QJA/KS/WRO/WRO/29694/2023-24                  | 19-02-2025 |
| AABCN0541M | N M Impex Pvt. Ltd              | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                          | ADJUDICATION ORDER NO. EAD-6/PM-AB/75/2018-19 | 20-02-2025 |

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| AAFCM9728H | MARSH VINIMAY PVT LTD                 | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                              | ADJUDICATION ORDER NO. Order/AK/AJ/2023-24/28938        | 25-02-2025 |
| AAHCM2762P | Manomay Dealmark Private Limited      | CERTIFICATE UNDER SECTION 28A OF THE SECURITIES EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH SECTION 222 OF THE INCOME-TAX ACT, 1961. NOTICE OF DEMAND UNDER RULE 2 OF THE SECOND SCHEDULE TO THE INCOME TAX ACT 1961 READ WITH SECTION 28A OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992.                                                       | RECOVERY CERTIFICATE NO. RC8589 OF 2025                 | 28-02-2025 |
| AABCP0367K | Aarm Finser India Limited             | ORDER UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND UNDER SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SCR(R) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | ADJUDICATION ORDER NO.: OrderNV/NK/2021-22115778-15795] | 28-02-2025 |
| AAFCG4666C | Godavari Real Estate Pvt Ltd          | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                         | ADJUDICATION ORDER NO: EAD/PM-RR/A0/2019-20/7039-7054   | 28-02-2025 |
| AAOCS2712F | Satshri Multitrade Pvt. Ltd.          | UNDER SECTION 15-1 OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                               | ADJUDICATION ORDER NO. EAD-2/DSR/RG/ 686-781/2017]      | 28-02-2025 |
| AAGFI4791L | INVESTMENT INDIA FINANCIAL SERVICES   | Under Section 11, 11B(1) and 11(4) along with sections 11(4A) and 11B(2) of the Securities and Exchange Board of India Act, 1992                                                                                                                                                                                                                          | WTM/AB/WRO/WRO/25157/2022-23                            | 04-03-2025 |
| AAGCP2758K | Paramjyoti Tradelinks Private Limited | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 read With Section 222 of the Income Tax Act, 1961                                                                                                                                                                                                                   | RECOVERY CERTIFICATE NO. 8499 OF 2025                   | 06-03-2025 |
| AALHA8228H | Amit Kumar Choudhary HUF              | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 read With Section 222 of the Income Tax Act, 1961                                                                                                                                                                                                                   | RECOVERY CERTIFICATE NO. 8503 OF 2025                   | 06-03-2025 |

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| AALHP4980R | Pankaj Kumar Agrawal HUF                         | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 read With Section 222 of the Income Tax Act, 1961                                                                                                                                                                                                                   | RECOVERY<br>CERTIFICATE NO. 8548<br>OF 2025                        | 06-03-2025 |
| AACCC2960N | Consolidated Mercantiles Private Limited         | Certificate under section 258A of the Securities and Exchange Board of India Act, 1992 read With Section 222 of the Income Tax Act, 1961                                                                                                                                                                                                                  | RECOVERY<br>CERTIFICATE NO. 8582<br>OF 2025                        | 06-03-2025 |
| AABCE9232C | Equastone Properties Pvt. Ltd.                   | ORDER UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND UNDER SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SCR(R) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | [ADJUDICATION<br>ORDER NO.:<br>OrderNV/NK/2021-<br>22115778-15795] | 06-03-2025 |
| AAKCA4090M | Aavia Buildtech Private Limited                  | UNDER SECTION15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING BY ADJUDICATIG OFFICER RULES, 1995                                                                                                                                                                             | ADJUDICATION ORDER<br>NO. Order/BD/BM/2020-<br>21/7650-7674        | 06-03-2025 |
| AAKCA4089N | Aavia Softech Private Limited                    | UNDER SECTION15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING BY ADJUDICATIG OFFICER) RULES, 1995                                                                                                                                                                            | ADJUDICATION ORDER<br>NO. Order/BD/BM/2020-<br>21/7650-7674        | 06-03-2025 |
| AATCS2130B | Steady Capital Advisory Services Private Limited | UNDER SECTION15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING BY ADJUDICATIG OFFICER) RULES, 1995                                                                                                                                                                            | ADJUDICATION ORDER<br>NO. Order/BD/BM/2020-<br>21/7650-7674        | 06-03-2025 |
| AATCS2129L | Sure Portfolio Services Private Limited          | UNDER SECTION15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING BY ADJUDICATIG OFFICER) RULES, 1995                                                                                                                                                                            | ADJUDICATION ORDER<br>NO. Order/BD/BM/2020-<br>21/7650-7674        | 06-03-2025 |

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| AACCN6386M | NATURE INFOSoft PRIVATE LIMITED | UNDER SECTION 15-10F SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005     | [ADJUDICATION ORDER NO. Order/SM/DD/2021-22114328-14339] | 06-03-2025 |
| AADCN8028M | NIKITA FOREX PRIVATE LIMITED    | •UNDER SECTION 15-10F SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992, READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND UNDER SECTION 23-1 OF SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING • INQUIRY AND IMPOSING PENALTIES) RULES, 2005  | [ADJUDICATION ORDER NO. Order/SM/DD/2021-22114328-14339] | 06-03-2025 |
| AABCK3433H | Edoptica Retail India Ltd       | Under section 11(1), 11(4) and 11B of the Securities and Exchange Board of India Act, 1992                                                                                                                                                                                                                                                                            | WTM/AB/CFID/CFID-TPD/31115                               | 06-03-2025 |
| AACCB5249H | BMD Exports Private Limited     | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | (ADJUDICATION ORDER NO: Order/PM/GD/2022-23116782-16811) | 06-03-2025 |
| AAECB9628A | Bhargabi Trading Pvt Ltd        | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                     | (ADJUDICATION ORDER NO: EAD/PM-RR/A0/2019-20/7039-7054)  | 06-03-2025 |

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| AACJ8180F  | Jagsakti Tower Pvt Ltd                          | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                     | (ADJUDICATION ORDER NO: EAD/PM-RR/A0/2019-20/7039-7054)  | 06-03-2025 |
| AACJ8181E  | Jahman Agency Pvt Ltd                           | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                     | (ADJUDICATION ORDER NO: EAD/PM-RR/A0/2019-20/7039-7054)  | 06-03-2025 |
| AAFCR8047L | Ritudhan Marketing Pvt Ltd                      | UNDER SECTION 15 - I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                     | (ADJUDICATION ORDER NO: EAD/PM-RR/A0/2019-20/7039-7054)  | 06-03-2025 |
| AADCB7966J | Buddhisagar Shares And Services Private Limited | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | (ADJUDICATION ORDER NO: Order/PM/GD/2022-23116782-16811) | 06-03-2025 |
| AADCG6323N | Ghantakarna Shares And Services Private Limited | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | (ADJUDICATION ORDER NO: Order/PM/GD/2022-23116782-16811) | 06-03-2025 |

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| AAECP2532R | Poojan Tradecom Private Limited               | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | (ADJUDICATION ORDER NO: Order/PM/GD/2022-23116782-16811) | 06-03-2025 |
| AAECR4211M | Ratnasuri Shares and Services Private Limited | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | (ADJUDICATION ORDER NO: Order/PM/GD/2022-23116782-16811) | 06-03-2025 |
| AACCR4046C | Real Marketing Private Limited                | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | (ADJUDICATION ORDER NO: Order/PM/GD/2022-23116782-16811) | 06-03-2025 |
| AANCS2340B | Sumtinath Shares And Services Pvt Ltd         | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 |                                                          | 06-03-2025 |

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| AADCT2274R  | Tirthankar Shares and Service Private Limited | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | (ADJUDICATION ORDER NO: Order/PM/GD/2022-23116782-16811) | 06-03-2025 |
| AAECC0376J  | Cellworth Mercantile Pvt. Ltd.                | With reference to the subject proceedings, please find enclosed copy of the Adjudication Order dated August 02, 2017 passed by the Adjudicating Officer against you in terms of Rule 6 of the SEBI (Procedure for Holding Inquiry and Imposing Penalty by the Adjudicating Officer) Rules, 1995, for necessary action at your end.                                    | EAD-2/DSR/RG/184831112017                                | 06-03-2025 |
| AAC CJ3884G | Jaimini Trading Pvt. Ltd.                     | With reference to the subject proceedings, please find enclosed copy of the Adjudication Order dated August 02, 2017 passed by the Adjudicating Officer against you in terms of Rule 6 of the SEBI (Procedure for Holding Inquiry and Imposing Penalty by the Adjudicating Officer) Rules, 1995, for necessary action at your end.                                    | EAD-2/DSR/RG/184831112017                                | 06-03-2025 |
| AAACW8578N  | Wonder Vincom Pvt. Ltd.                       | With reference to the subject proceedings, please find enclosed copy of the Adjudication Order dated August 02, 2017 passed by the Adjudicating Officer against you in terms of Rule 6 of the SEBI (Procedure for Holding Inquiry and Imposing Penalty by the Adjudicating Officer) Rules, 1995, for necessary action at your end.                                    | EAD-2/DSR/RG/184831112017                                | 06-03-2025 |
| AACCV6426E  | Virgo Mercantile Pvt. Ltd.                    | With reference to the subject proceedings, please find enclosed copy of the Adjudication Order dated August 02, 2017 passed by the Adjudicating Officer against you in terms of Rule 6 of the SEBI (Procedure for Holding Inquiry and Imposing Penalty by the Adjudicating Officer) Rules, 1995, for necessary action at your end.                                    | EAD-2/DSR/RG/184831112017                                | 06-03-2025 |

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| AABCL5709K | Lona Mercantile Pvt. Ltd.        | With reference to the subject proceedings, please find enclosed copy of the Adjudication Order dated August 02, 2017 passed by the Adjudicating Officer against you in terms of Rule 6 of the SEBI (Procedure for Holding Inquiry and Imposing Penalty by the Adjudicating Officer) Rules, 1995, for necessary action at your end. | EAD-2/DSR/RG/184831112017                            | 06-03-2025 |
| AABCJ9074F | Jagdamba Complex Pvt. Ltd.       | With reference to the subject proceedings, please find enclosed copy of the Adjudication Order dated August 02, 2017 passed by the Adjudicating Officer against you in terms of Rule 6 of the SEBI (Procedure for Holding Inquiry and Imposing Penalty by the Adjudicating Officer) Rules, 1995, for necessary action at your end. | EAD-2/DSR/RG/184831112017                            | 06-03-2025 |
| AAFCM8822N | Mili Commodities Pvt. Ltd.       | With reference to the subject proceedings, please find enclosed copy of the Adjudication Order dated August 02, 2017 passed by the Adjudicating Officer against you in terms of Rule 6 of the SEBI (Procedure for Holding Inquiry and Imposing Penalty by the Adjudicating Officer) Rules, 1995, for necessary action at your end. | EAD-2/DSR/RG/184831112017                            | 06-03-2025 |
| AACJ0675M  | Jasmine Dealcom Pvt. Ltd.        | With reference to the subject proceedings, please find enclosed copy of the Adjudication Order dated August 02, 2017 passed by the Adjudicating Officer against you in terms of Rule 6 of the SEBI (Procedure for Holding Inquiry and Imposing Penalty by the Adjudicating Officer) Rules, 1995, for necessary action at your end. | EAD-2/DSR/RG/184831112017                            | 06-03-2025 |
| AADCK9953C | Ksema Finsecure Consultants Ltd. | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                       | [ADJUDICATION ORDER NO. EAD/BJD/BKM/33 - 38/2017-18) | 06-03-2025 |

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| BMHPS8135C | Ms. Bhawani Srivastava | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | [ADJUDICATION ORDER NO. Order/SM/S./2022-23/21263-21266] | 10-03-2025 |
| AHAPG3817G | Pushpa Gupta           | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | [ADJUDICATION ORDER NO. Order/SM/S./2022-23/21263-21266] | 10-03-2025 |
| AIMPG6205H | Girish Chandra Gupta   | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | [ADJUDICATION ORDER NO. Order/SM/S./2022-23/21263-21266] | 10-03-2025 |

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| AACCP1163C | Paramount Bio-tech Industries Ltd. | UNDER SECTION 15-1 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND SECTION 23-1 OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 AND RULE 5 OF THE SECURITIES CONTRACTS (REGULATION) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 2005 | [ADJUDICATION ORDER NO. Order/SM/S./2022-23/21263-21266] | 10-03-2025 |
| CIRPK5759F | Ranjit Kaur                        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                           | [ADJUDICATION ORDER NO. EAD/KS/VB/AO/65-69/2017-18]      | 10-03-2025 |
| BKHPS1704D | Kulbir Singh                       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                           | [ADJUDICATION ORDER NO. EAD/KS/VB/AO/65-69/2017-18]      | 10-03-2025 |
| CGFPS6608M | Harjit Singh                       | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                           | [ADJUDICATION ORDER NO. EAD/KS/VB/AO/65-69/2017-18]      | 10-03-2025 |
| CLEPS7179D | Gurwinder Singh                    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                           | [ADJUDICATION ORDER NO. EAD/KS/AA/AO/74-79/2017-18]      | 10-03-2025 |
| AUUPK3066A | Shri Lalit Kumar                   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                           | [ADJUDICATION ORDER NO. AO/JS/VRP/71-74-2018]            | 10-03-2025 |

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| CXEPS9337R | Mr. Abdul Slam                                                                                                            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO. RA/DPS/ 128-134 /20171        | 12-03-2025 |
| BVPPJ3417H | Billionaire Solution                                                                                                      | UNDER SECTION 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992 IN THE MATTER OF M/S BILLIONAIRE SOLUTIONS, SOLE PROPRIETOR MR. AKASH JAISWAL                       | WTM/SM/WRO/WRO/14717/2021-22                         | 12-03-2025 |
| AANFC2170Q | M/s. Capital Worth Research House Partners Mr. Mohammed Aamir Sheikh Mr. Ankit Shrivastav Mr. Shahid Rangrej Sameer Menon | UNDER SECTION 11(1), 11(4), AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992.                                                                                                | WTM/ASB/WRO/WRO/24011/2022-23                        | 12-03-2025 |
| BJVPS0029N | Devendra Pal Singh                                                                                                        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO. EAD/KS/VB/AO/183-188/2018-19  | 12-03-2025 |
| AAECK1255G | Karmbhoomi Real Estate Limited                                                                                            | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995  | ADJUDICATION ORDER NO. EAD/KS/VB/AO/183-188/2018-19  | 12-03-2025 |
| ATHPS3605F | Nirmal Kumar Singh                                                                                                        | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO. EAD/KS/VB/AO/183-188/2018-19  | 12-03-2025 |
| AACCL5027D | Levia Trading Pvt Ltd.                                                                                                    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                         | ADJUDICATION ORDER NO. Order/MC/HP/2020-21/8754-8756 | 12-03-2025 |
| AACCL5027D | Levia Trading Pvt Ltd.                                                                                                    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                         | ADJUDICATION ORDER NO. Order/MC/HP/2020-21/8754-8756 | 12-03-2025 |

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| AWPPK9383F | Shri Rakesh Kumar                                                           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO. AO/JS/VRP/71-74/2018 | 17-03-2025 |
| AIUPR8350C | Shri Praveen Kumar Rohilla                                                  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO. AO/JS/VRP/71-74/2018 | 17-03-2025 |
| AAACC7451L | Ekveera Computers Private Limited                                           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995  | ADJUDICATION ORDER NO. BM/AO- 19 - 27/2012  | 18-03-2025 |
| DFQPP5370N | SUNEEL KUMAR PATEL                                                          | UNDER SECTION 11, 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992. IN THE MATTER OF GOOWILL RESEARCH                                                                    | WTM/GM/WRO/WRO/13952/2021-22                | 19-03-2025 |
| BBSPK1145A | Nikhil Kumar                                                                | UNDER SECTION 11(1), 11(4), AND 11B OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992 IN THE MATTER OF HYBRID RESEARCH ADVISORY SERVICES, PROPRIETOR MR. NIKHIL KUMAR                     | WTM/SM/WRO/WRO/14467/2021-22                | 19-03-2025 |
| FNXPS2212D | Ankit Shrivastav                                                            | UNDER SECTION 11(1), 11(4), AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992.                                                                                                | WTM/ASB/WRO/WRO/24011/2022-23               | 19-03-2025 |
| CAHPR9501A | Shahid Rangrej                                                              | UNDER SECTION 11(1), 11(4), AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992.                                                                                                | WTM/ASB/WRO/WRO/24011/2022-23               | 19-03-2025 |
| DBUPM4094J | Sameer Memon                                                                | UNDER SECTION 11(1), 11(4), AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992.                                                                                                | WTM/ASB/WRO/WRO/24011/2022-23               | 19-03-2025 |
| AVFPM1559G | M/s. All Gainers Research & Brokerage Firm Proprietor Mr. Anand Kand Mishra | UNDER SECTION 11(1), 11(4), AND 11B (1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA, 1992.                                                                                                | WTM/AB/WRO/WRO/21993/2022-23                | 19-03-2025 |
| EQGPS3663P | Capital Trading Cash (Proprietor: Saudan Singh))                            | UNDER SECTION 11(1), 11(4), AND 11B AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 3(1) OF SEBI (INVESTMENT ADVISERS) REGULATIONS, 2013               | QJA/AA/WRO/WRO/25839/2023-24                | 19-03-2025 |

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| BBIPS1965G | Manoj Kumar Sengar                | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD/KS/VB/AO/183-188/2018-19  | 19-03-2025 |
| ABDPS2787C | Sardar Singh                      | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | [ADJUDICATION ORDER NO. EAD/KS/VB/AO/183-188/2018-19 | 19-03-2025 |
| AAACU2984J | Uniflex Carrying Co.              | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD-9/AO/SM/52-86/2019-20     | 19-03-2025 |
| AADCB8850F | Blue Peacock Securities P Ltd     | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD/BJD/BKM/78/2017-18        | 19-03-2025 |
| AAACV2921N | Vishvas Securities Ltd.           | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD-2/AO/174-175/2013         | 19-03-2025 |
| AACCN3910B | Nilkanth Dealers Private Limited. | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD-2/DSR/KM/122-127/2014     | 19-03-2025 |
| AABCS7644G | Sundeep Credits Pvt. Ltd.         | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD-2/DSR/KM/122-127/2014     | 19-03-2025 |
| AABCS7644G | Sundeep Credits Pvt. Ltd.         | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 | ADJUDICATION ORDER NO. EAD-2/DSR/KM/122-127/2014     | 19-03-2025 |

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| AACCE0264H | Ecologix Knowledge Solutions Pvt. Ltd. | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995 AND UNDER SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATION) ACT, 1956 READ WITH RULE 5 OF SCR(R) (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES 2005. | ADJUDICATION ORDER NO. ORDER/VV/NK/2021-22/15778-15795 | 20-03-2025 |
| AACCI9518C | Insight Multitrading Private Limited   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                         | ADJUDICATION ORDER NO. EAD/BJD/NJMR/2018-19/2143       | 24-03-2025 |
| AAFCA2440N | Apama Commodities Pvt. Ltd.            | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                          | ADJUDICATION ORDER NO. EAD-9/ AO/SM/52 - 86 /2019-20   | 24-03-2025 |
| AAACV7147C | VRP Financial Services Pvt. Ltd.       | UNDER SECTION 15 I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 ("SEBI ACT") READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                          | ADJUDICATION ORDER NO. EAD-9/ AO/SM/52 - 86 /2019-20   | 24-03-2025 |
| DZDPS7841Q | Mohammed Aamir Sheikh                  | UNDER SECTION 11(1), 11(4), AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992                                                                                                                                                                                                                                                                     | WTM/ASB/WRO/WRO/24011/2022-23                          | 25-03-2025 |
| ATSPS3033N | Mahipal Singh                          | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                                                                                                                                                         | ADJUDICATION ORDER NO. EAD/KS/VB/AO/183-188/2018-19    | 25-03-2025 |
| AACCT2473R | Taitan Management Services Pvt Ltd     | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                        | ADJUDICATION ORDER NO. Order/MC/DS/2020-21/8114-8141]  | 26-03-2025 |

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| AYYPS1602E | Mr Mahesh Kumar Sharma                          | UNDER SECTION 11(1), 11(4), 11(4A), AND 11B(2) READ WITH SECTIONS 15A, 15C AND 15HB OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATIONS 23 OF THE SEBI (VENTURE CAPITAL FUNDS) REGULATIONS, 1996 READ WITH REGULATION 39 OF THE SEBI (ALTERNATIVE INVESTMENTS FUNDS) REGULATIONS, 2012. | QJA/AA/AFD-1/AFD-1/SEC/29964/2023-24   | 02-04-2025 |
| AGVPD0300K | Sumitra Devi                                    | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 Read With section 222 of the income Tax Act, 1961                                                                                                                                                                           | Certificate No. 8643 of 2025           | 11-04-2025 |
| AARCS2965G | Shivrashi Real Estates Private Limited          | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 Read With section 222 of the income Tax Act, 1961                                                                                                                                                                           | Recovery Certificate No. 8635 of 2025  | 11-04-2025 |
| AACCE1213E | Encord Trading Private Limited                  | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 Read With section 222 of the income Tax Act, 1961                                                                                                                                                                           | Recovery Certificate No. 8634 of 2025  | 11-04-2025 |
| AAAH05377G | Omprakash Agarwal HUF                           | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 Read With section 222 of the income Tax Act, 1961                                                                                                                                                                           | Recovery Certificate No. 8617 of 2025  | 11-04-2025 |
| AADCK8520D | Khushi Merchandise Pvt Ltd                      | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 Read With section 222 of the income Tax Act, 1961                                                                                                                                                                           | Recovery Certificate No. 8620 of 2025  | 11-04-2025 |
| ACQPA6844C | Sunita Agarwal                                  | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 Read With section 222 of the income Tax Act, 1961                                                                                                                                                                           | Recovery Certificate No. 8593 of 2025  | 21-04-2025 |
| AADCE1166H | Eveningstar Dealtrade Private Limited           | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 read with section 222 of the Income Tax Act, 1961                                                                                                                                                                           | RECOVERY CERTIFICATE No. 8680 of 2025  | 24-04-2025 |
| AADCG4713A | Gokul Financial Advisors Private Limited        | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 read with section 222 of the Income Tax Act, 1961                                                                                                                                                                           | RECOVERY CERTIFICATE No. 8681 of 2025  | 24-04-2025 |
| EGGPS8029K | King Traders, Proprietor-Sagar Dhanjibhai Sutar | UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1), 11B(2) AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 11(1)(d) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003            | WTM/KV/MIRSD/MIRSD-SEC-5/31188/2024-25 | 25-04-2025 |

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| EPGPP1022C | Gemini Enterprise, Proprietor-<br>Mr. Suresh Parmashivam       | UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1), 11B(2) AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 11(1)(d) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/KV/MIRSD/MIRSD-SEC-5/31188/2024-25                 | 25-04-2025 |
| AKVPD3098G | United Enterprises, Proprietor-<br>Mr. Jigar Rameshbhai Dawada | UNDER SECTIONS 11(1), 11(4), 11(4A), 11B(1), 11B(2) AND 11D OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH REGULATION 11(1)(d) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROHIBITION OF FRAUDULENT AND UNFAIR TRADE PRACTICES RELATING TO SECURITIES MARKET) REGULATIONS, 2003 | WTM/KV/MIRSD/MIRSD-SEC-5/31188/2024-25                 | 25-04-2025 |
| AAFCP0003L | Param Commodities Private Limited                              | Under 11(1), 11 (4), 11B (1), 11B (2) 11 D of the Securities and Exchange Board of India Act, 1992 and Section 12A (1) and 12A (2) of the Securities Contract Regulation Act. In the matter of Guinness Securities Limited                                                                             | WTM / SM / MIRSD / MIRSD_DPTEA / 17646 / 2022-23       | 30-04-2025 |
| AAGCA3264P | Apurva Commodities Private Limited                             | Under 11(1), 11 (4), 11B (1), 11B (2) 11 D of the Securities and Exchange Board of India Act, 1992 and Section 12A (1) and 12A (2) of the Securities Contract Regulation Act. In the matter of Guinness Securities Limited                                                                             | WTM / SM / MIRSD / MIRSD_DPTEA / 17646 / 2022-23       | 30-04-2025 |
| AAFCP0005N | Paramarth Agro Marketing Private Limited                       | Under 11(1), 11 (4), 11B (1), 11B (2) 11 D of the Securities and Exchange Board of India Act, 1992 and Section 12A (1) and 12A (2) of the Securities Contract Regulation Act. In the matter of Guinness Securities Limited                                                                             | WTM / SM / MIRSD / MIRSD_DPTEA / 17646 / 2022-23       | 30-04-2025 |
| AAHCM3288Q | Market Pulse Finsoft Pvt Ltd                                   | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                                                                                                                     | ADJUDICATION ORDER NO. BD/NR/2020-21/8060-8080         | 30-04-2025 |
| AAHCA2094C | Aadya Commodities Private Ltd                                  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND UNDER SECTION 23-I OF THE SECURITIES CONTRACTS (REGULATIONS) ACT, 1956.                                                                                                                                                     | ADJUDICATION ORDER NO. Order/VV/AS/2022-23/16241-16249 | 30-04-2025 |

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| AAFCP0004P | Pawantar Agro Agencies Pvt Ltd                | Under 11(1), 11 (4), 11B (1), 11B (2) 11 D of the Securities and Exchange Board of India Act, 1992 and Section 12A (1) and 12A (2) of the Securities Contract Regulation Act. In the matter of Guinness Securities Limited | WTM / SM / MIRSD / MIRSD_DPTEA / 17646 / 2022-23       | 30-04-2025 |
| AAJCS7871F | Saga Financial Services Pvt Ltd               | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                                                | ADJUDICATION ORDER NO. Order/VV/AS/2022-23/16241-16249 | 07-05-2025 |
| AAECS4607A | Superfast Tours and Travels Private Limited   | Under 11(1), 11 (4), 11B (1), 11B (2) 11 D of the Securities and Exchange Board of India Act, 1992 and Section 12A (1) and 12A (2) of the Securities Contract Regulation Act. In the matter of Guinness Securities Limited | WTM / SM / MIRSD / MIRSD_DPTEA / 17646 / 2022-23       | 07-05-2025 |
| AAECA9172C | Awadhoot Marketing Private Limited            | Under 11(1), 11 (4), 11B (1), 11B (2) 11 D of the Securities and Exchange Board of India Act, 1992 and Section 12A (1) and 12A (2) of the Securities Contract Regulation Act. In the matter of Guinness Securities Limited | WTM / SM / MIRSD / MIRSD_DPTEA / 17646 / 2022-23       | 07-05-2025 |
| AAMCS1499N | Shri Vishnu Krupa Commodities Private Limited | Under 11(1), 11 (4), 11B (1), 11B (2) 11 D of the Securities and Exchange Board of India Act, 1992 and Section 12A (1) and 12A (2) of the Securities Contract Regulation Act. In the matter of Guinness Securities Limited | WTM / SM / MIRSD / MIRSD_DPTEA / 17646 / 2022-23       | 07-05-2025 |
| AAFCM2750F | Meghana Mercantile Pvt Ltd                    | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                                                | ADJUDICATION ORDER NO. Order/VV/AS/2022-23/16241-16249 | 07-05-2025 |
| AAGCA6077J | Akhila Mercantile Pvt Ltd                     | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                                                | ADJUDICATION ORDER NO. Order/VV/AS/2022-23/16241-16249 | 07-05-2025 |
| AACCR9863K | Robosoft Trading Co. Pvt Ltd                  | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND READ WITH RULE 5 OF THE SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995.                                                | ADJUDICATION ORDER NO. Order/VV/AS/2022-23/16241-16249 | 07-05-2025 |
| AAHCS3335G | S K B Securities Ltd                          | Under 11(1), 11 (4), 11B (1), 11B (2) 11 D of the Securities and Exchange Board of India Act, 1992 and Section 12A (1) and 12A (2) of the Securities Contract Regulation Act. In the matter of Guinness Securities Limited | WTM / SM / MIRSD / MIRSD_DPTEA / 17646 / 2022-23       | 07-05-2025 |
| AANPD5593J | Pradeep Kumar Dhoot                           | Certificate under section 28A of the Securities and Exchange Board of India Act, 1992 read with section 222 of the Income Tax Act, 1961                                                                                    | CERTIFICATE No. 8458 of 2024                           | 08-05-2025 |

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| AACCV1835D | VKJ Trexim Private Limited | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995 | ADJUDICATION ORDER NO. Order/AK/AJ/2023-24/29002        | 16-05-2025 |
| AEKPJ8257J | Mr. Anand Kumar Jha        | UNDER SECTION 15- I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                  | ADJUDICATION ORDER NO. EAD - 3/JS/GSS/2540-2548/2018-19 | 04-06-2025 |
| BEMPK1322J | Mr. Asif Khan              | UNDER SECTION 15- I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                  | ADJUDICATION ORDER NO. EAD - 3/JS/GSS/2540-2548/2018-19 | 04-06-2025 |
| CNVPM6593E | Mr. Bibeka Nand Mandal     | UNDER SECTION 15- I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                  | ADJUDICATION ORDER NO. EAD - 3/JS/GSS/2540-2548/2018-19 | 04-06-2025 |
| AAWPF1464H | Mr. Mohammad Faisal        | UNDER SECTION 15- I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                  | ADJUDICATION ORDER NO. EAD - 3/JS/GSS/2540-2548/2018-19 | 04-06-2025 |
| AJPPM9356A | Mr. Mokarram Mohammad      | UNDER SECTION 15- I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                  | ADJUDICATION ORDER NO. EAD - 3/JS/GSS/2540-2548/2018-19 | 04-06-2025 |
| CENPK6085G | Mr. Wasim Khan             | UNDER SECTION 15- I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                  | ADJUDICATION ORDER NO. EAD - 3/JS/GSS/2540-2548/2018-19 | 04-06-2025 |

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| AAJCS2508K | Sunshine Global Agro Ltd                      | UNDER SECTION 15- I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                           | ADJUDICATION ORDER NO. EAD - 3/JS/GSS/2540-2548/2018-19 | 04-06-2025 |
| AUTPR3288E | Shri Ramesh Sharma                            | UNDER SECTION 15-I OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995. | ADJUDICATION ORDER NO. AO/VKV/AS/AO-11/2017             | 04-06-2025 |
| AXJPK0099D | Mr. Sarif Khan                                | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                           | ADJUDICATION ORDER NO. RA/DPS/ 128-134 /2017]           | 04-06-2025 |
| AANCS0417R | Servehit Housing and Infrastructure India Ltd | UNDER SECTION15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                              | ADJUDICATION ORDER NO. EAD-7/BJD/BKM/2018-19/1669-1674  | 04-06-2025 |
| BUZPS4365J | Shri Sukhmander Singh                         | UNDER SECTION15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                              | ADJUDICATION ORDER NO. EAD-7/BJD/BKM/2018-19/1669-1674  | 04-06-2025 |
| CRRPS1400A | Shri Surjeet Kumar                            | UNDER SECTION15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT,1992 READ WITH RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995                                              | ADJUDICATION ORDER NO. EAD-7/BJD/BKM/2018-19/1669-1674  | 04-06-2025 |
| ADEPC5281C | Mr. Amarjeet Singh Cheema                     | UNDER SECTION 15-I OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE 5 OF SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES) RULES, 1995                                  | ADJUDICATION ORDER NO. Order/SM/S./2022-23/17293-17295  | 04-06-2025 |

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| AAACV4431F | En Aromatic & Petro Chemicals Limited | UNDER SECTION 15-I (2) OF SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 AND RULE 5 OF SEBI (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES BY ADJUDICATING OFFICER) RULES, 1995.                                                                                                                                                                             | [ADJUDICATION ORDER NO. MC/CB/2019-20/1-6] | 04-06-2025 |
| AIVPC7790E | Satyam Shivam Sundaram Trading        | SHOW CAUSE NOTICE UNDER SECTIONS 11(1),11(4),11(4A),11B(1),11B(2),15HA and 15EB OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 READ WITH RULE WITH RULE 4 OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (PROCEDURE FOR HOLDING INQUIRY AND IMPOSING PENALTIES)RULES,1995 IN THE MATTER OF UNREGISTERED INVESTMENT ADVISOR M/S SATYAM SHIVAM SUNDARAM TRADING | SEBI/ERO-OTHER/P/OW/2025/2672/1            | 04-06-2025 |
| AAECR8905J | Re India Infratech Limited            | UNDER SECTION 11(1), 11(4), 11(4A), 11A AND 11B(1) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA ACT, 1992 IN THE MATTER OF RE INDIA INFRA TECH LIMITED                                                                                                                                                                                                               | QJA/AA/NRO/NRO-DIV-III/31208/2024-25       | 04-06-2025 |