



भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

Recovery and Refund Division वसूली एवं धन-वापसी (Recovery and Refund Division)

Recovery Division II वसूली प्रभाग - 2

Tel: 022-26449571

Email: recoveryho@sebi.gov.in

Notice of Attachment of Demat Account and Mutual Fund Folio(s)

Attachment Proceeding No. 4622 of 2019

Certificate No.2147 of 2019

M/s. National Securities Depository Ltd.
4th floor, 'A', Wing, Trade World
Kamala Mills Compound
Senapati Bapat Marg
Lower Parel, Mumbai – 400 013.

M/s. Central Depository Services (I) Ltd.
P J Towers, 17th floor
Dalal Street
Fort, Mumbai – 400001

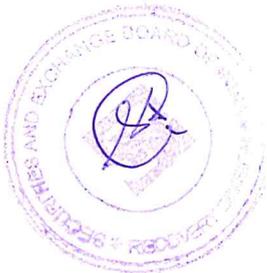
**The Principal Officer /Chairman & Managing Director / CEO
All the Mutual Funds in India.**

1. Whereas a Recovery **Certificate No.2147 of 2019 dated 16.05.2019** has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of Rs.403915/- (Rupees Four Lakh Three thousand Nine hundred Fifteen Only) as detailed given below along with further interest, all costs, charges and expenses etc. against **Mr. Samir M Shah["Defaulter"] PAN. ASEPS2684Q** and the same is due from him in respect of the said certificate. A Notice of Demand **dated 16.05.2019** has been issued to **Mr. Samir M Shah**.

| Description of Dues | Amount |
|---|---------------|
| Penalty imposed on Mr. Samir M Shah (PAN No. ASEPS2684Q) by the Adjudicating Officer vide order no. PKK/AO/239/2010 dated 03.12.2010 in the matter of Shree Yaax Pharma & Cosmetics Limited. | 200000 |
| Interest from 03/12/2010 to 16/05/2019 @ 12% p.a.. | 202915 |
| Recovery cost | 1000 |
| Total | 403915 |

2. And whereas there is sufficient reason to believe that the Defaulter may dispose off the securities/instruments in the Demat account/s or Mutual fund folio/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 with immediate effect :
 - i) All Demat Account/s by whatever name called of the Defaulter, either singly or jointly with any other person/s, held with you.

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सेबी भवन, प्लॉट सं. सी 4-ए, "जी" ब्लॉक, बांद्रा कुर्ला कॉम्प्लेक्स, बांद्रा (पूर्व), मुंबई - 400 051.

दूरभाष : 2644 9950 / 4045 9950 (आई.वी.आर. एस.), 2644 9000 / 4045 9000 फैक्स : 2644 9019 से 2644 9022 वेब : www.sebi.gov.in

SEBI Bhavan, Plot No. C4-A, "G" Block, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051.

Tel.: 2644 9950 / 4045 9950 (IVRS), 2644 9000 / 4045 9000 Fax : 2644 9019 to 2644 9022 Web : www.sebi.gov.in



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भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India
A.P. No.4622 of 2019

- ii) All Mutual fund folio/s by whatever name called of the Defaulter, either singly or jointly with any other person/s, held with you.
4. It is further ordered with immediate effect that **No Debit** shall be made in the said accounts/folios until further orders. However, the credits, if any, into the account may be allowed.
5. You are hereby directed to provide the following immediately to the undersigned/our representative on service of this Notice.
- a) Details of all the Accounts/folios held by the defaulter with you;
b) Copy of the Account Statement/s; and
c) Confirmation of Attachment of the said accounts/folios
6. If the defaulter is not having any type of account/folios with you/not having any balance in the account/folios of the defaulter, the same shall be also informed on the email: recoveryho@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 read with section 226 and the second schedule of the Income Tax Act, 1961

Given under my hand and seal at Mumbai this 9th day of July 2019.

SEAL



Copy to:

Mr. Samir M Shah
(PAN:ASEPS2684Q)
C/o Hiten Shah 209 Parekh Commercial Bldg Agaasi
Road,,
Virar,
Mumbai 401303

S. S. Ambekar

RECOVERY OFFICER

Srishti Ambekar

सुष्टी आंबोकर

Dy. General Manager & Recovery Office

उप महाप्रबंधक एवं वसूली अधिकारी

Securities and Exchange Board of India

भारतीय प्रतिभूती एवं विनिमय बोर्ड

Mumbai

मुंबई

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



भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

Recovery and Refund Division वसूली एवं धन-वापसी (रिफंड) विभाग

Recovery Division II वसूली प्रभाग - 2

Tel: 022-26449571

Email: recoveryho@sebi.gov.in

Notice of Attachment of Bank Account

Attachment Proceeding No. 4621 of 2019

Certificate No. 2147 of 2019

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

1. Whereas a Recovery Certificate No.2147 of 2019 dated 16.05.2019 has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of Rs.403915/- (Rupees Four Lakh Three thousand Nine hundred Fifteen Only) as detailed given below along with further interest, all costs, charges and expenses etc. against **Mr. Samir M Shah ["Defaulter"] PAN. ASEPS2684Q** and the same is due from him in respect of the said certificate. A Notice of Demand dated 16.05.2019 has been issued to **Mr. Samir M Shah**.

| Description of Dues | Amount |
|---|---------------|
| Penalty imposed on Mr. Samir M Shah (PAN No. ASEPS2684Q) by the Adjudicating Officer vide order no. PKK/AO/239/2010 dated 03.12.2010 in the matter of Shree Yaax Pharma & Cosmetics Limited. | 200000 |
| Interest from 03/12/2010 to 16/05/2019 @ 12% p.a. | 202915 |
| Recovery cost | 1000 |
| Total | 403915 |

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 **to the extent of above said dues**:
 - i) 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
 - ii) 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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सेबी भवन, प्लॉट सं. सी 4-ए, "जी" ब्लॉक, बांद्रा कुर्ला कॉम्प्लेक्स, बांद्रा (पूर्व), मुंबई - 400 051.

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SEBI Bhavan, Plot No. C4-A, "G" Block, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051.

Tel.: 2644 9950 / 4045 9950 (IVRS), 2644 9000 / 4045 9000 Fax : 2644 9019 to 2644 9022 Web : www.sebi.gov.in



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और विनिमय बोर्ड
Securities and Exchange
Board of India
A .P. No.4621of 2019

4. It is further ordered with immediate effect that **No Debit** shall be made in the said account/s **to the extent of the total dues mentioned above** 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 including Lockers held by the defaulter with your Bank;
 - b) Copy of the Account Statement/s for the latest one year in respect of all the Accounts;
 - c) Confirmation of Attachment of the said account/s and lockers; and
 - d) Complete details of all loan/advances accounts along with the details of assets charged for the said loan/advances.
6. If the defaulter is not having any type of account with your bank/not having any balance in the account of the defaulter, the same shall be also informed on the email: recoveryho@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 read with section 226 and the second schedule of the Income Tax Act, 1961.

Given under my hand and seal at Mumbai this 9th day of July 2019.

SEAL

Copy to:

Mr. Samir M Shah
(PAN:ASEPS2684Q)
C/o Hiten Shah 209 Parekh Commercial Bldg Agaasi
Road,,
Virar,
Mumbai 401303



S. S. Ambekar

RECOVERY OFFICER

Srishti Ambekar
सुष्टी आंबोकर

Dy. General Manager & Recovery Office
उप महाप्रबंधक एवं वसूली अधिकारी
Securities and Exchange Board of India
भारतीय प्रतिभूति एवं विनिमय बोर्ड
Mumbai
मुंबई

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