

Cr Cases 13/2/2013
40449/2016
STATE Vs. SANJAY HARIOM AGGR.
FIR No. 280 /2002
PS Connaught Place

13.11.2017

PW-5

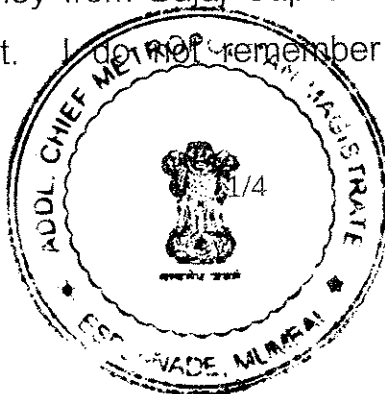
Statement of Ms. Shikha Bhagnagar, Executive Vice President, M/s Bajaj Capital,, Nehru Place, New Delhi

On S.A.

From September 1998, I was working as Sr. Manager in Bajaj Capital, Nehru Place, New Delhi. We used to transact in bonds and government security, and we did some transaction with Home Trade and some of the securities we did not get it. This is all what I want to say.

**At this stage, Ld APP for State want to put some leading question.
Heard. Allowed.**

I do not remember that I have a given a statement to the IO that Mr. Arvind Raj came to my head office at Nehru Place and shown himself as an Executive Manager of Home Trade Ltd. because this is such an old matter. I do not remember that I have given a statement to IO that Mr. Arvind Raj has induced to me and our owner Mr. K.K. Bajaj to do trading with him. I do not remember that we have done three dealings with the Home Trade Ltd. Its all matter of record. I do not remember as its an old matter. It is correct that I came to know through newspaper that Mr. Arvind Raj took money from Bajaj Capital's account and did not gave security in lieu of it. I do not remember whether IO recorded my



Shikha

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statement.

XXXX by Sh Santosh Chauriha Ld Counsels for accused Sanjay Aggarwal, Subodh Bhandari and Nand Kishore Trivedi.

I am an MBA (Finance).

Q. Do you know how to trade in the government security?

A. we as company traded in the securities.

Q. I put it to you that whether you personally know how to trade in government security?

A. I do not want to answer to this question, as I have already mentioned that we as company traded in the government securities.

Q. Do you know that for trading in government security a licence is required from the RBI.

A. I do not know.

Q. During your employment, have you inquired that M/s Bajaj Security is possessing which licences?

A. No.

Q. Do you know that without the licence dealing in government security is an offence?

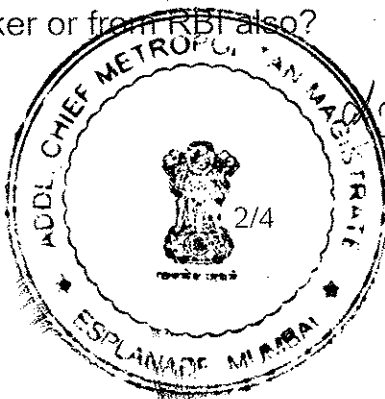
A. No.

Q. I put it to you that at the relevant point of time, M/s Bajaj Capital did not had the licence to deal in the government securities.

A. I do not know

Q. I again put it to you that M/s Bajaj Capital was not having a licence as SEBI registered broker or from RBI also?

A. I do not know



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Q I put it to you that during your employment with Bajaj Capital how many transaction had took place with M/s Home Trade?

A I cannot tell as it is a 15 year old matter

At this stage, witness is shown document **Mark-P1, Mark-P2 & Mark-P3**

Q. Is it correct that the deal note **Mark-P1** has been issued by you on behalf of Bajaj Capital?

A. Yes. It carries my initial with Ms. Geetanjali Palta.

Q. Can you show any discrepancy in Mark P-2 while comparing with Mark P1

A. I dealt with these things 15 years back, no longer dealing with these securities for more than 13 years, so I am not a qualified person to answer this question.

Q. while dealing the case at the relevant point after examining the documents, had you suggested to your company that M/s Home Trade has committed fraud or cheated the company?

A. I do not remember.

Q. Can you show from the judicial file any documents which suggest the offence has been committed?

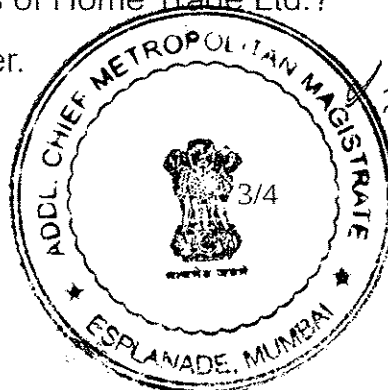
A. I cannot say.

It is wrong to suggest that I am deposing falsely.

XXX by Sh Saurabh Mehra, Ld Counsel for accused Ketan Seth

Q. Whether you had directed the complainant to file a complaint against the directors of Home Trade Ltd.?

A. I do not remember.



Q. DO you know directors of Home Trade?

A. I do not remember as it is a 15 years old matter

RO&AC

[Samar Vishal]

ACMM-II/PHC/ND/13.11.2017

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J. M. M. 30/1/24
Judicial Clerk,
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47th Court, Esplanade Mumbai.

