

**List of cases resulted in compounding in the prosecution filed by SEBI (As on 25th August, 2016)**

Sl No	Court (Filed/Compound)	Name of Case	Name of Accused	No of accused	Case No.	Violation	Date of filing	Date of Order	Order
1	37th ACMM Esplanade Mumbai	M/s. Indo French Bio Tech Ltd and Others	1.M/s Indo French Bio Tech Ltd. 2. Mr. Atul K. Bhagwati 3. Mr. Ramachandra R. Rayarikar 4. Mr. F.S.T. Khorakiwala 5. Shri Peter Foddai 6. Mr. Olga Bernabe 7. Mr. Vinayak R. Surve 8. Dr. Amar N. Joshi 9. Dr. Madhav S. Madivale 10. Mr. Deepak M. Kataria 11. Mr. Harkrishnadas R. Sharma 12.Mr. Praful R. Ranadive 13.Ms. Ila A. Agarwal 14. Mr. Baldeo R. Khurana 15. Mr. Praful R. Bhansali 16.Mr. Maj.Kumudchandra J. Bodiwala	16	891/1998	Section 63 of Companies Act	08.01.1998	15.04.2002	The offence was compounded
2	37th ACMM Esplanade Mumbai	M/s Protochem Ltd. and Others	1. M/s Protochem Ltd. 2. Mr. R.S Mathur 3. Mr. A.K Gupta 4. Mr. R.K Mathur 5. Dr. Ram S Gupta 6. Dr. G.B Mathur 7. Ms.. Nandini Mathur 8. Ms. Monisha Mathur	8	451/S/1997	Section 63 of Companies Act	27.03.1997	27.12.2004	The offence was compounded on payment of Rs 5000/- by each of the accused.
3	Special Judge for Economic Offences, Hyderabad	M/s. Ritesh Polyester Ltd. and Others	1. M/s. Ritesh Polyester Ltd.  2.Mr. Shiv Shanker Agarwal 3. Mr. Surender Kumar Agarwal 4. Mr. Mahender Kumar Agarwal 5.Ms.. Roop-Rekha Agarwal 6. Mr. Thanu Pillai	6	93/2003	Sec. 63 of Companies Act, 1956.	29.03.2003	06.09.2005 & 07.08.2007	The offence was compounded on payment of Rs. 15000/- by each of the accused.
4	47th ACMM	M/s Integrated	M/s Integrated Enterprises Ltd.	1	288/2006	Rule 3 of SEBI (Stock	24.09.2002	13.06.2007	The offence was
5	47th ACMM	M/s Virtue Securities	M/s Virtue Securities	1	52/2006	Rule 3 of SEBI (Stock	26.06.2003	13.06.2007	The offence was
6	Special Judge for Economic	Mr. Asis Bhaumik and Others	1. Mr. Asis Bhaumik 2. Mr. Raja Bhaumik 3. Mr. Rana Bhaumik	3	373/2002	Regulation 3 of SEBI (Prohibition	28.08.2002	14.06.2007	The offence was compounded
7	Special Judge for	Mr. Vijit Krishna	Mr. Vijit Krishna Pillai	1	374/2002	Regulation 3 of SEBI	28.08.2002	14.06.2007	The offence was
8	Special Judge for	Mr. S Ramesh	1. Mr. S Ramesh 2. Ms. Padma Latha	2	375/2002	Regulation 3 of SEBI	28.08.2002	14.06.2007	The offence was
9	47th ACMM	Mr. Rajiv sahney	Mr. Rajiv sahney	1	266/2006	Section 24 (2) of SEBI	30.06.2004	18.06.2007	The offence was
10	47th ACMM	Mr. Jasjiv Sahney	Mr. Jasjiv Sahney	1	267/2006	Section 24 (2) of SEBI	30.06.2004	18.06.2007	The offence was
11	47th ACMM	Mr.Kanwal deep	Mr. Kanwaldeep Sahney	1	263/2006	Section 24 (2) of SEBI	30.06.2004	18.06.2007	The offence was
12	47th	Mr.	Mr. Devinder Sahney	1	265/2006	Section 24	30.06.2004	18.06.2007	The offence

	ACMM	Devinder				(2) of SEBI			was
13	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s. Jyotish Bhogilal Stock Broking Ltd. and Others	1. M/s. Jyotish Bhogilal Shah Brokers Pvt. Ltd. 2. Mr. Jyotish Bhogilal Shah 3. Ms. Meena Jyotish Shah 4. Mr. Shailesh S Jhaveri 5. Mr. Ramnik N. Vyas	5	89/2006	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section 12 & 24 of SEBI Act	04.12.2003	20.06.2007	The offence was compounded on payment of Rs 85,000/ by the accused to SEBI.
14	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s. Jyotish Bhogilal Stock Broking Ltd. and Others	1.M/s. Jyotish Bhogilal Shah Brokers Pvt. Ltd. 2.Mr. Jyotish Bhogilal Shah 3. Ms. Meena Jyotish Shah 4. Mr. Shailesh S Jhaveri 5. Mr. Ramnik N. Vyas	5	92/2006	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section 12 & 24 of SEBI Act	04.12.2003	20.06.2007	The offence was compounded on payment of Rs 85,000/ by the accused to SEBI.
15	47th ACMM Esplanade Mumbai/ ASJ, Mumbai	M/s Yaman Farms & Forests Ltd. and Others	1. M/s Yaman Farms  and Forests Ltd. 2. Mr. Manoj Tiwari 3. Mr. Devendra Dubey 4. Mr. Bhaskar Gorey	4	196/2006	Section 24(1) r/w Sec. 12 (1B) of SEBI Act and Regulation 5(1) r/w Reg 68(1), 68(2), 73 and 74 of	22.12.2003	06.08.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.
16	47th ACMM Esplanade Mumbai / ASJ,	M/s Essem Consultanc y and Others	1. M/s Essem Consultancy 2. Mr. Surya Prakash Toshniwal 3. Mr. Samir Shah	3	260/2006	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992	10.06.2004	07.08.2007	The offence was compounded on payment of Rs 1,50,000/
17	47th ACMM	Mr. Urvish Vora	Mr. Urvish Vora	1	280/2006	Section 11C (6) of SEBI	29.07.2004	10.08.2007	The offence was
18	47th ACMM	Ms. Pallavi Vora	Ms. Pallavi Vora	1	276/2006	Section 11C (6) of SEBI	29.07.2004	10.08.2007	The offence was
19	47th ACMM	M/s Shivam	M/s Shivam Securities (represented by Ankush)	1	252/2006	Rule 3 of SEBI (Stock	18.03.2004	10.08.2007	The offence was
20	47th ACMM	Ms. Varsha K Gandhi	Ms. Varsha K Gandhi	1	115/2006	Section 11C (6) of SEBI	27.03.2003	14.08.2007	The offence was
21	47th ACMM	Ms Anupa Sahney	Ms. Anupa Sahney	1	262/2006	Section 24 (2) of SEBI	30.06.2004	10.09.2007	The offence was
22	47th ACMM	M/s Gopi Investment	M/s Gopi Investments	1	3933/2003	Rule 3 of SEBI (Stock	26.06.2003	16.10.2007	The offence was
23	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Alok Investment s	1. M/s Alok Investments 2. M/s Aditi Investment 3. Mr. Dinesh Bohra 4. Mr. Rajkumar Bohra	4	19/2004	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section 12 & 24 of SEBI Act and Section 17 r/w 23 of Securities Contract (Regulation	09.02.2002	18.10.2007	The offence was compounded on payment of Rs 2,00,000/ by the accused to SEBI.
24	47th ACMM	M/s Miral Financial	M/s Miral Financial Services & Securities Ltd.	1	14/2006	Rule 3 of SEBI (Stock	16.10.2003	23.10.2007	The offence was
25	47th ACMM	M/s Rupani	M/s Rupani Enterprises	1	156/2006	Rule 3 of SEBI (Stock	26.06.2003	24.10.2007	The offence was

26	ACMM Tis Hazari Court Delhi / ASJ Delhi	M/s. Money Growth Finance & Consultant s Pvt. Ltd. and Another	M/s. Money Growth Finance & Consultants Pvt. Ltd.  2. Mr. Pawan Gupta	2	01/2005	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section 12 & 24 of SEBI Act and Section 17 r/w 23 of Securities Contract  (Regulation )Act	24.12.2004	24.10.2007	Offence compounded on payment of Rs. 1,00,000/ by the accused to SEBI
27	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Kirit Seth	Mr. Kirit Seth	1	2187/2003	Regulation 4 (a) & (b) SEBI (PFUTP) Regulations, 1995 and Regulation 7 (1) SEBI (SAST) Regulations, 1997	27.08.2002	16.11.2007	The offence was compounded on payment of Rs 1,60,000/ by the accused to SEBI.
28	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Deveinder Sahney and Others	1. Mr. Deveinder Sahney 2. Ms. Kanwaldeep Kaur Sahney 3. Mr. Rajiv Sahney 4. Ms. Anupa Sahney 5. Ms. Jasjiv Sahney	5	286/2006	Regulation 3 of SEBI (Prohibition of Insider Trading) Regulations.	27.08.2002	19.11.2007	The offence was compounded on payment of Rs 7,78,000/ by the accused
29	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Sandeep Merchant	Mr. Sandeep Merchant	1	Mar-07	Section 24 (2) of SEBI Act.	23.02.2006	26.11.2007	The offence was compounded on payment of Rs 133,300 /- by the accused to SEBI.
30	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Agarwal Orchards & Plantations	1. M/s. Agrawal Orchards and Plantations (Pvt.) Ltd. 2. Mr. Amit Agarwal, 3. Mr. KC Agarwal	3	130/2006	Section 24(1) r/w Sec. 12 (1B) of SEBI Act	17.12.2003	04.12.2007	The offence was compounded on payment of Rs 85,000/ by
31	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Aradhya Forests Ltd.and Others	1. M/s Aaradhya Forest Ltd.  2.Mr. Ramesh Chandra Sohaney, 3.Mr. Deepak Nagariya 4.Mr. Shayam Kr. Sohaney	4	206/2006	Section 24(1) r/w Sec. 12 (1B) of SEBI Act and Regulation 5(1) r/w Reg 68(1), 68(2), 73 and 74 of SEBI	22.12.2003	04.12.2007	The offence was compounded on payment of Rs 85,000/ by the accused to SEBI.
32	47th ACMM Esplanade Mumbai/ ASJ, Mumbai	Mr. Rakesh Agarwal	Mr. Rakesh Agarwal	1	290/2006	Regulation 4 (a) & (b) SEBI (PFUTP) Regulations, 1995	05.02.2002	06.12.2007	The offence was compounded on payment of Rs 4,90,000/ by the accused
33	47th ACMM Esplanade Mumbai /	M/s Bijal Securities and Others	1. M/s Bijal Securities 2. Mr. Shri Narendra T. Shah 3. Mr. Indumati N Shah	3	90/2006	Rule 3 of SEBI (Stock Broker and Sub Broker)	04.12.2003	11.12.2007	The offence was compounded on payment of

34	47th ACMM Esplanade Mumbai/ ASJ, Mumbai	M/s R G Investment s	M/s R G Investments	1	157/2006	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section	26.06.2003	13.12.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused
35	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Parikh Enterprises	M/s Parikh Enterprises	1	29/2006	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section 12 & 24 of	03.10.2002	14.12.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.
36	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Loko Securities	M/s Loko Securities	1	176/2006	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section 12 & 24 of SEBI Act and Section 17 r/w 23 of Securities Contract (Regulation )Act	26.06.2003	14.12.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.
37	47th ACMM	M/s Waishram	M/s Waishram Finance and Investments Ltd.	1	150/2006	Rule 3 of SEBI (Stock	26.06.2003	18.12.2007	The offence was
38	47th ACMM Esplanade Mumbai/ ASJ, Mumbai	M/s A K Investment s	M/s A K Investments	1	Nov-06	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section	08.10.2002	09.01.2008	The offence was compounded on payment of Rs 1,20,000/ by the accused
39	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Shilpa Plantations Ltd. and Others	1. M/s. Shilpa Plantations Private Ltd. 2. Mr Ambika Prasad Tulsian 3. Mr. Sunil Kumar Tulsian	3	142/2006	Section 24(1) r/w Sec. 12 (1B) of SEBI Act and	17.12.2003	25.01.2008	The offence was compounded on payment of Rs 85,000/ by the accused to
40	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. S M Samant	Mr. S M Samant	1	146/2006	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section 12 & 24 of	26.06.2003	29.01.2008	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.
41	47th ACMM Esplanade	M/s Paragon Investment	1. M/s Paragon Investments 2. Ms. Rajani M Patel	2	13/2007	Section 11C (6) of SEBI Act	30.07.2004	31.01.2008	The offence was compounded
42	47th ACMM	Mr. Nilesh J Patel	Mr., Nilesh J Patel	1	14/2006	Section 11C (6) of SEBI	30.07.2004	31.01.2008	The offence was
43	47th ACMM	Ms. Heena Patel	Ms. Heena Patel	1	15/2006	Section 11C (6) of SEBI	30.07.2004	31.01.2008	The offence was
44	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Ms. Rajini Patel	Ms. Rajini Patel	1	16/2006 243/2004	Section 11C (6) of SEBI Act	30.07.2004	31.01.2008	The offence was compounded on payment of Rs 1,60,000/ by the accused
45	47th ACMM	Mr. Sanjay Doshi	Mr. Sanjay Doshi	1	227/2006	Section 11C (6) of SEBI	19.08.2003	19.03.2008	The offence was

46	ACMM Tis Hazari Court Delhi / ASJ, Delhi	M/s Folksy Plantations and Resorts Ltd. and Others	1. M/s Folksy  Plantations and Resorts Ltd. 2. Mr. P N Kapur( Died) 3. Mr. R K Pathak 4. Mr. U K Gupta (P. O) 5. Mr. Sushil Gupta 6. Ms Neera Pathak 7. Mr. N K Sharma 8. Ms. Gunjan Pathak 9. Captain M S Sharma 10. Ms. Ruchika Pathak	10	1234/2003	CIS Regulations	15.12.2002	24.05.2008	The offence was compounded on payment of Rs 85,000/- by the accused to SEBI.
47	47th ACMM Esplanade Mumbai	M/s. Adani Exports Ltd. & 18 Others(In the matter of Advance Exports Ltd)	1. M/s. Adani Exports Ltd 2. M/s. Adani Agro Ltd 3. M/s. Adani Impex Ltd 4. M/s. Shahi Property Developers Ltd 5. M/s. Adani Properties Ltd 6. M/s. Advance Exports Ltd 7. M/s. Intercontinental India 8. M/s. Vinodbhai & Adani Family Trust 9. Mr. Vinod S Adani Trustee 10. Mr. Rajan V Adani Trustee 11. Mr. Rajeshbhai S Adani 12. Mr. Rajesh S Adani Trustee 13. Ms Shilinben R Adani Trustee 14. Ms. Vasantbhai S Adani Family Trust 15. Mr. Vasant S Adani Trustee 16. Ms Pushpa V Adani Trustee 17. M/s. Mahsukhbhai S Adani Family Trust 18. Mr. Mahsukh S Adani Trustee 19. Ms Suvarna M Adani Trustee	19	24/SW//20 06	Sec 2(i) (a). 16, 23 & 24 of Securities Contract (Regulation ) Act, 1956 and Sec 120- B of IPC	22.12.2004	30.08.2008	The offence was compounded on payment of Rs 30,00,000/ by the accused to SEBI.
48	ACMM Tis Hazari Court Delhi / ASJ, Delhi	M/s Lalima Agro and Farm Developers Ltd. and Others	1. M/s Lalima Agro and Farm Developers Ltd.  2. Mr. Vijay Kumar Srivastava 3. Mr. Ejaj Ahmed Khan 4. Mr. Suryadev Vidhyarthi	4	1316/2002	CIS Regulations	21.12.2002	26.09.2008	The offence was compounded on payment of Rs 3,60,000/ by the accused to SEBI.
49	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Tushar Javeri	Mr. Tushar Jhaveri	1	270/2006	Section 11 c (6) of SEBI Act	17.08.2004	24.10.2008	The offence was compounded on payment of Rs 1,10,000/ by the accused to SEBI.
50	47th ACMM Esplanade Mumbai / ASJ,	Mr. Dattatriya Kadikar	Mr. Dattatriya Kadikar	1	277/M/20 05	Sec 24(2) of SEBI Act	28.11.2005	06.12.2008	The offence was compounded on payment of Rs.1,10,000/-

	Mumbai								by the accused
51	ACMM Tis Hazari Court Delhi / ASJ, Delhi	M/s Sachdev Securities & Others	1. M/s Sachdev Securities  2. Mr. Darshan Singh Sachdev 3. Mr. Sanjay Mehra	3	663/2004	SEBI (Stock Broker and Sub Broker) Rules 1992	24.11.2004	26.02.2009	The offence was compounded on payment of Rs. 1,60,000 by the accused to SEBI
52	7 <sup>th</sup> court, Additional Sessions Judge , Mumbai	M/s Shitalnath Stock Brokers Pvt Ltd. & Another	1. M/s Shitalnath Stock Brokers Pvt Ltd.  2. Mr. Mehul Ankelshwaria	2	71/SW/20 04	Sec.11C(6) of SEBI Act	17.08.2004	13.03.2009	The offence was compounded on payment of Rs. 90,000/- by the accused
53	ACMM Tis Hazari Court Delhi /ASJ, Delhi	M/s Bhuthra Financial Services Ltd. and Others	1. M/s Bhuthra Financial Services Ltd. 2. Mr. O.P. Maheshwari 3. Mr. Rakesh Maheshwari 4. Mr. Deepak Maheshwari 5. Mr. Ajya Maheshwari 6. Mr. Sudhir Maheshwari	6	29/2005	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules	28.05.2004	04.05.2009	The offence was compounded on payment of Rs. 2,30,000/- by the accused to SEBI.
54	ACMM, 9 <sup>th</sup> Court, Bandra	M/s Inditalia Refcon Ltd. & Others	1. M/s Inditalia Refcon Ltd. 2. Mr. R K Mital 3. Ms. Sujata R Mital 4. Mr. Navin D Sheth 5. Mr/Mrs. G. Frachin 6. Mr. S K Kajaria 7. Mr Parekh T Navin 8. Mr Subodh V Sapre 9. Mr. A K Chabra	9	35/SW/20 07	24(2)of SEBI Act	03.05.2007	20.08.2009	The offence was compounded on payment of Rs. 1,01,250/- by the accused to SEBI.
55	37th ACMM Esplanade Mumbai	M/s.Priya Holdings Ltd. and Others	1.M/s.Priya Holdings Ltd.  2.Mr.Umesh P.Mehta   3. Mr.Arun R.Mehta 4. Mr.Sanjay P.Mehta 5. Mr. Rajiv R. Javeri 6. Mr.Trupti S. Mehta 7 .Mr. K.F.Sharma	7	364/2000	SEBI Act R/W Takeover  Regulations 1994 read with 1997Regula tions	2000	28.11.2010	The offence was compounded on payment of Rs. 1,00,000/- by the accused to SEBI.
56	ACMM Tis Hazari Court Delhi /ASJ, Delhi	M/s . Allahabad Agro Tech Ltd.and Others	1. M/s . Allahabad Agro Tech Ltd.  2. Mr. Alok Sexena 3. Mr. Vijay Vaish 4. Mr. Ashok Verma 5. Ms. Suruchi Khanna 6. Mr. Shailesh Chaudhary 7. Ms. Archana Srivastava 8. Mr.SureshKumar 9. Dr. Deepak Srivastava	9	1212/2003	CIS Regulations	15.12.2003	10.02.2011	The offence was compounded on payment of Rs. 85,000/- by the accused to SEBI.
57	ACMM Tis Hazari Court Delhi	M/s Supriya Pharmaceu ticals Ltd	1.M/s Supriya Pharmaceuticals Ltd. 2. Mr Vijay Julka 3.Mr. Dinesh Ajmera	6	1039/2003 (422/95)	Companies Act	01.02.1995	17.02.2011	The Offence was compounded by CLB

			4.Ms. Sadhma Julka 5. Mr. Mukesh Sethi 6. Mr. Alok Gupta						
58	ACMM 9 <sup>TH</sup> Court, Bandra	M/s DSQ Holdings Ltd. and Others	1. M/s DSQ Holdings Ltd. 2. Mr. Dinesh Dalmia 3. .Mr. Rajan S Govinda 4. Mr.s Gopal Krishnan 5. Mr. Pillayar Pattiyar Textiles LLtd 6. Mr. KM Venkateswaram 7. Mr.N M Mantri 8. Mr. Girdhar Das Binani 9. Mr. Deepak Bhalotia 10. M/s Tickwel Commercial Ltd 11. Mr. Suresh Kumar Chhachharia 12. Ms. Manju Chhaochharia 13. Mr. Gaurahis Basu 14. Mr. Ganesh Das Agarwal  15. Mr. Manohar Lal Agarwal  16. Mr. Karun Bhatta 17. M/s Escorts Finvest(P) Ltd 18. Mr. Umesh Singh 19. Mr. Malia Koda 20. M/s Gateway Financial Services 21. Mr. R Krishnakumar 22. Ms. Bhavani Krishnakumar 23. Mr. Binod Kumar Agarwal 24. Mr. Pradeep Kumar Agarwal	24	37//2007	Sec 24(2) of SEBI Act	15.06.2007	18.09.2011	The offence was compounded on payment of penalty amount and compounding charges to SEBI
59	ACMM Tis Hazari Court Delhi	M/s Jaybee Finvest Pvt. Ltd. & Ors	1. M/s Jaybee Finvest Pvt. Ltd 2. Ms. Chetna Mittal 3. Mr. K C Bhatia 4. Mr. NC Gupta	4	151/2000	Section 24(1) of the SEBI Act(Broker Reg./ un	29.03.200	17.04.2012	Case Compounded
60	ACMM Tis Hazari Court Delhi	Setech Electronics Ltd.	M/s Setech Electronics Ltd. Ajay Kumar Agarwal Mrs. Mridula Agarwal Raj Kishore Agarwal Krishna Kumar Jalan	5	282/98	Sec.63 and 68 of Companies Act 1956 (Sec. 621)	03.12.1998	13.09.2012	Vide order dated 13/09/2012 court disposed of the matter
61	ASJ, Delhi	HBN Agro Tech Ltd. & Ors.	1. HBN Agro Tech Ltd. 2. Naib Singh Dhillon 3. Harmendra Singh Saran 4. Jeet Singh 5. Ram Singh	5	35/10	CIS Regulations	16.12.2003	03.04.2013	The matter was compounded against the company, Shri
62	ACMM Tis Hazari Court Delhi	A.Chandra Sekhar Rao Vs. Padmini Technologi	1. Padmini Technologies Ltd. 2. Vivek Nagpal 3. Vishnu Sarup Gupta 4. Praveen Kumar Jain 5. Rajesh Sodhi	5	252/2003	OIAE	26.03.2003	29.06.2013	Compounded. The violations were Compounded by CLB and

63	SEBI Special Court, Court no. 39, City Civil and Sessions Court, Kalaghoda, Mumbai	Shadilal Chopra in the matter of Atlanta Ltd	Shadilal Chopra	1	CC No.139/sw/2011	Non-payment of penalty	27.07.2011	2014-15	The offence was compounded
64	ACMM Tis Hazari Court Delhi	SEBI v. Luxury Foams Ltd. & Ors.	1. Luxury Forma Ltd. 2. Sh. S.L. Maloo, 3. Sh. M.C. Maloo, 4. Sunil Aggarwal	4	CC No. 32/5/09	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
65	ACMM Tis Hazari Court Delhi	SEBI v. Echo Chemicals Pvt. Ltd. & Ors.	1. Echo Chemical Pvt Ltd. 2. Sh. S.L. Maloo, 3. Sh. M.C. Maloo 4. Digamber Mandal	4	CC No. 30/5/09	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
66	ACMM Tis Hazari Court Delhi	SEBI v. Yare Engineering Pvt. Ltd. & Ors.	1. Yare Engineering Pvt Ltd. 2. Sh. S.L. Maloo, 3. Sh. M.C. Maloo 4. Digamber Mandal 5. S C Sethia	5	CC No. 31/5/09	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
67	ACMM Tis Hazari Court Delhi	SEBI v. TMS Boards and Industries Pvt. Ltd. & Ors.	1. TMS Boards and Industries Pvt. Ltd. 2. Sh. S.L. Maloo, 3. Sh. M.C. Maloo 4. S C Sethia 5. Pramod Singh	5	CC No. 36/5/09	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
68	ACMM Tis Hazari Court Delhi	SEBI v. Cook Fast Foods Pvt. Ltd. & Ors.	1. M/s. Cookfast Foods Pvt. Ltd., 2. Sh. S.L. Maloo, 3. Sh. M.C. Maloo, 4. Sh. Pramod Singh, 5. Sh. Jaswant Singh	5	CC No. 34/5/09	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
69	ACMM Tis Hazari Court Delhi	SEBI v. Econo Commercial Evaluators Pvt. Ltd. & Ors.	1. Econo Commercial Evaluators Pvt Ltd. 2. Sh. S.L. Maloo, 3. Sh. M.C. Maloo 5. Kailash Prasad	5	CC No. 35/5/09	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
70	ACMM Tis Hazari Court Delhi	SEBI v. Ajay Roadways Pvt. Ltd. & Ors.	1. Ajay Roadways Pvt. Ltd. 2. Sh. S.L. Maloo, 3. Sh. M.C. Maloo 5. Kailash Prasad	5	CC No. 33/5/09	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
71	ACMM Tis Hazari Court Delhi	SEBI v. Castle Builders Pvt. Ltd. & Ors.	1. Castle Builders Pvt Ltd. 2. S L Maloo 3. M C Maloo 4. A Mukherjee 5. Kailash Prasad 6. Shikhar Chand Sethia	6	CC No. 28/05/2009	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
72	ACMM Tis Hazari Court Delhi	SEBI v. Dilli Soaps and Chemicals Pvt. Ltd. & Ors.	1. Dilli Soaps and Chemicals Pvt Ltd. 2. S L maloo 3. M C Maloo 4. M C Chhajer 5. Kamal Sharma	5	CC No. 29/05/2009	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
73	ACMM Tis Hazari Court Delhi	SEBI v. Rai Chemicals Pvt. Ltd. & Ors.	1. Rai Chemicals Pvt Ltd. 2. S L Maloo 3. M C Maloo 4. D Mandal 5. A Mukherjee	5	CC No. 26/05/2009	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded



74	ACMM Tis Hazari Court Delhi	SEBI v. CMC Marketing Pvt. Ltd. & Ors.	1. CMC Marketing Pvt Ltd. 2. S L Maloo 3. M C Maloo 4. S c Sethia 5. Jaswant Saini	5	CC No. 27/05/2009	Non-payment of penalty	29/04/2009	25/02/2016	The offence was compounded
75	SEBI Special Court, Court no. 39, City Civil and Sessions Court, Kalaghoda, Mumbai	Vikas WSP Ltd. & anr.	1) Vikas WSP Ltd., 2) Shri B.D. Agarwal	2	2171/W/03 - SEBI Spl. Case No. 231/2015	Sec.21, 23(2) & 24 of Securities Contract (Regulation) Act, 1956	13.08.2002	14.03.2016	The offence was compounded
76	SEBI Special Court, Court no. 39, City Civil and Sessions Court, Kalaghoda, Mumbai	Vikas WSP Ltd. & anr.	1) Vikas WSP Ltd. 2) Shri B D Agarwal 3) Shri J D Agarwal 4) Shri B L Jindal 5) Shri R C Jindal	5	3872/S/03 (new no. SC No.111/06) - SEBI Spl. Case No. 454/2014	SEBI (Prohibition of Fraudulent and Unfair Trade Practices relating to securities markets) Regulations, 1995	17.06.2003	14.03.2016	The offence was compounded
77	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Bhavesh Pabari in Indo Pacific Software and Entertainment Ltd.	Bhavesh Pabari	1	Spl. Case No. 153/2014	Non-payment of penalty	15.01.2014	17.03.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
78	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Bharat Shantilal Thakkar in Indo Pacific Software and Entertainment Ltd.	Bharat Shantilal Thakkar	1	Spl. Case No. 300/2014	Non-payment of penalty	24.03.2014	18.03.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
79	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Sunayana Commercial Pvt. Ltd. And ors in Murli Industries Ltd.	1. Sunayana Commercial Pvt. Ltd. 2. Anil Goyal 3. Anjana Goyal	3	Spl. Case No. 291/2014	Non-payment of penalty	28.03.2014	18.03.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI

80	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/S. Triumph International Finance India Ltd in Software Solutions India Ltd.	1. Triumph International Finance India Ltd. and its directors and 2. Jatin R Sarvaiya 3. Abdul Razzak H A Kapadia 4. Ganesh Mahatre (Executive Officer)	4	18/SW/2013 - Spl. Case No. 245/2014	Non-payment of penalty	18.01.2013	21.03.2016	The offence was compounded on payment of Rs. 3,04,960/- to SEBI
81	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Manoj Jhaveri Stock Broking Pvt Ltd & ors in KRBL	1. Manoj Jhaveri Stock Broking Ltd. 2. Manoj Jhaveri 3. Alok A Jain 4. Pramila M Jhaveri	4	69/2014 - Spl. Case No. 369/2014	Non-payment of penalty	25.03.2014	23.03.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
82	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Zennith Estates Ltd & 3 Others in Millennium Cybertech Ltd.	1. Zenith Estates Ltd. 2. Abhijit Kanth 3. Dharemnder Gupta 4. Manju Gupta	4	129 of 2014 - Spl. Case No. 381/2014	Non-payment of penalty	27.03.2014	28.03.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
83	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Prem Mohanlal Parikh in Indo Pacific Software & Entertainment Ltd.	Prem Mohanlal Parikh	1	49/2014 - Spl. Case No. 381/2014	Non-payment of penalty	24.03.2014	29.03.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
84	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Datapro Electronics Private Limited in Datapro Information Technology Ltd	1. Datapro Electronics Private Limited 2. Rajeev Arora 3. Hiralal Arora 4. Nilesh Raheja 5. Sanjeev Bansal 6. Ashok Agarwal 7. Rohit Arora	7	Spl. Case No. 67/2014	Non-payment of penalty	27.03.2014	30.03.2016	The offence was compounded on payment of Rs. 2,99,126/- to SEBI
85	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Anushikha Investments Pvt. Ltd. in Rich Universe Network Limited	1. Anushikha Investments Pvt.Ltd., 2. Deepak Jhunjhunwala 3. Sanjay Jhunjhunwala	3	106/2014 - Spl. Case No. 89/2015	Non-payment of penalty	26.03.2014	04.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI

86	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Richtone Fintrade & Investments Pvt Ltd in Karuna Cables Ltd	(1) Richtone Fintrade and Investments Pvt Ltd (2) Sharad Ghadi (3) Nikita Ghia (4) Sanjay Jogani	4	Spl Case no. 99/2015	Non-payment of penalty	25.04.2014	04.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
87	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Ajay Roongta in Asian Star Company Limited	Ajay Roongta	1	Spl Case no. 404/2014	Non-payment of penalty	09.05.2014	05.04.2016	The offence was compounded on payment of Rs. 2,04,164/- to SEBI
88	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Jayprakash Jain in Hit Kit Global Solutions Limited	Jayprakash Jain	1	Spl Case no. 370/2014	Non-payment of penalty	25.03.2014	06.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
89	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Ganpati Investment in Tulip IT Services	Ganpati Investment	1	Spl Case no. 69/2015	Non-payment of penalty	29.03.2014	11.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
90	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Prabhu Steel Industries Ltd & Ors	Accused no. 10 - Sarita Choudhari	1	Spl. Case no. 156/2014	24(1) matter - Regulation 3 and 4 of SEBI ( PFUTP) Regulation, 1995	21.09.2004	13.04.2016	The offence was compounded on payment of Rs. 3,60,000/- to SEBI
91	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Vivek Kumar in Tulip IT Services Ltd	Vivek Kumar	1	Spl. Case no. 402/2014	Non-payment of penalty	29.03.2014	13.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI

92	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/S Born Free Finance Ltd & Anr in Soundcraft Industries Ltd.	1. M/S Born Free Finance Ltd 2. Hari Om Sharma	2	Spl. Case no. 240/2014	Non-payment of penalty	21.07.2009	20.04.2016	The offence was compounded on payment of Rs. 11,54,679/- to SEBI
93	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Chirag Tanna in Jindal Drilling & Industries Limited	Chirag Tanna	1	Spl. Case no. 425/2014	Non-payment of penalty	28.03.2014	27.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
94	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Galaxy Broking Ltd in Parsoli Corporation Ltd.	1. M/s Galaxy Broking Ltd. 2. Bhavik Amrutlal Vaza 3. Haresh Kumar I Tejani 4. Bahavna M Ashar 5. Anil A Gandhi 6. Sanjay ManharlI Sanghvi 7. Sailesh V Vaid	7	Spl. Case no. 12/2014	Non-payment of penalty	26.03.2014	27.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
95	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Galaxy Broking Ltd in K Sera Sera Productions Ltd.	1. M/s Galaxy Broking Ltd. 2. Bhavik Amrutlal Vaza 3. Haresh Kumar I Tejani 4. Bahavna M Ashar 5. Anil A Gandhi 6. Sanjay ManharlI Sanghvi 7. Sailesh V Vaid	7	Spl. Case no. 419/2014	Non-payment of penalty	15.01.2014	27.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
96	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Galaxy Broking Ltd in Hit Kit Global Solutions Ltd	1. Galaxy Broking Limited 2. Bhavik Amrutlal Vaza 3. Hareshkumar L. Tejani 4. Anil A Gandhi 5. Sanjay Manharlal 6. Shalesh D. Ved	6	Spl. Case no. 371/2014	Non-payment of penalty	25.03.2014	27.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
97	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Jignesh N Shah in KRBL	Jignesh N Shah	1	Spl. Case no. 377/2014	Non-payment of penalty	25.03.2014	29.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI

98	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	S S Organics Ltd	1. S. S Organics Ltd. 2. Sunanda Reddy 3.Ramachandra Gupta Pabbisetty 4.Vankineni Sai Sudhakar 5. Appasani Ravi Kumar 6. Sadasiv Reddy Devagudi 7. Narravula Gangi Reddy 8.Vidyasagar Devabhaktuni 9. Sumanth Simha vankineni 10.Venkataramana Reddy Bodi 11. Gowtham Vongumalli Reddy	11	Spl. Case no. 50/2015	Non- payment of penalty	28.03.2014	30.04.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
99	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Jignesh N Shah in IQMS Software Ltd	Jignesh N Shah	1	Spl. Case no. 325/2014	Non- payment of penalty	30.12.2010	02.05.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
100	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Eswaran Annamalai in Gemini Communic ation Ltd.	Eswaran Annamalai	1	Spl. Case no. 456/2014	Non- payment of penalty	28.03.2014	03.05.2016	The offence was compounded on payment of Rs. 1,34,799/- to SEBI
101	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Sunil Mehta in Allcargo Globla Logistics and Unity Infraprojec ts Ltd	Sunil Mehta	1	Spl. Case no. 46/2015	Non- payment of penalty	30.04.2014	03.05.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
102	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Jignesh Shah in TASC Pharmaceu ticals Ltd	Jignesh Shah	1	Spl. Case no. 230/2014	Non- payment of penalty	28.12.2012	05.05.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI

103	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/S. Triumph International Finance India Ltd in Sonkh Technologies International Ltd.	1. Triumph International Finance India Ltd. 2. Dharmesh Doshi 3. Jatin Sarvaiya 4. Dharmen Shah 5. A R Kapadia	5	Spl. Case no. 227/2014	Non-payment of penalty	18.01.2013	05.05.2016	The offence was compounded on payment of Rs. 14,67,732/- to SEBI
104	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Shri Hari Hira Stock Broking in K. Sera Sera Production Ltd.	1. Shree Hari Hari Stock Broking 2. Shivkumar Harikishan Bissa (Director) 3. Mahesh Kumar Bissa (Director) 4. Sarla V. Bissa (Director)	4	Spl. Case no. 350/2014	Non-payment of penalty	30.01.2013	09.05.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
105	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Right Finstock Pvt Ltd in Asian Films Production And Distribution Ltd.	1. Right Finstock Pvt. Ltd 2. Vishnu S Parekh 3. Sanket S Shah	3	Spl. Case no. 284/2014	Non-payment of penalty	15.01.2013	13.05.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
106	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Right Finstock Pvt Ltd in Asian Films Production And Distribution Ltd.	1. Right Finstock Pvt. Ltd 2. Vishnu S Parekh 3. Sanket S Shah	3	Spl. Case no. 207/2014	Non-payment of penalty	15.01.2013	18.05.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
107	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Piyush Kanungo in Pyramid Saimira Theatre Ltd.	Piyush Kanungo	1	Spl. Case no. 459/2014	Non-payment of penalty	26.03.2014	19.05.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
108	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Samradha finstock pvt ltd in TASC Pharmaceutical Ltd	1) Samradha Finstock Pvt. Ltd. 2) Manish Jamunadas Vora 3) Jacky Rudolf Fernandes	3	Spl. Case no. 007/2014	Non-payment of penalty	20.12.2013	23.05.2016	The offence was compounded on payment of Rs. 4,67,821/- to SEBI

109	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Harish Sisodia in Vijay Textiles Ltd	Harish Sisodia	1	Spl. Case no. 421/2014	Non- payment of penalty	25.03.2014	02.06.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
110	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Ashish Pannalal Shah and Ors	(1) Mr. Ashish Pannalal Shah, (2) Ms. Rina Ashishbhai Shah, 3) Hemendra sakarchand shah (4) Mr. Pannalal Lalbhai Shah	4	Spl. Case no. 332/2014	Non- payment of penalty	02.06.2012	06.06.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
111	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Starpoint Manageme nt Pvt. Ltd in Shiva Cements Ltd	Starpoint Management Pvt. Ltd	1	Spl. Case no. 258/2015	Non- payment of penalty	30.06.2014	09.06.2016	The offence was compounded on payment of Rs. 8,67,658/- to SEBI
112	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Mr Himanshu Pandya in Softtrack Technology Exports Ltd	Mr Himanshu Pandya	1	Spl. Case no. 199/2014	Non- payment of penalty	12.05.2012	14.06.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
113	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Spartek Ceramics India Ltd	1. Spartex Ceramics India Ltd. 2. Shri Krishna Prasad Tripurinneni 3. Shri M.N. Rao 4. Shri Y. Mohan Prasad 5. Shri B.S. Shailender 6. Shri Pradeep Awasthi	6	Spl. Case no. 213/2014	Non- payment of penalty	01.07.2011	29.06.2016	The offence was compounded on payment of Rs. 11,63,561/- to SEBI
114	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Mehul A Shah in K. Sera Sera Production Ltd.	Mehul A Shah	1	Spl. Case no. 282/2014	Non- payment of penalty	11.05.2012	21.06.2016	The offence was compounded on payment of Rs. 2,42,689/- to SEBI

115	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Churuwala Exports Pvt. Ltd. and others in Shonkh Technologies International Limited	1. Churawala Exports Pvt Ltd. 2. Sandeep Kumar Gupta 3. Sanjay Kumar Agarwal	3	Spl. Case no. 312/2014	Non-payment of penalty	29.05.2007	23.06.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
116	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	S. Patwa & Associates	S. Patwa & Associates	1	Spl. Case no. 29/2015	24(1) matter - Rule 3 of SEBI (Stock Broker & Sub Broker) Rules 1992 and Section 23 of SCRA Act 1956	26.06.2003	28.06.2016	The offence was compounded on payment of Rs. 1,00,000/- to SEBI
117	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Nrupesh C. Shah in Adani Exports Ltd	Nrupesh C. Shah	1	Spl. Case no. 373/2014	Non-payment of penalty	28.03.2014	13.06.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
118	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Shree Hari Hira Stock Booking Ltd. and Ors. In Hit Kit Global Solutions Ltd	1. Shreehari Hira Stock Broking Pvt. Ltd. 2. Shri Shivkumar Harikishan Bissa 3. Shri mahesh Kumar H Bissa 4. Smt. Sarla Vasant Bissa	4	Spl. Case no. 360/2014	Non-payment of penalty	28.03.2014	16.07.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
119	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Alchemist Corporation Ltd & Ors in Sai Info Limited	1. Alchemist Corporation Ltd 2. Mr. Sohan Lal 3. Mr. Rajeev Gupta 4. Mr. Sudhish Kumar Rastogi 5. Ms. Pooja Rastogi 6. Ms. Sheetal jain 7. Mr. Neeraj Tiwari	7	Spl. Case no. 387/2014	Non-payment of penalty	03.04.2014	19.07.2016	The offence was compounded on payment of Rs. 9,26,856/- to SEBI
120	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Kasi Ram Softech (India) Ltd. and others in Sai Info Ltd	1) Kasi Ram Softech 2) Ms Pooja Rastogi, 3) Bharat Singh Bisht 4) Sudhish Kumar Rastogi	4	Spl. Case no. 387/2014	Non-payment of penalty	10.09.2014	19/07/2016	The offence was compounded on payment of Rs. 2,40,216/- to SEBI



121	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	K.S. Aghoram and others in SSI Ltd	1) Shri K.S Aghoram 2) Shri K.S Ganesh 3) Shri K.S. Suresh 4) Shri K. Kalaiselvi 5) Shri K.V. Prakash 6) Shri S. Venkatesh	6	Spl. Case no. 128/2014	24(1) matter - Section 23- 1(b) of Securities Contract ( Regulations ) Act 1956 (SCRA)	20.07.2004	21/07/2016	The offence was compounded on payment of Rs. 49,00,000/- to SEBI
122	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Gautam N. Jhaveri in Adani Exports Limited	Gautam N. Jhaveri	1	Spl. Case no. 401/2014	Non- payment of penalty	26.03.2014	25/07/2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
123	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Amrut Securities Limited in Systel Infotech Limited	Amrut Securities Limited	1	Spl. Case no. 107/2015	Non- payment of penalty	24.03.2014	29.07.2016	The offence was compounded on payment of Rs. 67,000/- to SEBI
124	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda , Mumbai	Harish Kapadia in Betala Global Securities Ltd	Harish Kapadia	1	Spl. Case no. 243/2014	Non- payment of penalty	28.12.2012	02.08.2016	The offence was compounded on payment of Rs. 2,39,592/- to SEBI