

Template - Adjudication Order

Source: SEBI website

HEADER

1. Fixed text (Tells its an AO)

*BEFORE THE ADJUDICATING OFFICER
SECURITIES AND EXCHANGE BOARD OF INDIA
[ADJUDICATION ORDER NO. PG /AO/SPV/71/2012]*

2. Names of people/companies involved
 - a. In respect of <NAME OF THE PEOPLE INVOLVED>
 - b. In the matter of <NAME OF THE ORG>

CONSIDERATION OF ISSUES & FINDINGS

1. Issues raised part A
 - a. Regulations that could be violated [Type of violation]
 - b. Documents the Regulations belong to

Note: We can perform keyword extraction and cluster the rules in the Regulations document and then from the Regulations extracted from part (1. a.) we can assign tags to the type of violation

ORDER

1. Decision: [Per Noticee]
 - a. Penalty imposed [SEBI wins]
 - I. Amount of penalty
 - II. Section/Act under which penalty is imposed
 - b. No penalty imposed/ abate [SEBI loses]

FOOTER

1. Date of issuing the order
2. Place of issuing the order
3. Name of the Adjudication order

Template - Sample

HEADER

1. *BEFORE THE ADJUDICATING OFFICER
SECURITIES AND EXCHANGE BOARD OF INDIA
[ADJUDICATION ORDER NO. PG /AO/SPV/71/2012]*
2.
 - a. In respect of
 1. Shri Sisir Kumar Saha [PAN :AELPS0255G]
 2. Shri. Soura Sekhar Saha [PAN :BNUPS0753A]
 - b. In the matter of Shelter Infra Projects Ltd.

CONSIDERATION OF ISSUES & FINDINGS

2. Issues raised part A
 - a. Regulation 3 (i), (ii) & 4 Regulation 12(1), read with Clause 4.2 of Schedule I, Part A
[Sample classification tags that could be assigned based on the above regulations :
Holding period violation , Code of Conduct Violation]
 - b. PIT Regulations

ORDER

2. Decision:
 - a. Penalty imposed
 - I. ` 10,00,000/- & ` 20,00,000/-
 - II. Section 15HB of the SEBI Act & Section 15 G of the SEBI Act

FOOTER

4. Date: March 07, 2014
5. Place: Mumbai
6. D. SURA REDDY