Recovery & Refund Department
Recovery Division III
Tel: 022-26449838
Email: recoveryho1@sebi.gov.in

भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

Notice of Attachment of Bank Account

Attachment Proceeding No. 6510 of 2021
Certificate No. 3274 of 2021

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

1. Whereas a **Recovery Certificate No. 3274 of 2021 dated 11.02.2021** has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs. 1,04,57,986/- (Rupees One Crore Four Lakh Fifty Seven Thousand Nine Hundred and Eighty Six Only)** as detailed below along with interest/costs/charges/expenses etc. against **Mr. Rana Kapoor (PAN: AHIPK0411A) ["Defaulter"]** and the same is due from the Defaulter in respect of the said certificate. A Notice of Demand **dated 11.02.2021** has been issued to **Mr. Rana Kapoor.**

Description of Dues	Amount
Penalty imposed on **Mr. Rana Kapoor (PAN: AHIPK0411A)** by the Adjudicating Officer vide order no. AP/AS/2020-21/9142 dated 25/09/2020 in the matter of Yes Bank Ltd.	Rs. 1,00,00,000/-
Interest from 25/09/2020 to 11/02/2021 @ 12% p.a.	Rs. 4,56,986/-
Recovery cost	Rs. 1,000/-
Further Interest	On Actual Date of Payment
Total	**Rs. 1,04,57,986/- + Further Interest till Actual date of Payment**

2. Whereas no amount has been paid by the Defaulter and 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.

...2

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 attachment 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: recoveryho1@sebi.gov.in / jaip@sebi.gov.in / amard@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 on this **24th Day of March, 2021**

SEAL

SECURITIES AND EXCHANGE BOARD OF INDIA * RECOVERY DIVISION *

24/03/2021

RECOVERY OFFICER

JAI PARKASH
जय प्रकाश
Dy. General Manager & Recovery Officer
उप महाप्रबंधक एवं वसूली अधिकारी
Securities and Exchange Board of India
भारतीय प्रतिभूती एवं विनिमय बोर्ड
Mumbai
मुंबई

Copy to:

Mr. Rana Kapoor
427-428, 27th Floor,
Penthouse Samudra Mahal,
Dr. Annie Besant Road,
Worli, Mumbai - 400018

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

Recovery & Refund Department
Recovery Division III
Tel: 022-26449838
Email: recoveryho1@sebi.gov.in

भारतीय प्रतिभूति
और विनिमय बोर्ड
Securities and Exchange
Board of India

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

Attachment Proceeding No. 6511 of 2021
Certificate No. 3274 of 2021

M/s. National Securities Depository Ltd.
4th floor, 'A', Wing, Trade World
Kamala Mills Compound
Senapati Bapat Marg
Lower Parel, Mumbai – 400013

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. 3274 of 2021 dated 11.02.2021** has been drawn up by the Recovery Officer in the above proceedings for recovery of a sum of **Rs. 1,04,57,986/- (Rupees One Crore Four Lakh Fifty Seven Thousand Nine Hundred and Eighty Six Only)** as detailed below along with interest/costs/charges/expenses etc. against **Mr. Rana Kapoor (PAN: AHIPK0411A) ["Defaulter"]** and the same is due from the Defaulter in respect of the said certificate. A Notice of Demand **dated 11.02.2021** has been issued to **Mr. Rana Kapoor.**

Description of Dues	Amount
Penalty imposed on **Mr. Rana Kapoor (PAN: AHIPK0411A)** by the Adjudicating Officer vide order no. AP/AS/2020-21/9142 dated 25/09/2020 in the matter of Yes Bank Ltd.	Rs. 1,00,00,000/-
Interest from 25/09/2020 to 11/02/2021 @ 12% p.a.	Rs. 4,56,986/-
Recovery cost	Rs. 1,000/-
Further Interest	On Actual Date of Payment
Total	**Rs. 1,04,57,986/-** **+** **Further Interest till Actual date of Payment**

2. Whereas no amount has been paid by the Defaulter and there is sufficient reason to believe that the Defaulter may dispose of 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.

...2

SECURITIES AND EXCHANGE BOARD OF INDIA
RECOVERY DIVISION

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.
   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

2. 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: recoveryho1@sebi.gov.in / jaip@sebi.gov.in / amard@sebi.gov.in**

6. 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 on this **24th Day of March, 2021**

SEAL

SECURITIES AND EXCHANGE BOARD OF INDIA * RECOVERY DIVISION *

24/03/2021

RECOVERY OFFICER

JAI PARKASH
जय प्रकाश
Dy. General Manager & Recovery Officer
उप महाप्रबंधक एवं वसूली अधिकारी
Securities and Exchange Board of India
भारतीय प्रतिभूती एवं विनिमय बोर्ड
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Copy to:

Mr. Rana Kapoor
427-428, 27th Floor,
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Worli, Mumbai - 400018

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