

**List of cases resulted in compounding in the prosecution filed by SEBI (As on 31<sup>st</sup> March 2011)**

SI No.	Court (Filed/ Compounded)	Name of Case	Name 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. Khorakiwalaeter 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	891/1998	Section 63 of Companies Act	08.01.98	15.4.2002	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	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	93/2003	Sec. 63 of Companies Act, 1956.	29.03.03	06.09.2005 & 07.08.2007	The offence was compounded on payment of 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.	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 ompounded 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	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	26.06.2003	13.06.2007	The offence was compounded on payment of Rs 1,00,000/ by the accused to SEBI.

					(Regulation)Act			
6	Special Judge for Economic Offences, Hyderabad	Mr. Asis Bhaumik and Others	1. Mr. Asis Bhaumik 2. Mr. Raja Bhaumik 3. Mr. Rana Bhaumik	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 Offences, Hyderabad	Mr. Vijit Krishna Pillai	Mr. Vijit Krishna Pillai	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	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	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	Mr. Jasjiv Sahney	Mr. Jasjiv Sahney	267/2006	Section 24 (2) of SEBI Act	30.06.2004	18.06.2007	The offence was

	Mumbai / ASJ, Mumbai							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	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	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	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	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	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	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	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	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)	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	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	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	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	1. M/s Alok Investments 2. M/s Aditi Investment 3. Mr. Dinesh Bohra 4. Mr. Rajkumar Bohra	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.	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	16.10.2003	23.10.2007	The offence was compounded on payment of Rs 3,60,000/ by the accused to SEBI.

					Fraudulent and Unfair Trade Practices Relating to Securities Market) regulations 1995.			
25	47th ACMM Esplanade Mumbai / ASJ, Mumbai	M/s Rupani Enterprises	M/s Rupani Enterprises	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. Mr. Pawan Gupta	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	2187/2003	Regulation 4 (a) & (b) SEBI (PFUTP) Regulations, 1995 and Regulation 7 (1) SEBI (SAST)	27.08.2002	16.11.2007	The offence was compounded on payment of Rs 1,60,000/ by the accused



					Regulations, 1997			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	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	3/2007	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	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 /	M/s Aradhya Forests Ltd.and Others	1. M/s Aaradhya Forest Ltd. 2.Mr. Ramesh Chandra	206/2006	Section 24(1) r/w Sec. 12 (1B) of SEBI Act and	22.12.2003	04.12.2007	The offence was compounded

	ASJ, Mumbai		Sohaney, 3.Mr. Deepak Nagariya 4.Mr. Shayam Kr. Sohaney		Regulation 5(1) r/w Reg 68(1), 68(2), 73 and 74 of SEBI (Collective Investment Scheme) Regulations, 1999			on payment of Rs 85,000/ by the accused to SEBI.
32	47th ACMM Esplanade Mumbai/ ASJ, Mumbai	Mr. Rakesh Agarwal	Mr. Rakesh Agarwal	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	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	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 Contract (Regulation)Act	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	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	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.	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	11/2006	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	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	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	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 /	M/s Paragon Investments Ltd. and	1. M/s Paragon Investments 2. Ms. Rajani M Patel	13/2007	Section 11C (6) of SEBI Act	30.07.2004	31.01.2008	The offence was compounded

	ASJ, Mumbai	Another						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	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	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	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	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 / ASJ, Delhi	M/s Folksy Plantations and Resorts Ltd. and Others	<ol style="list-style-type: none"> <li>1. M/s Folksy Plantations and Resorts Ltd.</li> <li>2. Mr. P N Kapur( Died)</li> <li>3. Mr. R K Pathak</li> <li>4. Mr. U K Gupta (P. O)</li> <li>5. Mr. Sushil Gupta</li> <li>6. Ms Neera Pathak</li> <li>7. Mr. N K Sharma</li> <li>8. Ms. Gunjan Pathak</li> <li>9. Captain M S Sharma</li> <li>10. Ms. Ruchika Pathak</li> </ol>	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)	<ol style="list-style-type: none"> <li>1. M/s. Adani Exports Ltd</li> <li>2. M/s. Adani Agro Ltd</li> <li>3. M/s. Adani Impex Ltd</li> <li>4. M/s. Shahi Property Developers Ltd</li> <li>5. M/s. Adani Properties Ltd</li> <li>6. M/s. Advance Exports Ltd</li> <li>7. M/s. Intercontinental India</li> <li>8. M/s. Vinodbhai &amp; Adani Family Trust</li> <li>9. Mr. Vinod S Adani Trustee</li> <li>10. Mr. Rajan V Adani Trustee</li> <li>11. Mr. Rajeshbhai S Adani</li> </ol>	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.

			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					
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	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	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 /	M/s Dattatriya Kadikar	M/s Dattatriya Kadikar	277/M/2005	Sec 24(2) of SEBI Act	28.11.2005	06.12.2008	The offence was compounded

	ASJ, Mumbai							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	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	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.
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	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	35/SW/2007	SEBI Act	03/05/2007	20/08/2009	The offence was compounded on payment of Rs.



			6. Mr. S K Kajaria 7. Mr Parekh T Navin 8. Mr Subodh V Sapre 9. Mr. A K Chabra					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	364/2000	SEBI Act R/W Takeover Regulations 1994 read with 1997Regulations	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	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.