

List of cases resulted in Compounding in the prosecution filed by SEBI (As on 31st March 2023)	
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Sl No	Court (Filed/Compounded)	Name of Case	Name of Accused	No of accused	Case No.	Violation	Date of filing of Compliant	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 Esplanade Mumbai / ASJ, Mumbai	M/s Integrated Enterprises Ltd.	M/s Integrated Enterprises Ltd.	1	288/2006	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	24.09.2002	13.06.2007	The offence was compounded on payment of Rs 1,00,000/- by the accused to SEBI.

5	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Virtue Securities	M/s Virtue Securities	1	52/2006	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	13.06.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.
6	Special Judge for Economic Offences,	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 of Insider Trading) Regulations	28.08.2002	14.06.2007	The offence was compounded on payment of Rs 1,69,000/ by the accused to SEBI.
7	Special Judge for Economic	Mr. Vijit Krishna Pillai	Mr. Vijit Krishna Pillai	1	374/2002	Regulation 3 of SEBI (Prohibition of Insider Trading) Regulations	28.08.2002	14.06.2007	The offence was compounded on payment of Rs 3,49,500/ by the accused to SEBI.
8	Special Judge for Economic Offences, Hyderabad	Mr. S Ramesh and Another	1. Mr. S Ramesh 2. Ms. Padma Latha	2	375/2002	Regulation 3 of SEBI (Prohibition of Insider Trading) Regulations	28.08.2002	14.06.2007	The offence was compounded on payment of Rs 1,08,000/ by the accused to SEBI.
9	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Rajiv sahney	Mr. Rajiv sahney	1	266/2006	Section 24 (2) of SEBI Act	30.06.2004	18.06.2007	The offence was compounded on payment of Rs 1,50,000/ by the accused to SEBI.
10	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Jasjiv Sahney	Mr. Jasjiv Sahney	1	267/2006	Section 24 (2) of SEBI Act	30.06.2004	18.06.2007	The offence was compounded on payment of Rs 1,50,000/ by the accused to SEBI.
11	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Kanwaldeep Sahney	Mr. Kanwaldeep Sahney	1	263/2006	Section 24 (2) of SEBI Act	30.06.2004	18.06.2007	The offence was compounded on payment of Rs 1,75,000/ by the accused to SEBI.
12	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Devinder Sahney	Mr. Devinder Sahney	1	265/2006	Section 24 (2) of SEBI Act	30.06.2004	18.06.2007	The offence was compounded on payment of Rs 1,50,000/ by the accused to SEBI.
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 SEBI (Collective Investment Scheme) Regulations, 1999	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, Mumbai	M/s Essem Consultancy 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 r/w Section 12 & 24 of SEBI Act and Section 17 r/w 23 of Securities Contract (Regulation)Act	10.06.2004	07.08.2007	The offence was compounded on payment of Rs 1,50,000/ by the accused to SEBI.
17	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Urvish Vora	Mr. Urvish Vora	1	280/2006	Section 11C (6) of SEBI Act	29.07.2004	10.08.2007	The offence was compounded on payment of Rs 50,000/ by the accused to SEBI.
18	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Ms. Pallavi Vora	Ms. Pallavi Vora	1	276/2006	Section 11C (6) of SEBI Act	29.07.2004	10.08.2007	The offence was compounded on payment of Rs 50,000/ by the accused to SEBI.
19	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Shivam Securities	M/s Shivam Securities (represented by Ankush Gupta)	1	252/2006	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	18.03.2004	10.08.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.

20	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Ms. Varsha K Gandhi	Ms. Varsha K Gandhi	1	115/2006	Section 11C (6) of SEBI Act	27.03.2003	14.08.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.
21	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Ms Anupa Sahney	Ms. Anupa Sahney	1	262/2006	Section 24 (2) of SEBI Act	30.06.2004	10.09.2007	The offence was compounded on payment of Rs 1,36,000/ by the accused to SEBI.
22	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Gopi Investments	M/s Gopi Investments	1	3933/2003	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	16.10.2007	The offence was compounded on payment of Rs 1,00,000/ as the compounding charges by the accused.
23	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Alok Investments	<div>1. M/s Alok Investments</div> <div>2. M/s Aditi Investment</div> <div>3. Mr. Dinesh Bohra</div> <div>4. Mr. Rajkumar Bohra</div>	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) Act	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 Esplanade Mumbai / ASJ, Mumbai	M/s Miral Financial Services & Securities Ltd.	M/s Miral Financial Services & Securities Ltd.	1	14/2006	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section 12 & 24 of SEBI Act and Regulation 4 of SEBI (Prohibition of Fraudulent and Unfair Trade Practices Relating to Securities Market) regulations 1995.	16.10.2003	23.10.2007	The offence was compounded on payment of Rs 3,60,000/ by the accused to SEBI.
25	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Rupani Enterprises	M/s Rupani Enterprises	1	156/2006	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	24.10.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.
26	ACMM Tis Hazari Court Delhi / ASJ Delhi	M/s. Money Growth Finance & Consultants Pvt. Ltd. and Another	M/s. Money Growth Finance & Consultants Pvt. Ltd.	2	01/2005	Rule 3 of SEBI (Stock Broker and Sub Broker) Rules 1992 r/w Section 12 & 24 of SEBI Act and (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 to SEBI.
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 Ltd. and Others	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 and Regulation 5(1) r/w Reg 68(1), 68(2), 73 and 74 of SEBI (Collective Investment Scheme) Regulations, 1999	17.12.2003	04.12.2007	The offence was compounded on payment of Rs 85,000/ by the accused to SEBI.
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	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 (Collective Investment Scheme) Regulations, 1999	22.12.2003	04.12.2007	The offence was compounded on payment of Rs 85,000/ by the accused to SEBI.

			4.Mr. Shayam Kr. Sohaney						
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 to SEBI.
33	47th ACMM Esplanade Mumbai / ASJ, 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) Rules 1992 r/w Section 12 & 24 of SEBI Act	04.12.2003	11.12.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.
34	47th ACMM Esplanade Mumbai/ ASJ, Mumbai	M/s R G Investments	M/s R G Investments	1	157/2006	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	26.06.2003	13.12.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.
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 SEBI Act and Section 17 r/w 23 of Securities Contract (Regulation)Act	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 Esplanade Mumbai / ASJ, Mumbai	M/s Waishram Finance and Investments Ltd.	M/s Waishram Finance and Investments Ltd.	1	150/2006	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	18.12.2007	The offence was compounded on payment of Rs 1,20,000/ by the accused to SEBI.
38	47th ACMM Esplanade Mumbai/ ASJ, Mumbai	M/s A K Investments	M/s A K Investments	1	Nov-06	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	08.10.2002	09.01.2008	The offence was compounded on payment of Rs 1,20,000/ by the accused to SEBI.

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 Regulation 5(1) r/w Reg 68(1), 68(2), 73 and 74 of SEBI (Collective Investment Scheme) Regulations, 1999	17.12.2003	25.01.2008	The offence was compounded on payment of Rs 85,000/ by the accused to SEBI.
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 SEBI Act and Section 17 r/w 23 of Securities Contract (Regulation) Act	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 Mumbai / ASJ, Mumbai	M/s Paragon Investments Ltd. and Another	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 on payment of Rs 1,60,000/ by the accused to SEBI.
42	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Nilesh J Patel	Mr.. Nilesh J Patel	1	14/2006	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 to SEBI.
43	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Ms. Heena Patel	Ms. Heena Patel	1	15/2006	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 to SEBI.
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 to SEBI.
45	47th ACMM Esplanade Mumbai / ASJ, Mumbai	Mr. Sanjay Doshi	Mr. Sanjay Doshi	1	227/2006	Section 11C (6) of SEBI Act	19.08.2003	19.03.2008	The offence was compounded on payment of Rs 15,60,000/ by the accused to SEBI.
46	ACMM Tis Hazari Court Delhi	M/s Folsky Plantations and Resorts Ltd. and Others	1. M/s Folsky 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	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.

			7. Mr. N K Sharma 8. Ms. Gunjan Pathak 9. Captain M S Sharma 10. Ms. Ruchika Pathak						
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//2006	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	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, Mumbai	Mr. Dattatriya Kadikar	Mr. Dattatriya Kadikar	1	277/M/2005	Sec 24(2) of SEBI Act	28.11.2005	06.12.2008	The offence was compounded on payment of Rs.1,10,000/- by the accused to SEBI.
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 th court, Additional Sessions Judge ,	M/s Shitalnath Stock Brokers Pvt Ltd. & Another	1. M/s Shitalnath Stock Brokers Pvt Ltd.	2	71/SW/2004	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 to SEBI.

	Mumbai		2. Mr. Mehul Ankelshwaria						
53	ACMM Tis Hazari Court 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 th 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/2007	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 2.Mr.Umesh P.Mehta 3. Mr.Arun R.Mehta 4. Mr.Sanjay P.Mehta 5. Mr. Rajiv R. Javeri 6. Mr.Trupiti S. Mehta 7 .Mr. K.F.Sharma	7	364/2000	SEBI Act R/W Takeover Regulations 1994 read with	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	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 Pharmaceuticals Ltd	1.M/s Supriya Pharmaceuticals Ltd. 2. Mr Vijay Julka 3.Mr. Dinesh Ajmera 4.Ms. Sadhma Julka 5. Mr. Mukesh Sethi 6. Mr. Alok Gupta	6	1039/2003(422/95)	Companies Act	01.02.1995	17.02.2011	The Offence was compounded by CLB
58	ACMM 9 TH 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	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

			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						
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 registered Sub Broker	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 as compounded by the CLB upon Rs. 40,000/- as compounding charges for the company and Rs. 3000/- each on directors.
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 Harminder Singh Saran and Shri Jeet Singh on payment of INR 1,00,000/- (Rupees One Lac only) which includes INR 40,000/- towards compounding charges and INR 60,000/- towards legal expenses.
62	ACMM Tis Hazari Court Delhi	A.Chandra Sekhar Rao Vs. Padmini Technologies Ltd. & Ors.	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 accordingly the complaint was disposed of by Hon'ble Court. Order copy is awaited
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	C No. 32/5/0	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. Maloo4. Digamber Mandal	4	C No. 30/5/0	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. Maloo4. Digamber Mandal 5. S C Sethia	5	C No. 31/5/0	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	C No. 36/5/0	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	C No. 34/5/0	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	C No. 35/5/0	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	C No. 33/5/0	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	No. 28/05/2	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	o. 29/05	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	o. 26/05	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	o. 27/05	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,	Zennith Estates Ltd & 3 Others in Millennium Cybertech Ltd.	1. Zenith Estates Ltd. 2. Abhijit Kanth 3. Dharemdar 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,	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	Anushikha Investments Pvt. Ltd. in Rich Universe Network	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,	Richtone Fintrade & Investments Pvt Ltd in Karuna Cables Ltd	(1) Richtone Fintrade and Investments Pvt Ltd (2) Sharad Ghadi (3) Nikita Ghia	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,	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. Hareesh Kumar I Tejani 4. Bahavna M Ashar 5. Anil A Gandhi 6. Sanjay Manharll 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. Hareesh Kumar I Tejani 4. Bahavna M Ashar 5. Anil A Gandhi 6. Sanjay Manharll 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. Hareeshkumar 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.	Jignesh N Shah in KRBL	Jignesh N Shah	1	Spl. Case no.	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 Vongumalle Narasimha 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 Sinha 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 Communication 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 Infraprojects 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 Pharmaceuticals 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 Hira 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.	Harish Sisodia in Vijay Textiles Ltd	Harish Sisodia	1	Spl. Case no.	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 Management 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 Tchnology 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. Spartek 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	Churawala 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
125	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Esquire Money Guarantee Ltd	Esquire Money Guarantee Ltd. and its directors Mr. Suresh Jajodia and Mr. M D Dalal	3	Spl. Case no. 006/2014	Non-payment of penalty	13.01.2014	13.10.2016	The offence was compounded on payment of Rs. 26,36,381/- to SEBI
126	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Nova Gold Petro Resources (Osian LPG Bottling Ltd)	Nova Gold Petro Resources (Osian LPG Bottling Ltd)	1	Spl. Case no. 418/2014	Non-payment of penalty	28.03.2014	14.09.2016	The offence was compounded on payment of Rs. 2,32,500/- to SEBI
127	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Mehul Shah in SKS Logistics Ltd	Mehul Shah	1	Spl. Case no. 104/2015	Non-payment of penalty	13.01.2014	19.09.2016	The offence was compounded on payment of Rs. 2,18,824/- to SEBI
128	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Deep Trivedi in Top Telemedia Ltd.	Deep Trivedi	1	Spl. Case no. 232/2015	Non-compliance of summons	29.09.2003	14.10.2016	The offence was compounded on payment of Rs. 60,000/- to SEBI
129	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Rajesh Exports Ltd. & Ors in Rajesh Exports Ltd.	1. Rajesh Exports Ltd. 2. Shri Rajesh Mehta 3. Shri Prashanth Mehta	3	Spl. Case no. 64/2014	24(1) matter - SEBI (PFUTP) Regulation,1995	31.01.2003	08.11.2016	The offence was compounded on payment of Rs. 4,46,05,651/- to SEBI

130	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Konkan Tyres Ltd	B S Sawhney	1	006/2013	Non-payment of penalty	16.07.2012	10.04.2017	The Offence was compounded on payment of Rs.1,46,167/-
131	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Fast Track Entertainment Ltd.	Ravi Panchal	1	109/2015	Non-payment of penalty	25.03.2014	15.05.2017	The Offence was compounded on payment of Rs.67,000/-
132	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Hindustan Bio Sciences Ltd	Yogesh Ambekar	1	383/2014	Non-payment of penalty	29.03.2014	17.04.2017	The Offence was compounded on payment of Rs. 9,65,630/-
133	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Nandan Exim Ltd.	Amrut Securities	1	384/2014	Non-payment of penalty	09.05.2014	21.04.2017	The Offence was compounded on payment of Rs.67,000/-
134	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/s Jatin J Shah	M/s Jatin J Shah	1	41/2014	24(1)	26.06.2003	16.05.2017	The Offence was compounded Rs.11,96,000/-
135	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/s Flawless Diamond India Limited	Jagdish R. Jani	1	106/2015	Non-payment of penalty	24.03.2014	05.05.2017	The Offence was compounded on payment of Rs.67,000/-
136	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Somplast Leather Industries Ltd.	Amit Shah	1	424/2014	Non-payment of penalty	28.03.2014	06.06.2017	The Offence was compounded on payment of Rs.67,000/-
137	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Dilip Champalal Jain	Dilip Champalal Jain	1	239/2014	Non-payment of penalty	04.01.2012	13.06.2017	The Offence was compounded on payment of Rs.67,000/-
138	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Rock Marketing Pvt. Ltd	Rock Marketing Pvt. Ltd	1	171/2015	Non-payment of penalty	04.04.2012	30.06.2017	The Offence was compounded

139	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/s Chirag Investment (In the matter of Group of Cases against USB)	M/s Chirag Investment	1	013/2015	24(1)	10.08.2002	25.07.2017	The Offence was compounded Rs.10,40,000/-
140	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Netvision Web Technology	Narendra Bhikubhai Gohil	1	58/2015	Non-payment of penalty	25.03.2014	18.07.2017	The Offence was compounded Rs.3,98,300/-
141	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Ind Tra Deco Ltd.	Jay Shah	1	274/2014	Non-payment of penalty	28.03.2014	25.07.2017	The Offence was compounded on payment of Rs.67,000/-
142	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Gujarat Fiscon Ltd.	Shri Heerachand Salecha	1	53/2014	24(1)	31.01.2005	25.07.2017	The Offence was compounded Rs. 80,000/-
143	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Saumya Consultants Lim	1. Ahilya Commercial Pvt. Ltd 2. Shravan Patwari 3. Rajiv Choudhari	3	330/2014	Non-payment of penalty	12.09.2011	27.07.2017	The Offence was compounded 6,27, 581/-
144	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Hulda Properties & Trade Ltd. & ors.	1. Hulda Properties & Trade Ltd. & Ors. 2. Shri utpal Dey 3. T R Padmanabhan 4. Shri Pannalal Bardia 5. Shri Hiralal Jalan 6. Shri Sanjay Kumar Murarka 7. Shri S Ranjit Kumar 8. Shri Suresh Kumar Jalan	8	007/2016	Non-payment of penalty	16.09.2006	04.08.2017	The Offence was compounded 25,60,192/-
145	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Motorol Enterprises Ltd & ors.	1. Motorol Enterprises Ltd. 2. Shashikant K Gandhi 3. Chandrakant K Gandhi 4. Rinki S Gandhi 5. Thakar S Mahesh	5	80/2015	Non-payment of penalty	20.06.2006	10.08.2017	The Offence was compounded Rs. 3,60,000/-
146	SEBI Special Court, Court no. 22, City Civil and Sessions Court,	Dealings of Sanjay Dangi & Other entities	1. Saraswati Vincom Ltd. 2. Shri Ajay Jhunjunwala 3. Sajjan Kumar Jhunjunwala 4. Shri Raj Kumar Modi	4	389/2014	Non-payment of penalty	27.03.2014	10.08.2017	The Offence was compounded Rs. 3,55,447/-

147	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Highland Industries	Prasad Tandel	1	232/2014	Non-payment of penalty	08.01.2012	21.09.2017	The Offence was compounded Rs. 8,34,115/-
148	SEBI Special Court, Court no.	Kwality Dairy India Limited	Sanjay Biyani	1	321/2014	Non-payment of penalty	05.02.2010	20.09.2017	The Offence was compounded on payment of Rs.67,000/-
149	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Devine Multimedia (India) Ltd. (formerly: Kaliedoscope Films Ltd.)	1. Devine Multimedia (India) Ltd. (formerly: Kaliedoscope Films Ltd.) 2. Smita Pandya 3. Lokanath Suryanarayan Mishra 4. Prakash Biharilal Dhebhar 5. Harish Jain	5	197/2015	Non-payment of penalty	26.03.2014	19.09.2017	The Offence was compounded Rs.11,78,485/-
150	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Indo pacific Software and Entertainment Ltd	Hemant Madhusudan Sheth	1	301/2014	Non-payment of penalty	24.03.2014	03.10.2017	The Offence was compounded on payment of Rs.67,000/-
151	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Alka Securities Ltd.	Smt. Alka Pandey	1	248/2014	Non-payment of penalty	15.01.2013	10.10.2017	The Offence was compounded on payment of Rs.67,000/-
152	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Classic Diamonds India Ltd.	Ms. Patel Associates	1	101/2015	Non-payment of penalty		13.10.2017	The Offence was compounded on payment of Rs.2,47,500/-
153	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Sawaca Communication Ltd.	Mahendra A Shah	1	38/2016	Non-payment of penalty	05.09.2005	16.11.2017	The Offence was compounded on payment of Rs. 1,31,000/-
154	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/s Kilpest India Ltd.	Pratik Sanghavi	1	346/2014	Non-payment of penalty	17.04.2013	20.11.2017	The Offence was compounded on payment of Rs. 10,47,000/-
155	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Aditya Infosoft Ltd.	Viral V Mewada	1	228/2014	Non-payment of penalty	12.07.2013	17.11.2017	The Offence was compounded Rs. 9,89,000/-

156	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Dipak Kumar Chandrakant Shah(Eltrol Ltd)	Dipak Kumar Chandrakant Shah	1	208/2014	Non-payment of penalty	04.04.2012	22.11.2017	The Offence was compounded on payment of Rs.2,84,500/-
157	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Gennex Laboratories Ltd	Prudential Stock and Securities Ltd	1	55/2015	Non-payment of penalty	24.03.2014	23.11.2017	The Offence was compounded on payment of Rs. 5,00,000/-
158	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	GK Consultants Ltd.	Ahilya Commercial Pvt. Ltd.	1	96/2015	Non-payment of penalty	28.03.2014	22.12.2017	The Offence was compounded on payment of Rs. 4,50,218/-
159	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Alka India Ltd.	1. Right Finstock Pvt. Ltd. 2. Vishnubhai S Parikh 3. Sanket H Shah	3	170/2015	Non-payment of penalty	14.01.2013	18.12.2017	The Offence was compounded on payment of Rs.67,000/-
160	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/s Right Finstock Pvt Ltd	1.India Poly Spin Ltd 2. Vishnubhai Parikh 3. Saketbhai Shah	3	18/2014	Non-payment of penalty	15.01.2014	18.12.2017	The Offence was compounded on payment of Rs.67,000/-
161	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/s Prudential Pharmaceuticals Ltd.	Ushma Seth	1	254/2014	Non-payment of penalty	17.04.2013	22.12.2017	The Offence was compounded on payment of Rs. 14,55,000/-
162	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Nandan Exim Ltd.	1. Krishna Capshares Pvt. Ltd. 2. Shri Himanshu Pravinchandra Mehta 3. Shailesh Mulraj Ved	3	179/2015	Non-payment of penalty	28.03.2014	03.01.2018	The Offence was compounded on pament of Rs. 8,87,992/-
163	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Vijay Textiles Ltd.	Mr. Amar Adhav	1	94/2015	Non-payment of penalty	25.03.2014	16.03.2018	The Offence was compounded on payment of Rs.2,49,500/-

164	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Today's Writing Products Ltd	Amar Adhav	1	403/2014	Non-payment of penalty	03.04.2014	16.03.2018	The Offence was compounded on payment of Rs. 9,50,000/-
165	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	E Star Infotech Ltd.	1. E Star Infotech Ltd. 2. Mahesh Thavi	2	218/2014	Non-payment of penalty		26.03.2018	The Offence was compounded on payment of Rs. 4,26,987/-
166	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Gravity India Ltd	Victory Trading Corporation Vasant Bissa	2	82/2015	Non-payment of penalty	02.05.2014	26.03.2018	The Offence was compounded on payment of Rs. 2,96,300/-
167	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	KRBL Ltd.	Parshwa Finance	1	395/2014	Non-payment of penalty	28.03.2014	25.04.2019	The Offence was compounded on payment of Rs. 16,78,660/-
168	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/s GS Investment	M/s GS Investment	1	63/2014	24(1)	26.06.2003	25.04.2019	The Offence was compounded on payment of Rs. 4,37,500/-
169	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Sawaca Communication	1) Sawaca Communication Ltd. 2) Satish Shah 3) Makul H. Shah 4) Kaushik C Ramaniy 5) Kalpesh L. Trivedi 6) Pinakin R. Patel 7) Mahendra Shah 8) Jelal I. Batra 9) Mahesh Kumar Haribhai Hadvani Patel 10) Raju B. Shah	10	SEBI/52/2014	Non-payment of penalty	17.02.2006	26.04.2019	The Offence was compounded on payment of Rs. 6,15,955/-
170	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	1.Sawaca Business Machines Ltd. 2. Mahendra A Shah	Sawaca Business Machines Ltd. & Anr	1	SEBI/211/2014	Non-payment of penalty	04.12.2008	26.04.2019	The Offence was compounded on payment of Rs. 4,64,954/-

171	5th Special Court at Calcutta	Shyamlal Sultania	Shyamlal Sultania, Pawan Kumar Sultania	2	SEBI/75/2017	24(2)	26/08/2013	24/01/2018	Compounded on payment of Legal costs of Rs. 67000
172	5th Special Court at Calcutta	Marina Fresh Food Industries Ltd	Marino Fresh Food Industries Limited, Ashok Kumar Lath, Rajesh Kumar Lath, Deepak Jain	4	SEBI/58/2017	24(2)	26/08/2013	24/01/2018	Compounded on payment of Interest of 10,04,384 and Legal costs of Rs. 67000
173	5th Special Court at Calcutta	P. K. Agarwal And Company	P.K. Agarwal & Company, P.K. Agarwal	2	SEBI/22/2017	24(2)	26/08/2013	19/01/2018	Compounded on pyment of Legal costs of Rs. 67,000
174	5th Special Court at Calcutta	Rose Kamal Mercantile Pvt. Ltd. and others	Rosekamal Mercantile Pvt. Ltd., Prahallad Roy Surekha, Nirmala Surekha	3	SEBI/19/2017	24(2)	17/11/2009	10/11/2017	Interest amounting to Rs. 43,121 and Legal costs of Rs 44,000
175	5th Special Court at Calcutta	P. K. Agarwal And Company	P.K. Agarwal & Company, P.K. Agarwal	2	SEBI/30/2017	24(2)	26/08/2013	19/01/2018	Compounded on pyment of Legal costs of Rs. 67,000
176	5th Special Court at Calcutta	Oasis Cine Communication Limited	Oasis Cine Communications Ltd. & Ors.	19	SEBI/55/2017	24(2)	26/08/2013	20/12/2017	Compounded on payment of Rs. 67,000 towards Legal costs and Rs. 4,12,767 towards Penalty and Interest
177	5th Special Court at Calcutta	Mangalam Equity Managment Private Limited	Mangalam Equity Management Pvt. Ltd. & Ors	9	SEBI/62/2017	24(2)	26/08/2013	11/12/2017	Interest of Rs. 94,258 and Legal fees of Rs 67000
178	5th Special Court at Calcutta	Ankit Prachi Trading and Investment Limited	Ankit Prachi Trading and Investment Ltd. & Ors	6	SEBI/68/2017	24(2)	27/08/2013	17/11/2017	Compounded Rs. 3,39,156 towards interest and 44,000 towards Legal costs
179	5th Special Court at Calcutta	Shyamlal Sultania	Shyamlal Sultania, Pawan Kumar Sultania		SEBI/70/2017	24(2)	26/08/2013	19/01/2018	Compounded on payment of Legal costs of Rs. 67000

180	5th Special Court at Calcutta	P. K. Agarwal And Company	P.K. Agarwal & Company, P.K. Agarwal	2	SEBI/23/2017	24(2)	26/08/2013	19/01/2018	Compounded on pyment of Legal costs of Rs. 67,000
181	5th Special Court at Calcutta	P.K. Agarwal and Company	P.K. Agarwal & Company, P.K. Agarwal	2	SEBI/44/2017	24(2)	26/08/2013	19/01/2018	Compounded on pyment of Legal costs of Rs. 67,000
182	5th Special Court at Calcutta	Shyamlal Sultania	Shyamlal Sultania, Pawan Kumar Sultania		SEBI/69/2017	24(2)	26/08/2013	19/01/2018	Compounded on payment of Legal costs of Rs. 67000
183	5th Special Court at Calcutta	Destiny International Limited	Destiny International Limited & Ors	5	SEBI/63/2017	24(2)	26/08/2013	31/08/2017	25,000 towards penalty, 30,386 towards interest and 45,000 towards Legal cots and recovery charges
184	5th Special Court at Calcutta	P.K. Agarwal and Company	P.K. Agarwal & Company, P.K. Agarwal	2	SEBI/33/2017	24(2)	26/08/2013	19/01/2018	Compounded on pyment of Legal costs of Rs. 67,000
185	5th Special Court at Calcutta	Marudhar Vinimay Pvt. Ltd. and others	Marudhar Vinimay Pvt. Ltd. & Ors.	3	SEBI/18/2017	24(2)	17/11/2009	03/05/2018	Compounded, Interest of Rs. 43,131 and Legal costs of rs. 67000
186	5th Special Court at Calcutta	Dhanaganga Dealcom Pvt. Ltd and Othres	Dhanganga Dealcom Pvt. Ltd. and Ors.	3	SEBI/34/2017	24(2)	17/11/2009	03/05/2018	Compounded 42,648 interest and 67000 Legal costs
187	5th Special Court at Calcutta	Payagpore Vinimay Pvt. Ltd and others	Payagpour Vinimay Pvt. Ltd. & Ors.	3	SEBI/35/2017	24(2)	17/11/2009	31/05/2018	42,648 towards interest and 67000 towards legal costs
188	5th Special Court at Calcutta	Whiteline Commercial private limited	Whiteline Commercial Pvt. Ltd. & Ors	3	SEBI/76/2017	24(2)	17/11/2009	31/05/2018	42,648 towards interest and 67000 towards legal costs
189	5th Special Court at Calcutta	Goldwin Merchandise Private Limited	Goldwin Merchandise Pvt. Ltd. & Ors	7	SEBI/57/2017	24(2)	26/08/2013	15/05/2018	Legal Costs of Rs. 67,000

190	5th Special Court at Calcutta	Rajendra Prasad Shah	Rajendra Prasad Shah	1	SEBI/53/2017	24(2)	26/08/2013	26/09/2018	Legal Costs of Rs. 67,000
191	5th Special Court at Calcutta	Mukesh Dokania and Company	Mukesh Dokania & Co., Mukesh Dokania	2	SEBI/47/2017	24(2)	12/05/2013	05/10/2018	5,19,384 towards interest and legal costs
192	5th Special Court at Calcutta	Albright Consultant Private Limited	Albright Consultant Pvt. Ltd. & Ors.	3	SEBI/61/2017	24(2)	27/08/2013	15/11/2018	200000 towards penalty, 190685 towards interest and 67000 towards legal costs
193	5th Special Court at Calcutta	Ashi Forge Pvt. Ltd.	Ashi Forge Pvt. Ltd. & Ors.	5	SEBI/66/2017	24(2)	26/08/2013	25/03/2019	Rs. 2,93,523 towards interest and Rs. 67,000 towards legal costs
194	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Top Media Entertainment Ltd.	1. Top Media Entertainment Ltd. 2. Deep Trivedi 3. Indrajeet Singh Waghela 4. Neelam Doctor 5. Kapil Rawal 6. Jyoti Trivedi	6	SEBI/05/2016	24(1)	29/09/2003	09/08/2019	Rs.15,60,000/- penalty paid towards interest which included legal costs.
195	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Orbit Securities in the matter of Avinash Tech	Orbit Securities	1	SEBI/49/2016	24(1)	21/07/2004	17/02/2020	Rs.Rs.20,57,500/- penalty paid towards interest which included legal costs.
196	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Amit Bhavsar in the matter of Oasis Media Matrix Ltd	Amit Bhavsar	1	SEBI/146/2015	24(2)	26/03/2014	21/11/2019	Rs.67,000/- penalty paid towards legal costs.
197	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Falgun Shah in the matter of Oasis Media Matrix Ltd	Falgun Shah	1	SEBI/253/2014	24(2)	09/04/2013	20/12/2019	Rs.67,000/- penalty paid towards legal costs.

198	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Dhaval A Mehta in the matter of IPO of IDFC and Suzlon	Dhaval A Mehta	1	SEBI/001/2017	24(1)	2016	14/01/2020	Rs.37,90,000/- penalty paid towards interest which included legal costs.
199	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Amit Bhavsar in the matter of Oasis Media Matrix Ltd	Amit Bhavsar	1	SEBI/173/2015	24(2)	02/04/2012	06/01/2020	Rs.2,00,000/- penalty paid towards interest which included legal costs.
200	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Mangiram Sharma in the matter of Robinson Worldwide Trade Ltd	Mangiram Sharma	1	SEBI/268/2014	24(1)	06/05/2010	22/01/2020	Rs.67,000/- penalty paid towards legal costs.
201	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Hemraj Vaghela in the matter of MOH Ltd	Hemraj Vaghela	1	SEBI/269/2014	24(1)	10/05/2010	06/02/2020	Rs.6,00,250/- penalty paid towards interest which included legal costs.
202	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Matrubhoomi Plantations	1. Matrubhomi Plantations Ltd. 2. Narendra H Meshram 3. Shalini P Lonare 4. Vilas H Meshrami 5. Indumati Acharya 6. Sujit J Meshram 7. Nutan Kamble 8. Mahesh Raj Meshram 9. Sadhanand Meshram	9	SEBI/223/2015	24(1)/ CIS Regulations	24/12/2003	26/02/2020	The matter was Compounded as the Court was convinced that the Accused has refunded the amount collected.
203	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Shailesh ved in the matter of Genus Commutrade Ltd	Shailesh M Ved	1	SEBI/249/2014	24(2)	15/01/2013	13/02/2020	Rs.67,000/- penalty paid towards legal costs.
204	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Choksi Tube Company	Choksi Tube Company and 3 others	4	SEBI/151/2015	20(2) Depositories Act, 1996	27/03/2014	06/03/2020	Rs.51,42,638/- penalty paid towards interest which included legal costs.
205	5th Special Court at Calcutta	Godawari Commerce Private Limited And Others	1) Godawari Commerce Pvt. Ltd., 2) Bimal Kumar Joshi, 3) Anil Kumar Purohit, 4) Sushil Kumar Purohit	4	SEBI/36/2017	24 (2) SEBI Act	12/05/2013	09/08/2019	Compounded

206	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	M/s Endee Commercial Stock represented by its partners	M/s Endee Commercial Stock represented by its partners	1	SEBI/45/2016	24(1) of SEBI Act, 1992	26/06/2003	10/03/2021	Compounded
207	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Ravindra Deshpande	Ravindra Deshpande	1	SEBI/39/2019	24 (2) SEBI Act	17.09.2019	25/03/2021	Rs.5,64,718/- penalty paid towards interest which included legal costs.
208	5th Special Court at Calcutta	Rajendra Prasad Shah in the matter of Stenly Credit capital Ltd	Rajendra Prasad Shah	1	SEBI/52/2017	24 (2) SEBI Act	28.06.2013	05.02.2021	Compounded on payment of legal cost Rs.67,000/-
209	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Divyash Surana in the matter of Exelon Infrastructure Ltd	Divyash Surana	1	36/2019	24 (2) SEBI Act	09.04.2021	30.04.2021	Compounded on payment of penalty amount and legal cost Rs.17,93,682/-
210	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	MBA Strategic Consulting Pvt. Ltd.	1. MBA Strategic Consulting Pvt. Ltd 2. K Madan Mohan 3. A Balakrishnan 4. P Anil Kumar	4	90/2014	24 (2) SEBI Act	24/06/2014	21/06/2021	Compounded
211	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Vakrangee Software Ltd	Sanjay Kothari in the matter of Vakrangee Software Ltd	1	054/2014	24 (2) SEBI Act	27/08/2002	13/07/2021	Compounded
212	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Virtue Securities	Virtue Securities	1	51/2006	24(1)	26/06/2003	01/09/2021	Compounded
213	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Gujarat Fiscon Ltd.	Heerachand Salecha in Gujarat Fiscon Ltd.	1	53/2014	24(2)	17/02/2006	01/09/2021	Compounded
214	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Parsoli Corporation Ltd.	Taskeen Uves Sarehwala in Parsoli Corporation Ltd.	1	149/2014	24(2)	28/03/2014	01/09/2021	Compounded

215	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Smt Varsha K Gandhi (proprietor of Mahavir Investments) in the matter of MOH Ltd.	Smt Varsha K Gandhi (proprietor of Mahavir Investments) in the matter of MOH Ltd.	1	115/2006	11C(6)	27/03/2003	01/09/2021	Compounded
216	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Alka India Ltd	1. Ashok Ramswaroop Bhanwarlal Panchariya 2. Ramswaroopji B. Panchariya 3. Radhadevi Satish Panchariya 4. Saritadevi Panchariya 5. Shantadevi R. Panchariya in Alka India Ltd	5	365/2014	24(2)	28.3.2014	01/09/2021	Compounded
217	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	T Spiritual World Ltd.	Chandrakant Patel.	1	361/2014	24(2)	28/03/2014	15/09/2021	Compounded
218	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Oasis Media Matrix Ltd	Harshad C Shah in OMML	1	210/2014	24(2)	09/04/2013	23/09/2021	Compounded
219	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Hindustan Continental Ltd.	1. Sunil Shares and Stock Pvt. Ltd. 2. Ajit Kumar Jain 3. Sunil Agrawal	3	457/2014	24(2)	29/03/2014	27/10/2021	Compounded
220	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	USB	A K investment	1	3922	Rule 3 of SEBI (SBSB) rules 1992, Sec 12 of SEBI Act and Sec 23 of SCRA	10/08/2002	01/11/2021	Compounded
221	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Kanel Industries Limited	1. TJR Sons Limited 2. Gauri Dhirenbhai Thakker 3. Hitesh Kanaiyalal Thakker 4. Dhiren Kanaiyalal Thakker	4	003/2019	24(2)	23.01.2019	29/11/2021	Compounded
222	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Pooja Meghnani	Pooja Meghnani	1	C/47376/2013	24(2)		16/12/2021	Disposed as per order of Supreme Court on payment of Rs.10 lakh.
223	5th Special Court, Kolkata	Sirpur Marketing Ltd. And its directors	Sirpur Marketing Ltd. And its directors	1	SEBI/37/2017	24(2)			The case is compounded on payment of Rs. 14,35,318/- paid towards compounding.

224	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Design Auto Systems Ltd	Ujjwal Shende	1	203/2015	24(1)		10/01/2022	The case is compounded on payment of Rs. 1,00,000/- paid towards Compounding Charges.
225	SEBI Special Court, Court no. 22, City Civil and Sessions Court, Kalaghoda, Mumbai	Accurate Exports Ltd	Rajesh C Talsania	1	234/2015	24(1)	29/10/2004	07/01/2022	Compounded
226	SEBI Special Court Mumbai	GDR conversions of Pentamedia Graphics Ltd.	1. Indasia Holdings Limited 2. Sushil Kumar Jogoo 3. Sunil Pranlal Purushotam Sheth	3	385/2014	24(2)		27/04/2022	AO imposed a penalty amount of Rs.10,00,000/- vide order dated 31.01.2011 against the accused. The accused failed to pay the penalty amount. SEBI launched prosecution under Section 24(2) of the SEBI Act for non-payment of penalty by the accused. The matter is disposed of as Compounded on payment of amount of Rs.47,59,938/-
227	SEBI Special Court Mumbai	GDR conversions of Silverline Technologies Ltd.	1. Indasia Holdings Limited 2. Sushil Kumar Jogoo 3. Sunil Pranlal Purushotam Sheth	3	390/2014	24(2)		27/04/2022	AO imposed a penalty amount of Rs.21,00,000/- vide order dated 15.02.2011 against the accused. The accused failed to pay the penalty amount. SEBI launched prosecution under Section 24(2) of the SEBI Act for non-payment of penalty by the accused. The matter is disposed of as Compounded on payment of amount of Rs.49,83,016/-
228	SEBI Special Court Mumbai	Monalisa Infotech Ltd.	Sanjay R Shah	1	319/2014	24(2)		07/04/2022	AO imposed a penalty amount of Rs.2,00,000/- vide order dated 09.05.2005 against the accused. The accused failed to pay the penalty amount. SEBI launched prosecution under Section 24(2) of the SEBI Act for non-payment of penalty by the accused. The matter is disposed of as Compounded on payment of amount of Rs.4,57,805/-
229	SEBI Special Court, Mumbai	Karuna Cables Ltd	Pawan J Chaudhary	1	028/2019	24(2)		26/08/2022	The amount of penalty alongwith interest has been recovered from the accused by RRD.
230	SEBI Special Court, Mumbai	R Mass Communications Ltd	V R Mathur	1	229/2006	24(2)		26/08/2022	Entire penalty amount along with interest and other charges has been paid by the accused and therefore, the matter is compounded.
231	SEBI Special Court, Mumbai	Millennium Cybertech Ltd.	Amit Goel	1	84/2015	24(2)		27.09.2022	The Accused paid the compounding amount which included Penalty amount along with interest and the legal cost. On confirming the relaisation of the payment, the Hon'ble court vide its order dated 27.09.2022 disposed off the matter as compounded.
232	SEBI Special Court	Veronica Laboratories Ltd.	1. Hakeem Auto Ltd. 2. Nazir Hakeem 3. Fakruddin Taherali Moiyadi	3	315/2014	24(2)		29/09/2022	The accused had paid an amont of 6,50,000 towards compounding charges.
233	SEBI Special Court, Mumbai	Adani Exports Ltd.	Falguni P Shah	1	113/2015	24(2)		19/10/2022	The Accused paid the compounding amount which included Penalty amount along with interest and the legal cost. In view of the same, the Hon'ble court vide its order dated 19.10.2022 disposed off the matter as compounded.
234	SEBI Special Court, Mumbai	Oregon Commercials Ltd	Sopan maruti Shelar	1	233/2020	24(2)		18/10/2022	The Accused paid the compounding amount which included Penalty amount along with interest and the legal cost. In view of the same, the Hon'ble court vide its order dated 18.10.2022 disposed off the matter as compounded.
235	SEBI Special Court, Mumbai	Monalisa	Rajiv R Shah	1	273/2014	24(2)		10.11.2022	The Accused paid the compounding amount which included Penalty amount along with interest and the legal cost. In view of the same, the Hon'ble court vide its order dated 10.11.2022 disposed off the matter as compounded.

236	SEBI Special Court, Mumbai	Adani Exports Ltd.	Manoj T Shah	1	374/2014	24(2)		10.11.2022	The Accused paid the compounding amount which included Penalty amount along with interest and the legal cost. In view of the same, the Hon'ble court vide its order dated 10.11.2022 disposed off the matter as compounded.
237	Principal City Civil Court, Chennai (Designated SEBI Special Court)	Golden Glade Plantations P Ltd	1. Golden Glade Plantations P Ltd, 2. Pampapati B Upase, 3. Gajanan B. Neelakari 4. Vivek S. mahindrakar	4	3934/2002	24(1)		14/04/2014	The Learned Magistrate disposed off the Complainant on the ground that the matter has been compounded. It is also observed that SEBI has liberty to take appropriate Action against the accused person in case any investor come forward with separate claim considering it to be a continuing offence
238	SEBI Spcl Court	Juggilal Kamlapat Jute Mills Company Limited (presently known as Geo Jute Ltd.)	1. Acme Consultants Private Limited 2. Namokar Vinimay Private Limited 3. Mooldhan Advisory Systems Private Limited	3	1584/2021	24(2)		07/12/2022	Accused did not pay Adjudication Penalty of ₹30,00,000 imposed vide AO Order dated December 12, 2017 even after service. Prosecution was launched under section 24(2) of the SEBI Act, 1992 for non-payment of penalty imposed by AO. During trial the accused filed compounding application and on payment of compounding charges the matter was disposed of as compounded
239	SEBI Special Court, Mumbai	Ojas Technochem Products Ltd	Hansa J. Shukla	1	246/2015	24(1)	18/01/2005	15/12/2022	SEBI conducted investigation into the alleged price and volume manipulation in the scrip of Ojas Technochem Products Limited. During Investigation, Investigating Authority (IA) issued summons against the accused and related entities to produce documents/information which was vital for progress of Investigation. The Accused failed to respond to the summons and to appear before IA. Prosecution was launched under section 11C(6) of the SEBI Act, 1992 for non-compliance of summons. The matter was disposed as SEBI received the entire compounding amount.
240	SEBI Special Court, Mumbai	Triplex Overseas Limited	Tejash J Shah	1	357/2014	24(2)	22/03/2013	11/01/2023	SEBI conducted investigation into the alleged price and volume manipulation in the scrip of Triplex Overseas Limited. During Investigation summons were issued against the accused. The accused failed to comply with the summons. SEBI launched Adjudication proceedings against the accused, Adjudicating Officer (AO) was appointed who after due enquiry passed an order dated 12.01.2010 imposing a penalty of Rs.5,00,000/- on the Accused. Prosecution was launched under section 24(2) of the SEBI Act, 1992 for non-payment of penalty imposed by AO. During the trial the accused filed compounding application. According to the reply filed, the penalty amount with interest and legal charges was paid by the accused. Pursuant to the payment of compounding charges the matter is disposed of as compounded.
241	SEBI Special Court, Mumbai	Growmore Solvents	1. Mahganbhai Patel 2. Growmore Solvents	2	026/2016	S.24(2)	10/04/2013	09/02/2023	The matter is disposed off as compounded upon receipt of compounding charges and legal expenses.
242	SEBI Special Court, Mumbai	S J Corporation Ltd.	1. Savjibhai D Patel 2. Usha S Patel 3. Ramesh D Patel 4. Ramesh Patel HUF 5. Jayesh Shamjibhai Patel 6. Shamo Investments Private Limited. 7. Shantibhai M. Chanchpara 8. Madhuben M. Chanchpara 9. S J Corporation Ltd., 10. Sanjay Vallabhbbhai Patel 11. Rajesh Jesinglal Shah 12. Deepak Bhikhalal Upadhyay 13. Bhavik Prakash Patel	13	062/2016	24(1)	30/06/2015	16/02/2023	The matter is disposed off as compounded

243	SEBI Special Court, Mumbai	Oasis Media Matrix Limited	Ashish P Shah	1	168/2015	S.24(2)	15/2/2012	27/02/2023	The accused has paid the penalty amount alongwith the interest and incidental charges before the recovery officer, SEBI and hence the matter is disposed off as compounded.
244	SEBI Special Court, Mumbai	Raj Oils Mills Ltd	Shaukat Suleman Thaaradra	1	Spl. Case No. 1304/2021	S.24(2)	17/06/2021	27/02/2023	The accused has paid the penalty amount alongwith the interest and incidental charges before the recovery officer hence in view of compounding of the matter between the parties, matter is hereby <u>disposed off.</u>
245	SEBI Special Court, Mumbai	Tata Finance Ltd.	1. Dilip Pendse 2. Anuradha Pendse 3. Nalini Properties Pvt. Ltd. 4. Sudhakar Pendse 5. Anjudi Property and Investments Pvt. Ltd. 6. Dr. Anjali Beke 7. Dr. Dilip Beke	7	065/2014	24(1)	09/12/2003	06/03/2023	The matter is disposed off as compounded