



भारतीय प्रतिभूति
और विनिमय बोर्ड

Securities and Exchange
Board of India

RECOVERY CELL
EASTERN REGIONAL OFFICE

Tel : 033-23023000
E Mail : recoveryero@sebi.gov.in

Notice of Attachment of Bank Account

Attachment Proceeding No. 3159 of 2017

Certificate No. 1184 of 2017

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

1. Whereas a Recovery Certificate No. 1184 dated 29.05.2017 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs.17,65,537/- (Rupees Seventeen Lakh Sixty Five Thousand Five Hundred Thirty Seven only)** as detailed below along with further interest, all costs, charges and expenses etc., against **Waverley Investments Ltd (PAN: AAACW4794N) ["Defaulter"]** and the same is due from them in respect of the said certificate. A Notice of Demand dated 29.05.2017 has been issued to the above named.

Description of Dues	Amount
Penalty imposed by the Adjudicating Officer vide order no. CFD/WIL/AO/DRK-AKS/EAD3-722/47-2015 dated 30.03.2015 in the matter of Waverley Investments Ltd.	Rs.14,00,000/-
Interest from 30.03.2015 to 29.05.2017 @ 12% p.a.	Rs.3,64,537/-
Costs	Rs.1,000/-
Total	Rs. 17,65,537 /-

2. And whereas there is sufficient reason to believe that the defaulter may dispose of the amounts/ proceeds in the Bank accounts held with your Bank and realization of amount due under the certificate would in consequence be delayed or obstructed.
3. It is therefore in exercise of powers conferred on me, I hereby order to attach the following with immediate effect:
- All account/s by whatever name called including lockers of the Defaulter, either singly or jointly with any other person/s, held with your Bank; and
 - All other amount/ proceeds due or may become due to the Defaulter or any money held or may subsequently hold for or on account of the Defaulter.





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4. It is further ordered with immediate effect that **NO Debit** shall be made in the said account/s until further orders from the Recovery Officer of SEBI. However, the credits, if any, into the account may be allowed.
5. You are hereby directed to provide the following immediately to the undersigned on service of this Notice:
 - i. Details of all the Accounts including Lockers held by the defaulter with your Bank,
 - ii. Copy of the Account Statement/s for the latest one year in respect of all the Accounts;
 - iii. Confirmation of Attachment of the said account/s
 - iv. Complete details of all loan/ advances accounts along with the details of assets charged for the said loan/advances.
6. If the defaulter is not having any type of account with your bank/not having any balance in the account of the defaulter, the same shall be also informed on the email : **recoveryero@sebi.gov.in**.
7. This Notice of attachment is issued in exercise of powers conferred under Section 28A(1), 11(2)(ia) of SEBI Act, 1992 r/w Section 226 and the Second Schedule of the Income Tax Act, 1961.

Given under my hand and seal at Kolkata this 29th day of May, 2017.

SEAL

Copy to:



Waverley Investments Ltd
5 Clive Row, 2nd Floor, Room No. 51
Kolkata - 700001


RECOVERY OFFICER
MANJESH. S. ROY

Recovery Officer & Dy. General Manager
Securities and Exchange Board of India
Kolkata

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

RECOVERY OFFICER



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RECOVERY CELL
EASTERN REGIONAL OFFICE

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Notice of Attachment of Demat Account

Attachment Proceeding No. 3160 of 2017

Certificate No. 1184 of 2017

✓ The Managing Director,
National Securities Depository Limited,
Trade World, A wing, 4th & 5th Floors,
Kamala Mills Compound, Lower Parel,
Mumbai - 400013.

✓ The Managing Director,
Central Depository Services (India) Limited,
17th Floor, P J Towers, Dalal Street,
Fort, Mumbai - 400001

✓ The Principal Officer / Chairman & Managing Director / CEO
All the Mutual Funds in India

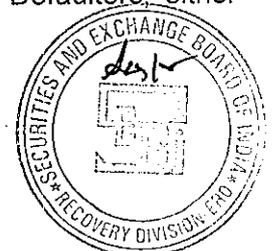
1. Whereas a Recovery Certificate No. 1184 dated 29.05.2017 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs.17,65,537/- (Rupees Seventeen Lakh Sixty Five Thousand Five Hundred Thirty Seven only)** as detailed below along with further interest, all costs, charges and expenses etc., against **Waverley Investments Ltd (PAN: AAACW4794N) ["Defaulter"]** and the same is due from them in respect of the said certificate. A Notice of Demand dated 29.05.2017 has been issued to the above named.

Description of Dues	Amount
Penalty imposed by the Adjudicating Officer vide order no. CFDM/WIL/AO/DRK-AKS/EAD3-722/47-2015 dated 30.03.2015 in the matter of Waverley Investments Ltd.	Rs.14,00,000/-
Interest from 30.03.2015 to 29.05.2017 @ 12% p.a.	Rs.3,64,537/-
Costs	Rs.1,000/-
Total	Rs. 17,65,537 /-

2. And whereas there is sufficient reason to believe that the defaulters may dispose off the securities/ instruments in the Demat account/s held with you and realization of amount due under the certificate would in consequence be delayed or obstructed.
3. It is therefore in exercise of powers conferred on me, I hereby order to attach the following :
 - i. All Demat account/s by whatever name called of the Defaulter, either singly or jointly with any other person/s, held with you.
 - ii. All funds /folios/schemes held by whatever name called of the Defaulters, either singly or jointly with any other person/s, held with you

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A.P. no. 3160 of 2017





भारतीय प्रतिभूति
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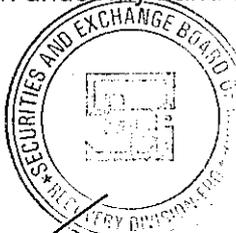
**Securities and Exchange
Board of India**

4. It is further ordered with immediate effect that **NO Debit** shall be made in the said account/s until further orders from the Recovery Officer of SEBI. However, the credits, if any, into the account may be allowed.
5. You are hereby directed to provide the following immediately to the undersigned on service of this Notice:
 - a) Details of all the Accounts held by the defaulter with you,
 - b) Copy of the Account Statement/s ; and
 - c) Confirmation of Attachment of the said account/s
6. This Notice of attachment is issued in exercise of powers conferred under Section 28A(1), 11(2)(ia) of SEBI Act, 1992 r/w Section 226 and the Second Schedule of the Income Tax Act, 1961.

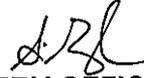
Given under my hand and seal at Kolkata this 29th day of May, 2017.

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Copy to:



Waverley Investments Ltd
5 Clive Row, 2nd Floor, Room No. 51
Kolkata - 700001


RECOVERY OFFICER
MANJESH. S. ROY

Recovery Officer & Dy. General Manager
Securities and Exchange Board of India
Kolkata

With a direction not to deal with the securities/ instruments held/ to be held in the aforesaid accounts.

RECOVERY OFFICER