BEFORE THE APPELLATE AUTHORITY
(Under the Right to Information Act, 2005)
SECURITIES AND EXCHANGE BOARD OF INDIA

Appeal No. 7165 of 2026

Advocate Shashi Narayan Gupta	:	Appellant
	Vs	
CPIO, SEBI, Mumbai	:	Respondent

ORDER

1. The appellant had filed an application dated September 30, 2026 (received by SEBI through RTI MIS portal) under the Right to Information Act, 2005 ("**RTI Act**"). The respondent, by a letter dated October 27, 2026, responded to the application filed by the appellant. The appellant filed an appeal dated October 28, 2026 (Reg. No. SEBIH/A/E/26/00409). I have perused the application, the response of the respondent and the appeal and find that the matter can be decided based on the material available on record.

2. **Queries in the application** - The appellant, in his application, sought the following information:

   "ii have invested in SOURTHERN HORTICULTURE & RUBBER PLANTATION LTD date 21/10/1997 i have various proof of certificates of investment
   please tell the current status of the company and how much amount does the company has returned to their investor
   how i will get my refund as i have tried many times for my refund please give the details."

3. **Reply of the Respondent –** The respondent, in response to query no. 1 in the application, stated that an order dated 07.12. 2000 under Section 11B of SEBI Act, 1992 was passed against Southern Horticulture & Rubber Plantation Ltd. And as per SEBI press release dated 06.11.2001 it was inter-alia, mentioned that prosecution was initiate against M/s. Southern Horticulture & Rubber Plantation Ltd. And its Directors for non-compliance of the direction issued by SEBI.

   The respondent also stated that the the said prosecution was filed on 02.11.2001, in the court of ACMM Mumbai which was subsequently dismissed on 24.05.2007 and a revision petition was preferred by SEBI

before the Bombay High Court. The said revision petition (APPLN/2802/2007 dated 23.08.2007) was disposed on 02.04.2008. However, the copy of the said order is not available on the website of the Bombay High Court and as per record the matter is not showing as pending before any court/forum.

With regard to query no. 2, the respondent stated that the intimation regarding the refund will be uploaded on the SEBI website or published in newspaper as and when the refund process will be initiated by SEBI.

4. **Ground of appeal** — On perusal of the appeal, it appears that the appellant is not satisfied with the response of the respondent.

5. I have perused the application and the response provided thereto. On consideration, I note that the respondent has adequately addressed the queries by providing the information available with him.

6. In view of the above observations, I find that there is no need to interfere with the decision of the respondent. The appeal is accordingly dismissed.

RUCHI CHOJER

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Date: 2026.11.19 10:28:12 +05'30'

Place: Mumbai
Date: November 19, 2026

RUCHI CHOJER
APPELLATE AUTHORITY UNDER THE RTI ACT
SECURITIES AND EXCHANGE BOARD OF INDIA