



I. PENALTIES, PENDING LITIGATION OR PROCEEDINGS, FINDINGS OF INSPECTIONS OR INVESTIGATIONS FOR WHICH ACTION MAY HAVE BEEN TAKEN OR IS IN THE PROCESS OF BEING TAKEN BY ANY REGULATORY AUTHORITY

This section contains the details of penalties, pending litigation, and action taken by SEBI and other regulatory and Govt. Agencies.

- I. **All disclosures regarding penalties and action(s) taken against foreign Sponsor(s) may be limited to the jurisdiction of the country where the principal activities (in terms of income / revenue) of the Sponsor(s) are carried out or where the headquarters of the Sponsor(s) is situated. Further, only top 10 monetary penalties during the last Five years shall be disclosed.**

Not Applicable

- II. **In case of Indian Sponsor(s), details of all monetary penalties imposed and/ or action taken during the last three years or pending with any financial regulatory body or governmental authority, against Sponsor(s) and/ or the AMC and/ or the Board of Trustees /Trustee Company; for irregularities or for violations in the financial services sector, or for defaults with respect to shareholders or debenture holders and depositors, or for economic offences, or for violation of securities law. Details of settlement, if any, arrived at with the aforesaid authorities during the last Five years shall also be disclosed.**

AMC:

- a. An investor has as filed an appeal in SAT to which SEBI is first party and AMC is second respondent in the matter of the segregation of portfolio to be applied retrospectively in Motilal Oswal Ultra Short Term Fund, a scheme which had been impacted by the credit default in 2018. The appeal is dismissed with no order as to costs
- b. Demand order has been received by Motilal Oswal Asset Management Company Limited (“the Company”) from the Office of the Principal Commissioner of CGST & CEX Mumbai u/s 74 of the Central Goods and Services Tax Act, 2017 (“the Act”) for the period July 2017 to October 2018



for an amount of INR 19,19,37,549/- along with applicable interest and penalty under the provisions of the Act. The same pertains to alleged incorrect availment and utilization of input tax credit against their GST liability. Based on company's assessment, it believes that the said demand is not maintainable and the Company is in the process of preferring an appeal against the said Order.

The Order has no material impact on the financials, operations or other activities of the Company.

MOFSL:

1. SEBI Adjudication on Inspection observation of 'Non-compliance in Segregation of Funds & Securities':

SEBI vide Notice dated May 09, 2019, under Rule 4 (1) of SEBI (Procedure for holding Inquiry and Imposing penalties by Adjudicating Officer) rules , 2005 inquired into alleged violation of the provisions of SEBI circular no. SMD/SED/CIR/93/23321 dated November 18, 1993.

SEBI conducted Inspection of MOFSL to examine whether MOFSL has complied with requirements of SEBI circular dated November 18, 1993. Inspection team observed the MOFSL has mis-utilised the funds of client's credit balance lying with the broker for the settlement obligation of the debit balance clients. MOFSL in its reply submitted that Inspection team has not included margin requirements of clients while calculating total creditor balance and hence the same is on higher side and that there would be considerable decrease in the figures if the margin dues are deducted from creditor balance. SEBI did not accept argument of the MOFSL since the margins collected from clients are in the form of funds and/or securities. The fund portion of the margin collected from the client has already been considered while calculating client deposits with the broker.

In view of the above SEBI called upon to show cause as to why an inquiry should not be held against MOFSL in terms of Rule 4 of the Adjudication Rules read with Section 23 of the SCRA 1956 and why penalty should not be imposed on terms of the provisions of Section 23D of the SCRA 1956.

MOFSL has filed its reply dated October 03, 2019. SEBI has passed adjudication order dated 28th February, 2020 against MOFSL and imposed a monetary penalty of Rs. 17,00,000/- to be paid within 45 days of order issued. We have paid penalty to SEBI and the matter is closed.

Corrective Action –



MOFSL is maintaining creditor funds (credit balance) at gross level, as per regulatory provisions either in MOFSL – Client Bank / Settlement Bank account or is placed with the clearing corporation / clearing member in the form of cash / cash equivalent

As per statutory requirements we are uploading Creditor balances vis a vis funds with CC/ CM on weekly basis and we have never observed any shortfalls in maintenance of credit balance clients

There are systems developed which analyses increase / decrease in Client Debit / exchange margin requirement of debtors and accordingly Prop funds are infused to fund debtor obligations which ensures that creditor funds are not utilised for debtor clients / prop investments

As per regulatory requirements, funds transferred between own bank to client bank and vice versa is carried out only for the legitimate purpose mentioned as per SEBI circular of November 18, 1993

Also the controls are in place to monitor the misutilisation if any for debit balance & Prop Investments

2. SEBI Adjudication on scrip of Zylog:

SEBI has initiated Adjudication vide letter dated December 11, 2019, for transactions of a customer in the scrip of Zylog Systems Limited. MOFSL has accepted the order for trading in ZSL from person other than client without any authority i.e. the trade order was issued by Mr. P Srikanth, husband of Client, Mrs. Srikanth Sripriya instead of client herself. With regard to aforesaid, MOFSL sent the reply to SEBI on December 30, 2019 thereby denying the said allegations and to understand the reasons for issuance of said notice without any factual background. MOFSL sent reply to SEBI on May 20, 2020. Further our officials attended the video hearing with SEBI officials on 26th May, 2020. SEBI issued an Order dated 28th May, 2020 whereby they disposed-of the SCN without any penalty or action. The matter is disposed off.

3. SEBI Adjudication on scrip Resurgere Mines & Mineral Limited:

SEBI has initiated adjudication notice against MOFSL vide notice no. SEBI/HO/EAD/EAD4/P/OW/2021/27159/3 dated 05th October, 2021 under rule 4(1) of SEBI (Procedure for holding inquiry and Imposing penalties) rules, 1995 in the matter of Resurgere Mines and Minerals India Limited (RMMIL) Personal



Hearing scheduled by SEBI held on 4th April 2022. SEBI issued Adjudication order GR/PU/2022-23/17202-17225 dated 21st June, 2022 wherein SEBI have taken no action against MOSL (i.e. MOFSL after merger)The matter is closed.

4. SEBI Show cause notice on Joint Inspection conducted for period April 01, 2018 to August 31, 2019:

SEBI has sent show cause notice vide letter no: SEBI/EAD-3/BM/LD/31186/2021 against MOFSL dated November 01, 2021 based on Rule 4(1) of SEBI (Procedure of Holding inquiry and Imposing Penalties) Rules 1995 and Rule 4 (1) of Securities Contract Regulation (Procedure of Holding inquiry and Imposing Penalties) Rules 2005 where non-compliances observed during inspection viz: Mis-utilisation of client funds, Incorrect Reporting/Short collection of Margin, Client funding beyond stipulated time, Discrepancies in CKYC process, Non maintenance of evidence of client order placement, incorrect reporting of Weekly Enhanced Supervision data, are highlighted and have asked to revert with clarifications and supporting within 21 days from date of notice. MOFSL had asked for extension to file the revert which was considered by SEBI. Later, MOFSL had filed its reply to SEBI on 28th December, 2021. Personal hearing was conducted on 14th Feb 2022. Basis direction of Adjudicating officer we have filed additional data w.r.t Margin reporting wherein funds were transferred from one segment to another. SEBI vide adjudication order NO. ORDER/BM/LD/2022-23/16301 dated 29th April, 2022 have imposed the penalty of Rs. 25 lakhs which we have paid to SEBI on 23rd May, 2022. As a corrective action on mis-utilization of funds and post Enhanced Supervision circular issued on Sept, 2016, we have not invested any client's funds into non-cash component. We invest only in cash and cash equivalents. The matter is closed.

5. In matter of Mr. Hemant Ghai

Motilal Oswal Financial Services Limited (MOFSL) has received Show Cause Notice under sections 11(1), 11(4), 11(4A), 11B(1) and 11B (2) of SEBI Act, r/w rule 4(1) of SEBI (Procedure for holding inquiry and imposing penalty) Rules, 1995, in the matter of CNBC Awaz Show Co-hosted by Mr. Hemant Ghai. It is inter alia alleged that MOFSL did not ensure adequate supervision of its Authorized Person (AP) MAS Consultancy Services. SEBI vide Order dated March 19, 2025 has imposed a penalty of Rs. 5,00,000/- on the Company in relation to the activities of the Authorized Person (AP) MAS Consultancy Services. We have paid penalty to SEBI and the matter is closed.

6. SEBI no Action letter on Thematic Inspection on Advanced Brokerage for the period April 1, 2022 to October 31, 2023:

SEBI has initiated inspection vide letter number SEBI/HO/MIRSD-SEC-3/P/OW/2023/47958/1 dated November 30, 2023 for which MOFSL has provided required data during the course of inspection. Based on our submissions SEBI has not found any adverse observation and issued final letter to MOFSL vide letter number SEBI/HO/MIRSD/SEC-3/ P/OW/2024/12580/1 dated March 30, 2024 stating that stock broker is advised to ensure compliance at all times of



SEBI regulations.

7. SEBI administrative warning letter on Joint Inspection conducted of MOFSL for period April 01, 2021 to June 30, 2022:

SEBI has sent their observations during the course of inspection vide letter number SEBI/HO/MIRSD/DoS-1/P/OW/2022/51629/1 dated October 08, 2022, SEBI/HO/MIRSD/DoS-1/P/OW/2023/12068/1 dated March 23, 2023 and SEBI/HO/MIRSD/SEC-1/SD/AD/P/OW/2023/46177/1 dated November 20, 2023 against MOFSL where non-compliances were observed during inspection for which MOFSL had filed its reply with SEBI on October 31, 2022, April 05, 2023 and December 18, 2023 respectively. Based on our submissions along with valid justifications and supporting documents SEBI has issued administrative warning to MOFSL vide letter number SEBI/HO/MIRSD/MIRSD-SEC-1/AD/OW/2024/13975/1 dated April 08, 2024 for areas of retail broking operations such as wrong retention statement sent to clients, nomenclature of demat account is not appropriate, stock broker has not obtained Standardization Testing and Quality Certification for the off-the-shelf products, mismatch in data submitted towards weekly enhanced supervision, mismatch in creditors balances submitted towards cash and cash equivalent submission and bank balances and mismatch in reporting of shares in weekly client level holding submission and has advised to take appropriate corrective steps to rectify the aforesaid discrepancies. We have already complied and taken corrective actions as per prevailing regulatory guidelines and the matter is closed.

8. SEBI administrative warning letter on Joint Inspection conducted of MOFSL for period April 01, 2022 to October 31, 2023

SEBI has sent their observations during the course of inspection vide letter number SEBI/HO/MIRSD/MIRSD-SEC-3/AS/HC/P/OW/2024/15396/1 dated April 26, 2024 against MOFSL where non-compliances were observed during inspection for which MOFSL had filed its reply with SEBI on May 20, 2024. Based on our submissions along with valid justifications and supporting documents SEBI has issued administrative warning to MOFSL vide letter number SEBI/HO/MIRSD/MIRSD-SEC-3/AS/HC/P/OW/2024/18656/1 dated June 04, 2024 for areas of retail broking operations and depository operations such as reporting of short collection of margin, passing penalty to clients on account of short / non collection of upfront margins, delay in sending Daily Margin Statements to clients, incorrect reporting of non-cash collateral in MTF reporting to Exchange, irregularities observed in data submitted towards weekly enhanced supervision, incorrect reporting of EOD ledger balance and Peak ledger balance in cash and cash equivalent submission, incorrect reporting of data in Risk based supervision, non-closure of exchange level generated alerts within timelines, non-compliance with operative guidelines on Enhanced obligations and responsibilities for QSBs and opening of accounts online without verification through OTP mechanism and has advised to take appropriate corrective steps to rectify the aforesaid discrepancies. We have already complied and taken corrective actions as per prevailing regulatory guidelines. Matter is closed.



9. SEBI administrative warning letter on Joint Inspection conducted of MOFSL for period April 01, 2022 to August 31, 2023

SEBI had conducted Thematic inspection for the period April 1, 2022 to August 31, 2023 on multiple mobile number and email linked to UCC. SEBI had sent their observations during the course of inspection vide letter number SEBI/HO/MIRSD/MIRSD-SEC-3/AS/HC/P/OW/2024/15872/1 dated May 3, 2024 against MOFSL where non-compliances were observed during inspection for which MOFSL had filed its reply with SEBI on June 12, 2024. Based on our submissions along with valid justifications and supporting documents SEBI has issued administrative warning to MOFSL vide letter bearing reference SEBI/HO/MIRSD/MIRSD-SEC-3/AS/HC/P/OW/2024/18658/1 dated June 04, 2024 for areas of retail broking operations such as Common email id and/or mobile uploaded for more than one client where Stock Broker has not conducted due diligence to verify the actual relationship of client as per circular and Invalid email id are uploaded in the UCC and has advised to take appropriate corrective steps to rectify the aforesaid discrepancies/deficiencies and to take corrective steps wherever required. As corrective measure, we have built systems to identify such cases and have set up process to rectify such instances as per prevailing regulatory guidelines. The matter is closed

10. SEBI administrative warning letter during review of MCX UCC database

SEBI has observed incorrect KYC data of Clients in MCX UCC database during the course of their review for the period July 2020 to May 2022 and send their findings vide letter bearing reference number SEBI/HO/MIRSD/Dos-2/P/OW/2023/1804/5 dated January 13, 2023. MOFSL had filed its reply with SEBI on January 20, 2023. Based on our submissions along with valid justifications and supporting documents, SEBI has issued administrative warning to MOFSL vide letter SEBI/HO/MIRSD/SEC4/P/OW/2024/21166/1 dated June 28, 2024 for wrong/mismatch UCC data in MCX platform for 4051 clients including 3 client from Sikkim and has advised to take appropriate corrective steps to rectify the aforesaid discrepancies/deficiencies and also examine other cases and to take corrective steps wherever required. As a corrective measure, we have rectified pincode master in backoffice due to which correct State data is updated in UCC records. Thus the matter stands closed.

11. SEBI show cause notice on Joint Inspection conducted of MOFSL for period April 01, 2021 to June 30, 2022:

MOFSL has received Show Cause Notice dated July 4, 2024 under Rule 4 of the SEBI (Procedure for Holding Inquiry and imposing penalties) Rules, 1995 and Rule 4 of Securities Contracts Regulations (Procedure for Holding Inquiry and imposing Penalties) Rules, 2005. SEBI has initiated Adjudication Proceedings under section 15-I of SEBI Act, 1992 and 23 -I of Securities Contracts (Regulation) Act, 1956 in respect of MOFSL for alleged violations of certain SEBI Circulars noted related to reportings and short collection of margin, pendency of complaints beyond 30 days, improper maintenance of bank books and settlement of funds of inactive clients) during the course of comprehensive joint inspection for the period April 1, 2021 to June 30, 2022. SEBI vide Order dated January 30, 2025 levied a penalty of Rs. 7 Lakhs on concern subject. We have paid penalty to SEBI and the matter is closed.



12. SEBI show cause notice on AP inspection matter of Merits Astha

MOFSL has received Show Cause Notice dated August 27, 2024 under Rule 4(1) of the SEBI (Procedure for Holding Inquiry and imposing penalties) Rules, 1995. SEBI has initiated Adjudication Proceedings under section 15-I of SEBI Act, 1992 in respect of MOFSL for alleged violations of certain SEBI Circulars noted during the course of thematic inspection under the theme control over authorized persons for the period April 1, 2022 to January 31, 2024. Matter is currently pending.

13. SEBI deficiency letter on Inspection conducted of Authorised Person (AP) i.e. Thunderstrike Quant Research LLP:

SEBI has sent their observations during the course of inspection vide letter number SEBI/HO/MIRSD/MIRSD-SEC-3/AS/SSK/P/OW/2024/27542/1 dated August 30, 2024 against MOFSL where non-compliances were observed during inspection for which MOFSL had filed its reply with SEBI on September 9, 2024. Based on our submissions along with valid justifications and supporting documents SEBI has issued deficiency letter to MOFSL vide letter number SEBI/HO/MIRSD-SEC-3/P/OW/2024/33128/1 dated October 22, 2024 stating that AP was using g-mail id for official communication and thus violating SEBI regulations and has advised to strengthen our processes and systems. To ensure compliance, we have instructed all our APs to provide official e-mail id if their personal e-mail ids are updated with us and released internal circular in this regards and was circulated to all APs. Thus the matter stands closed.

14. SEBI show cause notice on Joint Inspection conducted of MOFSL for period April 01, 2022 to October 31, 2023

MOFSL has received Show Cause Notice dated September 27, 2024 under Rule 4(1) of the SEBI (Procedure for Holding Inquiry and imposing penalties) Rules, 1995. SEBI has initiated Adjudication Proceedings under section 15HB of SEBI Act, 1992 and in respect of MOFSL for alleged violations of certain SEBI Circulars noted during the course of comprehensive joint inspection for the period April 1, 2022 to October 31, 2023. Matter is currently pending.

15. SEBI Show cause notice in the matter of Tradetron:

MOFSL has received Show Cause Notice dated October 8, 2024 under Rule 4(1) of Securities and Exchange Board of India (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995 in the matter of TradeTron and other Algo Platforms. Based on findings of examination, SEBI initiated adjudication proceedings under section 15HB of SEBI Act 1992 against MOFSL for association with Tradetron for violation of SEBI circular dated September 2, 2022 & SEBI Stock Broker Regulations 1992. Matter is currently pending.



16. SEBI administrative warning letter on Inspection on KYC and KRA for period April 1, 2023 to May 31, 2024:

SEBI has sent their observations during the course of inspection vide letter number SEBI/HO/MIRSD/MIRSD-SEC-3/AS/SSK/P/OW/2024/31777/1 dated October 9, 2024 against MOFSL where non-compliances were observed during inspection for which MOFSL had filed its reply with SEBI on October 21, 2024. Based on our submissions along with valid justifications and supporting documents SEBI has issued administrative warning letter to MOFSL vide letter number SEBI/HO/MIRSD-SEC-3/AS/SSK/37101/1 dated December 2, 2024 stating that stock broker failed to resolve complaints within defined TAT and thus violating SEBI regulations and has advised to take appropriate corrective steps to rectify the aforesaid discrepancies / deficiencies. To ensure compliance, we address all client complaints with utmost seriousness and follow all regulatory compliances and our internal framed policy in this regard. Thus the matter stands closed.

17. SEBI Show cause notice on thematic inspection for area common / multiple mobile number and e-mail mapped to single UCC:

MOFSL has received Show Cause Notice dated October 10, 2024 under Rule 4 of Securities and Exchange Board of India (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995 in the matter of MOFSL for thematic inspection conducted under the theme common / multiple mobile number and e-mail linked to UCC for the inspection period April 1, 2022 to August 31, 2023. Based on findings of examination, SEBI initiated adjudication proceedings under section 15-I of SEBI Act 1992 against MOFSL for violation of certain provisions of SEBI master circular dated May 22, 2024 & other securities laws. SEBI vide Order dated December 31, 2024 levied a penalty of Rs. 5 Lakhs on concern subject. We have paid penalty to SEBI and the matter is closed.

18. SEBI no Action letter on Thematic Inspection on Upstreaming and Downstreaming of clients' funds for period February 1, 2024 to September 30, 2024:

SEBI has initiated inspection vide letter number SEBI/HO/MIRSD-SEC-3/P/OW/2024/32334/1 dated October 14, 2024 for which MOFSL has provided required data during the course of inspection. Based on our submissions SEBI has not found any adverse observation and issued final letter to MOFSL vide letter number SEBI/HO/MIRSD/SEC-3/AS/SSK/P/OW/2025/1953/1 dated January 20, 2025 stating that stock broker is advised to ensure compliance at all times of SEBI regulations. Thus the matter stands closed.

19. SEBI Show Cause Notice in the matter of dealings of client Rajni Chaturvedi

MOFSL received a Show Cause Notice dated February 20, 2025, from SEBI under Section 11B(2) concerning the dealings of client Rajni Chaturvedi. We have filed for settlement in the matter and had a Settlement Hearing on 9th May 2025 and further process is going on. Further, in the meanwhile, we have filed our response to Adjudicating Officers also, hearing of which is awaited.



20. SEBI no Action letter on Thematic Inspection on Cyber security and Technical glitch framework for the period January 1, 2024 to September 30, 2024:

SEBI has initiated inspection vide letter number SEBI/HO/MIRSD-SEC-3/P/OW/2024/32338/1 dated October 14, 2024 for which MOFSL has provided required data during the course of inspection. Based on our submissions SEBI has not found any adverse observation and issued final letter to MOFSL vide letter number SEBI/HO/MIRSD/SEC-3/AS/SSK/P/OW/2025/6402/1 dated February 2, 2025 stating that stock broker is advised to ensure compliance at all times of SEBI regulations.

21. SEBI Administrative warnings on Inspection of books of account and other records of Motilal Oswal Financial Services Limited (Research Analyst):

SEBI has initiated inspection vide letter number SEBI/HO/MIRSD/MIRSD-SEC-5/P/OW/2024/ 38670/1 dated December 16, 2024 for which MOFSL has provided required data during the course of inspection. Based on our submissions along with valid justifications and supporting documents, SEBI has issued administrative warning to MOFSL vide letter number SEBI/HO/MIRSD/SEC5/P/OW/2025/8868/1 dated March 21, 2025 wherein SEBI advised MOFSL to display SEBI Certificate and Grievance redressal mechanism at prominent location in office premises.

CORRECTIVE ACTION:

MOFSL has displayed SEBI Certificate and Grievance redressal mechanism at prominent location in office premises.

22. SEBI administrative warnings received relating to Authorised Person (Nipun Prajapati – NPUP1200)

SEBI has sent their observations vide letter number SEBI/WRO/JS/OW/P/2025/6734/1 dated March 03, 2025 against MOFSL where non-compliances i.e. “movement of funds between client and AP” were observed during inspection for which MOFSL had filed its reply with SEBI on March 17, 2025 along with its necessary clarification and their supporting.

Based on our submissions along with valid justifications and supporting documents, SEBI has issued administrative warning to MOFSL vide letter number SEBI/WRO/JS/OW/P/2025 /9044/1 dated March 25, 2025 wherein SEBI advised MOFSL to be careful in future and improve compliance standards to avoid recurrence of such transactions.



CORRECTIVE ACTION:

MOFSL have warned concerned AP to desist from such activities and MOFSL has also released internal circular to all APs not to indulge in direct client dealings. Further, to ensure compliance the point is thoroughly examined in AP internal audits and penal actions are imposed on AP where such concerns are observed.

23. SEBI Advice Letter received with respect to Inspection of Stock Brokers registered in Debt Segment:

SEBI has initiated inspection vide their e-mail dated September 16, 2024 for which MOFSL has provided required data during the course of inspection.

Based on our submissions along with valid justifications and supporting documents, SEBI has issued advice letter to MOFSL vide letter number SEBI/HO/DDHS/DDHS-SEC-1/P/OW/2025/9765/1 dated April 01, 2025 wherein SEBI advised MOFSL to ensure that all trades of listed NCS trades are cleared and settled through clearing corporation of stock exchange and reported on any one of the reporting platforms provided in the debt segment of stock exchanges within fifteen minutes of the trade

CORRECTIVE ACTION:

Concerned department has been informed about the same and thus are ensuring that all NCS trades are reported on the reporting platform within fifteen minutes of the trade.

24. SEBI show cause notice on Thematic Inspection conducted of MOFSL for period January 01, 2024 to September 30, 2024

MOFSL has received Show Cause Notice dated May 28, 2025 under Rule 4(1) of the SEBI (Procedure for Holding Inquiry and imposing penalties) Rules, 1995 in the matter of MOFSL for thematic inspection conducted for the inspection period January 1, 2024 to September 30, 2024. Based on findings of examination, SEBI initiated adjudication proceedings under section 15-I of SEBI Act 1992 against MOFSL. Matter is currently pending.

III. Any pending material civil or criminal litigation incidental to the business of the Mutual Fund to which the Sponsor(s) and/ or the AMC and/ or



the Board of Trustees /Trustee Company and/ or any of the directors and/ or key personnel are a party should also be disclosed separately.

None

IV. Any deficiency in the systems and operations of the Sponsor(s) and/ or the AMC and/or the Board of Trustees/Trustee Company which SEBI has specifically advised to be disclosed in the SID, or which has been notified by any other regulatory agency, shall be disclosed.

None

Sr. No.	Case Number	Case Title	Nature	Case Type	Case Year	Zone	Court/ Forum	Court/ Forum place	Fact Of Case
1	Misc Case (Arb) No. 10/2025	MOFSL VS Krishna Sarkar	Arbitration Appeal	Appeal u/s. 34 - District Commercial Court	2025	East	Ld. District Judge	alipore	MOFSL filed appeal u/s 34 against the Arbitration Award.
2	NSE-SB-2024-09-814516	Swapnil Narke VS MOFSL	Arbitration	NSE Original Arbitration	2025	West	ODR	Jupitice	The Applicant has alleged of unauthorized trades executed in his account by MOFSL employee.
3	NSE-SB-2024-12-279367	Unmesh Mishra VS MOFSL	Arbitration	NSE Original Arbitration	2025	East	NSE	Webynyay	Client filed Arbitration being aggrieved by the conciliation order alleging inducement,

									assured profit and unauthorized trade
4	NSE-SB-2024-09-967133	Manjari Jignesh Solanki VS MOFSL	Arbitration	NSE Original Arbitration	2025	West	ODR		Client preferred an arbitration being aggrieved by the Conciliation Order alleging of unauthorised selling of shares and also DP AMC charges by the MOFSL.
5	BSE-SB-2024-10-997053	Anil Kumar Nathi VS MOFSL	Arbitration	BSE Original Arbitration	2025	South	ODR	CADRE	Client preferred an Arbitration against the Conciliation Order alleging unauthorised trades in his account
6	NSE-SB-2024-12-195754	MURALIDHAR J JANARDHA VS MOFSL	Arbitration	NSE Original Arbitration	2025	South	ODR	CADRE	client had filed the Arbitration alleging, BA executed trades in his account with his consent.
7	SLP D/No. 5070/2025	MOFSL VS SANTOSH CORDEIRO & ANR.	Civil Case	Special Leave Petition	2025	North	Supreme Court of India	New Delhi	MOFSL had filed SLP before the Supreme court challenging the order of Bombay High court dated 02-05-2024
8	MiscCase/1/2024	MOFSL VS Sudip Datta Ray	Arbitration Appeal	Appeal u/s. 34 - District Commercial Court	2024	East	District and Sessions Judge, Jalpaiguri	Jalpaiguri	MOFSL being Aggrieved by the Appellate Award dated 07-Nov-2023 has filed application under sec 34 before Jalpaiguri District and Session court.

9	CARBP(L)/1148/2024	MOFSL VS Anil Vallbhdas Agrawal	Arbitration Appeal	Appeal u/s. 34 - High Court	2024	West	BOMBAY HIGH COURT	Mumbai	Being aggrieved by Appeal Arbitration Award, MOFSL preferred u/s 34 Arbitration Application before Bombay High Court.
10	NSE-SB-2023-11-451226	Indranil Umesh Pandhare VS MOFSL	Arbitration	NSE Original Arbitration	2024	West	ODR	SAMA	Client being aggrieved by the Conciliation Report has filed an Arbitration against MOFSL alleging UT.
11	NSE-SB-2024-01-358076	Mohammed Ameen Shariff VS MOFSL	Arbitration	NSE Original Arbitration	2024	South	ODR	CORD	Client being aggrieved by the Conciliation Report has filed an Arbitration against MOFSL alleging UT.
12	NSE-SB-2024-02-629620	Anuradha rameshchandra chavda VS MOFSL	Arbitration	NSE Original Arbitration	2024	West	ODR	CORD	Client being aggrieved by the conciliation order has filed Arbitration through ODR
13	Misc.Case 116/2024	MOFSL VS Piyasi Purkait	Arbitration Appeal	Appeal u/s. 34 - District Commercial Court	2024	East	District & Sessions Judge	Purba, Bardhaman	Being aggrieved by the Arbitral award MOFSL has filed appeal u/s 34 challenging the said award
14	NSEDRO/0005353/23-24/ARB/APPL	Pooja Ahlawat VS MOFSL	Arbitration Appeal	NSE Appellate Arbitration	2024	North	NSE	Delhi	Client being aggrieved by the Arbitral Award has filed appeal arbitration challenging the arbitral award

15	1A/2024	Deepak Dhall VS MOFSL	Arbitration Appeal	BSE Appellate Arbitration	2024	North	BSE	Delhi	Being aggrieved by the Arbitral award client has filed the Appeal Arbitration challenging the said arbitral award
16	___ of 2024	MOFSL VS Narendra Kapoor Singh	Arbitration Appeal	Appeal u/s. 34 - High Court	2024	West	High Court of Mumbai	Mumbai	Being aggrieved by the Appellate Tribunal, MOFSL preferred an appeal u/s 34 of Arbitration Act to setaside the impugned Award dated 28-03-2024
17	SLP App/22418/2024	MOFSL, Nidhi Investment VS UTKARSH DIVAKAR MEHTA	Civil Case	Special Leave Petition	2024	North	Supreme Court of India	Delhi	MOFSL has filed SLP Appeal before Supreme court challenging High Court order dated 30-07-2024
18	NSE-SB-2023-12-689832	Rizwan VS MOFSL	Arbitration	NSE Original Arbitration	2024	East	ODR	Webynyay	Client alleging of Service / Non-execution of order- No claim was passed in Conciliation report. Client filed Arbitration proceedings
19	NSE-SB-2024-02-381706	Phulmala Sarkar VS MOFSL	Arbitration	NSE Original Arbitration	2024	East	ODR	Webynyay	Client alleged of Unauthorized trading in her account and incurred losses. No claim was passed in Conciliation proceedings.



20	NSE-SB-2024-07-699347	Rakesh kumar VS MOFSL	Arbitration	NSE Original Arbitration	2024	West	ODR	SAMA	Client has alleged of unauthorized trading in his account. In Conciliation proceedings, THE Ld. Conciliator has passed no admissible claim in his Report
21	BSE-SB-2024-09-981626	Rupesh Kumar VS MOFSL	Arbitration	BSE Original Arbitration	2024	West	ODR	CADRE	Client is alleging of Mis-appropriation of clients funds / securities
22	NSE-SB-2024-03-843212	Vishal VS MOFSL	Arbitration	NSE Original Arbitration	2024	West	ODR	CORD	Client has filed the Arbitration challenging the Conciliation Order alleging UT
23	NSE-SB-2024-07-976643	Kishore Gopalakrishna Pillai VS MOFSL	Arbitration	NSE Original Arbitration	2024	South	ODR	Jupitice Justice Technologies Pvt Ltd	Client has filed the Arbitration challenging the Conciliation Order alleging UT
24	NSE-SB-2024-10-591221	Matang Vavaliya VS MOFSL	Arbitration	NSE Original Arbitration	2024	West	ODR	Webnyay	Client has filed the Arbitration challenging the Conciliation Order alleging Excess Brokerage
25	MCX-SB-2024-08-853344	Gulshan Kumar VS MOFSL	Arbitration	MCX Original Arbitration	2024	North	ODR	JustAct (Lex Carta Private Limited)	Client has filed the Arbitration challenging the Conciliation Order alleging UT

26	NA	Prashant Tiwari VS MOFSL	Arbitration	Private Arbitration	2024	West	Private Arbitration		one of our BA had initiated the Private Arbitration against MOFSL for wrongly debiting the charges and penalties and holding his deposit
27	654/ 2023	Suresh Chand Gupta VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - District Commercial Court	2023	West	Commercial Court 1 Jaipur Metrop Jaipurolitan II	Jaipur	Being Aggrieved by Appeal Arbitration Award, Client filed u/s 34 Arbitration Appeal
28	ARB/1341/2015	Bhanuchandra J Doshi VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - High Court	2023	West	BOMBAY HIGH COURT	Mumbai	Client has filed Appeal u/s 34 challenging the dismissal of Appeal arbitration
29	OMP (COMM.)/5264/2023	MOFSL VS Mahender Kumar Mittal	Arbitration Appeal	Appeal u/s. 34 - District Commercial Court	2023	North	District and Sessions Judge, New Delhi	DELHI	Being aggrieved by Appellate award, MOFSL has filed Application u/s 34 challenging the Appellate award dated 23-Jun-2023
30	AOP/100248/2023	MOFSL VS K G Rosamma	Arbitration Appeal	Appeal u/s. 34 - District Commercial Court	2023	South	District Court Ernakulam	Kochi	MOFSL Being aggrieved by the appellate award has filed appeal us 34 at Ernakulam District court.
31	Arb.OP 07/2022	MOFSL VS JOY PAUL CHEEYEDAN	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	South	District Court - Ernakulam	Ernakulam	Aggrieved by Appellate Arbitration Award, we had filed Sec 34 Application before District Court -Ernakulam



32	Arb.OP 04/2022	MOFSL VS CHENTHAMARAKSHAN PV	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	South	District Court - Ernakullam	Ernakullam	Aggrieved by Appellate Arbitration Award, we had filed Sec 34 Application before District Court -Ernakulam
33	Arb.OP 06/2022	MOFSL VS MAYA PHILIP	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	South	District Court - Ernakullam	Ernakullam	Aggrieved by Appellate Arbitration Award, we had filed Sec 34 Application before District Court -Ernakulam
34	Arb.OP 05/2022	MOFSL VS C UNNIKRISHNAN	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	South	District Court - Ernakullam	Ernakullam	Aggrieved by Appellate Arbitration Award, we had filed Sec 34 Application before District Court -Ernakulam
35	O.M.P. (COMM) 251/2022	MOFSL VS Zeeshana Khan	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	North	High Court Delhi	Delhi	Aggrieved by the Award passed in Appellate Arbitration Tribunal we had challenged the award in Sec 34 before High Court of Delhi
36	ARBPL/20707/2022	MOFSL VS Pradeep Shivnarayan Rathi	Arbitration Appeal	Appeal u/s. 34 - High Court	2022	West	HIGH COURT BOMBAY	Mumbai	Aggrieved by the Award passed in Appellate Arbitration Tribunal, we had filed sec 34 application before the High Court Bombay



**motilal
oswal**
Mutual Fund

37	OMP (COMM.)/111/2022	MOFSL VS Vijay Kumar Gupta	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	North	District and Sessions Judge, New Delhi, Patiala House Court	Delhi	Aggrieved by the Appellate Award we had filed Sec 34 application in the case.
38	ARBPL/25071/2022	MOFSL VS Satish Sadanand Karekar	Arbitration Appeal	Appeal u/s. 34 - High Court	2022	West	HIGH COURT BOMBAY	Mumbai	Aggrieved by the Appeal Award passed in Appellate Arbitration Tribunal, we had filed sec 34 application before the High Court Bombay.
39	OPM (Comm) / 6/2022	Vandana Gupta VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	North	District and Sessions Court Tis Hazari	New Delhi	Bring aggrieved by the Appeal Arbitration Award, Client preferred u/s 34 Arbitration Application.
40		24 MOFSL VS Rajiv Garg	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	North	District Court Panipat	Panipat	We have filed an appeal against the order of the Appellate Arbitral Tribunal staying the execution of Award.
41	A.R.B.O.P/157/2022	PSR Padmaja VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	South	X Additional Chief Judge	Hyderabad	Client preferred u/s 34 Arbitration Application challenging the Arbitration Award.



42	Comm. Arb. Petition no. 253 of 2022	Anand Jatin Desai VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - High Court	2022	West	High Court Mumbai	Mumbai	Being aggrieved by Appeal Arbitration Award, Client filed u/s 34 Arbitration Application.
43	Comm. Arb. Petition no. 265 of 2022	Shilpa Anand Desai VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - High Court	2022	West	High Court Mumbai	Mumbai	Being aggrieved by Appellate Arbitration Award, Client has filed u/s 34 Arbitration proceeding
44	OMP (COMM.)/122/2022	MOFSL VS Sangeeta Gupta	Arbitration Appeal	Appeal u/s. 34 - District Court	2022	North	District and Sessions Judge, New Delhi, Patiala House Court	Delhi	Aggrieved by the Appellate Award we had filed Sec 34 application in the case.
45	O.M.P. (COMM) 333/2022	Zeeshana Kha VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - High Court	2022	North	High Court Delhi	Delhi	Aggrieved by the Award passed in Appellate Arbitration Tribunal Client had challenged the award in Sec 34 before High Court of Delhi
46	NA	MBA Consulting India Pvt Ltd VS MOFSL	Arbitration	Private Arbitration	2022	West	Private Arbitrator	Mumbai	MBA Consulting has filed the case for recovery of pending invoices for services provided by them MOFSL.
47	ARB.OP.No.01/2021	MOFSL VS VERGHESE KURUVILLA	Arbitration Appeal	Appeal u/s. 34 - District Court	2021	South	District Court Ernakullam	Ernakullam	Aggrieved by Appellate Arbitration award, we had filed Sec 34 application before District Court Ernakullam

48	Arb. OP. No. 61 of 2021	MOFSL VS Grace Varghese	Arbitration Appeal	Appeal u/s. 34 - District Court	2021	South	District Court Ernakullam	Ernakullam	Aggrieved by the Award passed in Appellate Arbitration, we had filed sec 34 application challenging the arb appeal award.
49	ARB/19434/2021	MOFSL VS PRAKASH SANTLAL JHAWAR	Arbitration Appeal	Appeal u/s. 34 - District Court	2021	West	HIGH COURT BOMBAY	Mumbai	Sec 34 petition filed in Bombay Challenging the Appellate Arbitration Award, Client alleged UT in his account and amount was admitted in IGRP, which was challenged by us before the Arbitration & Appellate Arbitration Tribunal of NSE.
50	ARB/563/2021	MOFSL VS Navdeep Singh	Arbitration Appeal	Appeal u/s. 34 - District Court	2021	North	Additional District Judge	Chandigarh	MOFSL filed Arbitration claiming the Ledger Debit. Original Arbitral Award rejected the claim. So, u/s 34 Application filed against the Client before Civil Court.
51	CARB/610/2021	Dhanera Diamonds VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - High Court	2021	West	High Court	Mumbai	MOFSL has received an award for Rs. 80.74 Crore in our favour. The Client has filed an appeal challenging the award before the court.



52	Misc. Case 61/2021 (CC)	MOFSL VS Piyali Mitra	Arbitration Appeal	Appeal u/s. 34 - District Court	2021	East	Commercial Court	Rajarhat Norther 24 Parganas	Being aggrieved by Appellate Arbitration award, MOFSL filed u/s 34 Arbitration before Civil Jurisdiction. The Client alleged all trades are unauthorized and claimed Rs. 2.69 cr.
53	Arb.OP.136/2021	MOFSL VS LIZAMMA GEORGE	Arbitration Appeal	Appeal u/s. 34 - High Court	2021	South	District Court - Ernakullam	Ernakullam	Aggrieved by Appellate Arbitration Award, we had initiated Sec. 34 Application before the District Court - Ernakulam
54	Arb.O.P..137/2021	MOFSL VS Mariyam Abdul Majeed	Arbitration Appeal	Appeal u/s. 34 - District Court	2021	South	District Court - Ernakullam	Ernakullam	Aggrieved by Appellate Arbitration Award, we had prefer an Appeal U/Sec. 34 of the Arbitration and Conciliation Act
55	Arb. O.P. 24 of 2021	Ravi Kumar Reddy Gaddam VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - District Court	2021	South	Principal District Judge	Kadapa	The Appellant has challenged the Arbitration Award by filing Section 34 application before district court.
56	OP 24/2020	MOFSL VS NARAYANAN MOOTHATHU	Arbitration Appeal	Appeal u/s. 34 - District Court	2020	South	District Court - Ernakulam	Ernakulam	Being Aggrieved by the Award passed in Appellate Arbitration of NSE, We had filed Sec 34 Appln before the District Court Ernakulam.

57	OP 25/2020	MOFSL VS THOMAS A.V.	Arbitration Appeal	Appeal u/s. 34 - District Court	2020	South	District Court Ernakulam	Ernakulam	Being Aggrieved by the Award passed by Appellate Arbitration Panel of NSE, we had filed Sec 34 Application before District Court Ernakulam.
58	OP 23/2020	MOFSL VS Dr. Abdul Majeed	Arbitration Appeal	Appeal u/s. 34 - District Court	2020	South	District Court Ernakulam	Ernakulam	Being Aggrieved by the award passed in Appellate Arbitration Tribunal of NSE, we had challenged the award before district court u/sec. 34 of Arb. Act.
59	FAO(OS) (COMM) 32/2020	Rakshak Kapoor VS MOFSL	Arbitration Appeal	Appeal u/s.37 - High Court	2020	North	High Court	Delhi	Client has filed an appeal against the order of the High Court allowing application of MOFSL u/s34 of Arbitration Act whereby the claim of MOFSL was granted.
60	ARBITRATION PETITION NO.(L) 1292/ 2019	MOFSL VS Rupinder Anand	Arbitration Appeal	Appeal u/s. 34 - High Court	2019	West	HIGH COURT OF BOMBAY	Mumbai	Aggrieved by Appellate Award, MOSL has filed Appeal to set aside the Appellate Award.

61	NA	MOCBPL VS Satish Bhalla HUF	Arbitration	Private Arbitration	2019	West	Arbitrator	Private Arbitration	MOCBPL had initially filed Arbitration to recover the debit balance from the client. Bring Aggrieved by the Award, the Client has filed Arbitration appeal u/s. 34 before Bombay High Court. High Court passed an order by remanding back the matter and appointing fresh arbitrator
62	ARBPL/52/2019	MOFSL VS AFP Ideas and Execution Pvt Ltd.	Arbitration Appeal	Appeal u/s. 34 - High Court	2019	West	High Court of Bombay	Mumbai	Aggrieved by Appellate Award, MOSL has filed Appeal to set aside the Appellate Award.
63	Misc. Case No. 295/ 2019	MOFSL VS Samrat Deb	Arbitration Appeal	Appeal u/s. 34 - District Court	2019	East	DISTRICT AND SESSIONS JUDGE, BARASAT, NORTH 24 PARGANAS	NORTH 24 PARAGANAS, WB	Aggrieved by Appellate Arbitration Award, MOSL filed Appeal 34 Arbitration proceeding. The allegation of the Client about unauthorised trade in F&O segment and square off of SIP.
64	A.S. No. 212/ 2018	Asha Devi Jain VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - District Court	2018	South	CITY CIVIL and SESSIONS JUDGE Bangalore	Bangalore	Client preferred Appeal u/s 34.



65	A/ 8036/2017 and OP 995/2017	MOFSL VS Thangavel Krishnamurthy	Arbitration Appeal	Appeal u/s. 34 - High Court	2017	South	Madras High Court	Chennai	Aggrieved by Appellate Award, MOSL has filed Appeal to set aside the lower bench Award and claimed outstanding debit amount
66	ARB/659/2017	Rahul Gupta VS MOSL	Arbitration Appeal	Appeal u/s. 34 - District Court	2017	North	District and Sessions Court, Chandigarh	CHANDIGARH	Aggrieved by the Appellate Arbitration Award, the client filed appeal to set aside the Award.
67	CMA DC/ 88/ 2017	Balasubramanya S VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - District Court	2017	West	District and Sessions Court Vadodara	Vadodara	MOSL had filed Arbitration against the IGRP order. However, Award was passed against MOSL. Aggrieved by said award, MOSL filed appeal which was awarded in favour of MOSL. Aggrieved by appellate award, client has filed appeal u/s. 34.
68	A.R.B.O.P/ 1979/ 2017	MOFSL VS Shiv Prasad Jallan	Arbitration Appeal	Appeal u/s. 34 - District Court	2017	South	Chief Judges Courts Hyderabad	Hyderabad	Being Aggrieved by IG Order against MOSI, MOSL preferred Arbitration proceedings in which award was passed against MOSL. MOSL preferred appeal. The Appellate Award was also passed against MOSL; and

									now MOSL has filed Application u/s. 34.
69	255 of 2016	Rajesh Tiwari VS MOFSL	Arbitration Appeal	Appeal u/s.37 - High Court	2016	West	High Court Mumbai	Mumbai	Client has challenged the Order of the High Court, Mumbai.
70	777 of 2016	Moti Dadlani VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - High Court	2016	West	High Court Mumbai	Mumbai	Moti Dadlani aggrieved by the lower bench award have filed appeal in Bombay High Court U/Sec. 34
71	ARB/782/2016	MOFSL VS Mamta Agarwal & Shankar Das	Arbitration Appeal	Appeal u/s. 34 - High Court	2016	West	High Court Mumbai	Mumbai	Aggrieved by Award, MOSL filed Appeal before Mumbai Highcourt
72	MCJ 52/2016	MOFSL VS Shakuntala Koshta	Arbitration Appeal	Appeal u/s. 34 - District Court	2016	West	District and Sessions Court, Indore	Indore	Aggrieved by Award dated April 4, 2016, MOSL filed Appeal
73	MJCAV/0000048/2016	Shakuntala Koshta VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - District Court	2016	West	District and Sessions Court, Jabalpur	Jabalpur	The Client being aggrieved by the Award passed in favor, filed 34 before District Court Jabalpur

74	A. S. 79/ 2016	MOFSL VS Vinay Chillalsetti	Arbitration Appeal	Appeal u/s. 34 - District Court	2016	South	CITY CIVIL and SESSIONS JUDGE Bangalore	Bangalore	Aggrieved by the Appellate Award at NSE, Bangalore MOSL filed an Appeal before District Court at Bangalore.
75	FAO 395 of 2015	Rohtash VS MOFSL	Arbitration Appeal	Appeal u/s.37 - High Court	2015	North	HIGH COURT OF DELHI	NEW DELHI	The client has alleged the unauthorized trading in both cash and F&O segment in their account.
76	O.M.P. (COMM) 177/2016	Surender Goel VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - High Court	2015	North	High Court Delhi	NEW DELHI	The Client has made allegations regarding the debits in his account and few illegal adjustments. The Client being aggrieved by the Award and appellate Award, filed appeal u/s. 34 at High Court, Delhi
77	MISCCASE/1064/2015	Tapan Dhar VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - District Court	2015	East	City Civil Court, Calcutta	Kolkata	Being aggrieved by the Appellate Bench Award, the client filed Application u/s. 34 before the City Civil Court at Kolkata.

78	O.M.P. (COMM) 126/2016	Shanti Goel VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - High Court	2014	North	HIGH COURT OF DELHI	DELHI	The Sub broker has alleged regarding the some illegal debits in her account. The Lower bench of the Arbitration passed Award in favor of MOSL and hence, aggrieved by the said Award and Appellate Award the sub broker filed the appeal u/s. 34 at Delhi High Court.
79	APP 760/2011	MOFSL VS Anil Agarwal	Arbitration Appeal	Appeal u/s.37 - High Court	2011	West	High Court Mumbai	Mumbai	Being aggrieved by the Award passed by High Court in application u/s 34 appeal is filed by MOSL before High Court, Mumbai. MOSL filed notice of Motion before High Court Mumbai and it is pending for hearing.
80	APP 759/2011	MOFSL VS Idea Internationals Pvt. Ltd.	Arbitration Appeal	Appeal u/s.37 - High Court	2011	West	High Court Mumbai	Mumbai	Being aggrieved by the Award passed by High Court in application u/s 34 appeal is filed by MOSL before High Court, Mumbai.
81	APP 640/2011	MOFSL VS Idea Internationals Pvt. Ltd.	Arbitration Appeal	Appeal u/s.37 - High Court	2011	West	High Court Mumbai	Mumbai	Being aggrieved by the Award passed by High Court in application u/s 34 appeal is filed by MOSL before High

									Court, Mumbai.
82	FAO(OS) 530/2009	MOFSL VS Sandeep Paul	Arbitration Appeal	Appeal u/s. 34 - High Court	2010	North	HIGH COURT OF DELHI	NEW DELHI	Being aggrieved by the Appellate Bench Award, the client filed Application u/s. 34 before the High Court, Delhi
83	A.P.No.422 Of 2006	S&D Financial VS MOFSL	Arbitration Appeal	Appeal u/s. 34 - High Court	2006	East	High Court Kolkatta	Kolkatta	The Arbitration Department, of the NSE had, vide their award dated September 22, 2006, ("Award"), directed that the S&D Financial to pay MOSL Rs.7,63,667/- alongwith simple interest thereon @ 18% p.a. from October 16, 2006 till the actual date of repayment. The Client has challenged the Award before High Court, Kolkata.
84	Industrial Dispute No. 2/2025	Amit Kumar Gupta VS MOFSL	Civil Case	Labour Dispute	2025	South	Labour Court Bangalore Sourt	Bangalore	Ex-employee of PCG Team of Bangalore office filed labour dispute alleging illegal termination by MOFSL
85	RCA DJ- 81/2024	M/s Vijay Nova Infraculture Pvt Ltd VS MOFSL	Civil Case	Appeal	2024	North	Rohini District Court	Delhi	Client has preferred an appeal to setaside the order dated 14.10.2024 passed by the

									district court in CS SCJ NO. 1105/24.
86	Execution (Comm.)/85/2024	MOFSL VS Pooja Ahlawat	Civil Case	Execution Proceeding	2024	North	District and Sessions Judge		Arbitration Award Holder Ie MOFSL filed execution petition against the Pooja Ahlawat - Defendant.
87	Execution (Comm.)/87/2024	MOFSL VS Deepak Dhall	Civil Case	Execution Proceeding	2024	North	District and Sessions Judge		Arbitral Award holder filed execution proceedings against Deepak Dhall - Defendant
88		Prachi Krunal Shah VS MOFSL, NSE	Civil Case	Securities Appellate Tribunal	2024	West		Mumbai	Appellant is a Authorized Person and he has challenged the email of NSE where the termination of AP is directed by the exchange. MOFSL is made a party as MOFSL has complied with NSE email.
89	_____ of 2024	Anil Trambaklal Shah VS MOFSL	Civil Case	Commercial Arbitration Application	2024	West	Bombay City Civil Court	Dindhoshi (Borival; Division	Client being aggrieved by the Appellate Arbitration Award has filed an Commercial Dispute in City Civil Court, Dindhoshi against the Appellant, allegeing UT.



90	Title Suit no. 546 / 2024	Angshuman Bharadwaj VS MOFSL, Bajaj Alliance Insurance Co.	Civil Case	Title Suit	2024	East	Civil Judge Sr. Division	Kamrup, Guwahati	Client had filed the civil suit against MOFSL and Bajaj Insurance for mis selling of the insurance policies.
91	RCA DJ- 81/2024	M/s Vijay Nova Infraventure Pvt Ltd VS MOFSL	Civil Case	Appeal	2024	North	Rohini District Court	Delhi	Client has preferred an appeal to setaside the order dated 14.10.2024 passed by the district court in CS SCJ NO. 1105/24.
92	SUIT(L)/12244/2023	MOFSL VS Infrastructure Leasing and Financial Services Limited, (IL & FS) & 4 Ors	Civil Case	Suit	2023	West	BOMBAY HIGH COURT	Mumbai	Rejection of bidding for Business Arcade property
93	18014	MOFSL, Ajay Menon VS SEBI	Civil Case	Writ Petition	2023	West	High Court	Mumbai	MOFSL and Mr. Ajay Menon has filed a writ petition before the Bombay High Court. challenging SEBI notice regarding the disqualification of Mr. Menon as a director.



	Civil Revision No. 6521 of 98/2023	Rahul Gupta VS MOSL	Civil Case	Civil Revision	2023	North	High Court of Punjab & Haryana	Chandigarh	The petitioner has filed the Civil Revision application in High Court against the defendant against challenging the Arbitration award passed by the Additional District Judge at Chandigarh
--	---------------------------------------	---------------------	------------	----------------	------	-------	-----------------------------------	------------	---

99		182 MOCBPL VS SEBI	Civil Case	Securities Appellate Tribunal	2023	West	SAT	Mumbai	<p>An Order dated February 22, 2019 passed by WTM against one of our wholly owned subsidiary Company i.e. Motilal Oswal Commodities Broker Private Limited ("MOCBPL"), wherein SEBI had held that MOCBPL is not a fit and proper person to hold, directly or indirectly, the certificate of registration as commodity broker. In this regard, MOCBPL had filed an appeal before Hon'ble Securities Appellate Tribunal ("SAT") challenging the said Order of WTM of SEBI. Hon'ble SAT has allowed MOCBPL's appeal and remanded the matter back to SEBI for deciding afresh. Pursuant to SAT Order WTM of SEBI passed order dated November 29, 2022, by debaring MOCBPL from making a fresh application seeking registration, before</p>
----	--	--------------------	------------	-------------------------------------	------	------	-----	--------	--

100	Appeal No. (L) 79 of 2023	Barduar Tea & Timber Company Ltd & Ors, Lalit Chand Banthia, Sujan Mal VS MOFSL, Calcutta Stock Exchange, HDFC Bank Limited, Nirmal Bang Securites Pvt. Ltd, Zuari Finserv Limited	Civil Case	Securities Appellate Tribunal	2023	West	Securities Appellate Tribunal	Mumbai	Appellant filed to set aside the order and judgement passed by the CSE
101	Exc 1 of 2023	MOFL, Ranjeet Kumar Sharma VS KrishnaNandanSingh	Civil Case	Execution Proceeding	2023	East	Civil District Court	Dumka, Ranchi	MOFSL has filed execution petition in regards to favor award of the Arbitration award.
102	Complaint Number 22/30	Sahebrao Ramdas Patil VS MOFSL	Civil Case	Commercial Suit	2022	West	District Court Nandurbar	Nandurbar	Client filed case that MOFSL has done Unauthorized trading in F&O for brokerage wherein the client suffered loss and was also charged got penalty on margin shortage



103		Arihant Kumar Sethia 368 VS MOFSL	Civil Case	Securities Appellate Tribunal	2022	West	SAT	Mumbai	IPO allotment wrongly transferred in the account of Harshad Shah (Client) . The original IPO Applicant was Mr. Arihant Sethia. (50 Share of Avenue Supermarts Ltd)
104	TITLE SUIT NO 630 OF 2022	PRITAM GHOSH, KOUSHIK SENGUPTA VS MOFSL	Civil Case	Suit for Specific Performance	2022	East	2nd Court of Civil Judge, Parganes	PARGANAS	Client has filed injunction suit to injunct Motilal Oswal from changing the Authorised Person details
105	MJCSUC//0000058/2020	Mrs. Poonam Pamnani & Ors. VS MOFSL	Civil Case	Money Suit	2022	East	District Court	Gwalior	The Legal heirs of the deceased BA have filed succession matter before the district court the obtain the succession certificate and are claiming the amount deposited by the BA at the begining. However the same stands paid after adjusting the debit balance under derivative and case segment
106	229/2022	Sandeep Goel VS MOFSL	Civil Case	Suit	2022	North	Civil Judge Sr. Division	Ghaziabad	Claimant filed civil suit against Rajeev Goel and other. We have been made party in the civil proceeding.



**motilal
oswal**
Mutual Fund

107	Misc. Civil Cases/174/2022	Sandeep Goel VS MOFSL	Civil Case	Original Application	2022	North	Civil Judge Sr. Division	Ghaziabad	Claimant filed Misc. Civil cases against Rajeev Goel. We are made party to the civil proceeding.
108	KB/2022	PRITAM GHOSH VS MOFSL	Civil Case	Company	2022	East	NATIONAL COMPANY LAW TRIBUNAL	KOLKATTA	Petitioner filed proceeding against DURGAPUR CORPORATION and its directors to restrain to change the shares pattern. There is no claim against MOFSL and the DP of the Petitioner is with MOFSL hence we are only party to the proceedings.
109	S.C. SUIT NO. 2993 OF 2022	MANISHA ASHOK GERA VS MOFSL	Civil Case	Suit	2022	West	City Civil Court Dindoshi Goregaon	Mumbai	Civil Suit filed by family member against the nominee of deceased client. MOFSL only party to the proceeding.
110	S.A.O.P. 20 /2022	Avula Anjamma VS MOFSL	Civil Case	Suit	2022	South	PRI. SENIOR CIVIL JUDGE, ONGOLE	ONGOLE, A.P.	PETITION FILED FOR SUCCESSION CERTIFICATE FOR Client Name Avula Anjamma.
111		476 Mr Prakash VS MOFSL	Civil Case	Commercial Suit	2022	South	District Court Krishnagiri	District Court Krishnagiri	Plaint filed under order VII Rule 1 of C.P.C. O.S. NO 476 OF 2022 before district court at Krishnagiri.



112	COMEXL/41039/2022	MOFSL VS Mukesh Devichand Vardhan	Civil Case	Execution Proceeding	2022	West	Bombay High Court	Mumbai	MOFSL has filed an execution application of the favor appeal arbitration award
113	R/SCA/1976/2021	Hardik M Kotecha VS MOFSL, SEBI	Civil Case	Writ Petition	2021	West	High Court	Ahmedabad	Client has filed writ challenging SEBI new margin system
114	CARBPL/1781/2021	MOFSL VS Anand Jatin Desai	Civil Case	Proceeding U/Sec. 9 Arbitration Act	2021	West	High Court	Bombay	We have filed section 9 application for securing award amount.
115	CARBPL/1788/2021	MOFSL VS Shilpa Anand Desai	Civil Case	Proceeding U/Sec. 9 Arbitration Act	2021	West	High Court	Bombay	We have filed a petition u/s 9 for securing award amount.
116	CS No 850/2020	Mamta Nagpal VS MOFSL	Civil Case	Suit	2021	North	Civil Judge, Senior Division, Kharar	Kharar Mohali	The client has filed the petition for unauthorised trading done in her account and claiming the loss amount to be refunded to her.
117	O.S. 389	ROY PORUTHUKAREN VS MOFSL	Civil Case	Suit	2021	South	MUNSIFF COURT, CHITTUR	CHITTUR	PETITION FILED UDER ORDER XXXIX RULE 2A R/W SECTION 151 OF CPC, 1908. Petitionthereatnes civil prison for volotion of order of temporary prohibitory injunction dated 23.12.2021 passed in I.A. 2429/2021



118		Alankar Bhivgade VS 95 MOFSL	Civil Case	Suit	2021	East	Commercial Court, Chattisgarh	Chattisgarh	Succession application filed by Alankar Bhivgade vs Avinash Bhivgade.
119	Ecase No. 2292020	MOFSL , PCS Commodities Limited VS SEBI , MCX , MCXCCL , Dhanera Diamonds	Civil Case	Writ Petition	2020	West	High Court	Bombay	MOFSL has filed a writ petition against SEBI and MCX for crude DDR circular dated April 21, 2020, settling crude oil prices at negative.
120	CWP No.7458/2020	Rajiv Garg VS MOFSL, SEBI, MCX, MCXCCL, Priyanka	Civil Case	Writ Petition	2020	North	HIGH COURT of CHANDIGARH	CHANDIGARH	Client has filed a writ petition challenging MCX Crude Circular dated April 21, 2020 fixing settlement prices in negative.
121	LC-VC-GSP-8 OF 2020	Dhanera Diamonds VS MOFSL, MCX MCXCCL	Civil Case	Commercial Suit	2020	West	High Court	Bombay	Dhanera Diamonds has filed a Commercial Suit against MCX, MCXCCL and MOFSL challenging the MCX circular dated April 21, 2020. The client has alleged that it is not required to pay any money to MOFSL as the circular of MCX is not correct. Further, he has claimed money from the parties on the basis of close price of April 21, 2020 at 5PM.

122	W.P. (C) No. 3821/2020	Sunil Goel VS MOFSL, SEBI, BSE LTD, CDSL, NSDL, Real Growth Commercial Ltd, UOI, ICICI Bank, Kotak Mahindra Bank, HDFC Bank, Kotak Securities, Reliance Securities, NJ India Invest Pvt Ltd, Orbis Financial Ltd	Civil Case	Writ Petition	2020	North	High Court	New Delhi	As per SEBI direction, the DMAT accounts of the Applicant had frozen. Plaintiff had challenged the SEBI order.
123	NA	Green Valliey Industries Ltd VS MOFSL	Civil Case	Suit for Specific Performance	2020	East	Court of Additional Deputy Commissioner	Meghalaya	The plaintiff has filed a suit for specific performance of the settlement agreement dated August 31, 2018
124	CS/725/2020	MOFSL VS Sunil Rathee	Civil Case	Civil Suit	2020	North	11-ADD Civil Judge Sr. Division	Panipat	MOFSL, through BA has filed the civil suit for recovery of the client the ledger debit before civil court



125	NA	MOFSL VS Anuj Jaipuria	Civil Case	Execution Proceeding	2019	North	District Court - New Delhi	DELHI	Execution proceedings filed against the Award dated 1st July, 2016.
126	NA	Anju Kapoor VS MOFSL	Civil Case	Suit	2019	North	Civil Judge, Senior Division, Gurugram	Gurugram	Client filed the Suit for recovery against MOFSL claiming 5 Lakhs as principal along with interest.
127	NA	Karan Kapoor VS MOFSL	Civil Case	Suit	2019	North	Civil Judge, Senior Division, Gurugram	Gurugram	Client filed the Suit for recovery against MOFSL claiming 15 Lakhs as principal along with interest.
128	S C Suit No. 2402 of 2019	Sukhuvinder Singh & anr v/s Navratna Co-Op Housing Society Ltd & others VS MOFSL	Civil Case	Suit	2019	West	Bombay City Civil Court at Borivali Division, Dindoshi	Dindoshi	Plaintiff filed suit for allotment of covered car parking. No claim against MOFSL.
129	RAE Suit No. 650 of 2019	M/s Natwarlal Shamaldas & Co VS MOFSL	Civil Case	Suit	2019	West	Small Causes Court, Mumbai	Mumbai	Landlord filed the suit for cancellation of tenancy and eviction of tent premises.



**motilal
oswal**
Mutual Fund

130	Money Suit 29 / 2019	Manoj Agarwal VS MOFSL, Kajaria Ceramisc Ltd, MCA Share Transfer Agent, Bidya Financial Services	Civil Case	Money Suit	2019	East	ASST. DEPUTY COMMISSINER, SHILLONG	SHILLONG	Client filed the Suit for recovery against Kajaria Ceramisc Ltd and other. MOFSL proforma party to the proceeding and no prayer against MOFSL.
131	4459	MOFSL VS K P Siva	Civil Case	Execution Proceeding	2019	South	Additional City Civil Court	Banglore	We have filed execution proceedings against client to recover Arbitration Award amount.
132	1953	MOFSL VS R Krishna	Civil Case	Execution Proceeding	2019	South	Additional City Civil Court	Banglore	We have filed an execution proceedings to recover the Arbitraation Award amount from the client.
133	NA	Rajeet Singh VS MOWMPL	Miscellaneous	Application under Payment of Gratuity	2019	South	Controlling Authority under Payment of Gratuity Act	Banglore	MOWMPL employee filed an application before appropriate authority to claim Gratuity amount.
134	1681	MOFSL VS Thomas Demello	Civil Case	Execution Proceeding	2019	West	Civil Judger Senior Division	Vasai	We have filed execution proceedings to recover the Arbitration Award amount.
135	MCC No. 139 OF 2023	Shakuntal Koshta VS MOFSL	Miscellaneous	Transfer Misc Case	2019	West	HIGH COURT OF MADHYA PRADESH	JABALPUR	Client filed application to transfer 34 Arbitration proceeding from Bhopal to



									Jabalpur.
136	67/2018	MOFSL VS Vishal Chaudhary	Civil Case	Execution Proceeding	2018	North	District Court	Dehradun	Execution application filed before Civil Court, Dheradun to recover the awarded amount.
137	EAP 268/2018	MOCBPL VS Suvarna Lunawat	Civil Case	Execution Proceeding	2018	West	District Court	Ahmednagar	Execution application filed by MOCBPL to recover the awarded amount.
138	MONEY SUIT 144/ 2018	RUMKY CHAKRABORTY VS MOSL, Dipayan Sebgupta	Civil Case	Money Suit	2018	East	CIVIL JUDGE, SENIOR DIVISION, BARUIPUR, WB	BARUIPUR, WB	Client filed the Money Suit for recovery against both MOSL and the BA Dipayan Sebgupta claiming 20 Lakhs as principal along with 18% interest.
139	EXA/1520/2017	MOFSL VS Kalavati Kishorebhai Mawani	Civil Case	Execution Proceeding	2017	West	High Court Mumbai	Mumbai	Being Award in our favor, we have filed execution proceedings to execute the decree to recover the outstanding dues.
140	81/2017	MOFSL VS Pradnya Sarkhot	Civil Case	Suit	2017	West	Civil Court, Ratnagiri	Ratnagiri	Suit is filed under specific performance of agreement.

141	Commercial Suit 48 of 2017	Nirtex VS MOFSL, MOSL, MOFSL, MOWMPL, MOCBPL, PASSIONATE INVESTMENT, BK AGARWAL, MOTILAL OSWAL, RAMDEV AGARWAL, NAVEEN AGARWAL, PRAVIN TRIPATHI, VIVEK PARANJPE, SAMRAT SANYAL, AJAY MENON, HARSH JOSHI, RAJESH DHARMSHI	Civil Case	Commercial Suit	2017	West	Bombay High Court	Mumbai	Nirtex has filed Commercial Suit against MOSL and Ors which is still pending for hearing. We have received the copy of the Plaint filed. The same is handed over to Dewen Dwarkadas for necessary actions.
-----	----------------------------	--	------------	-----------------	------	------	-------------------	--------	--

142	Commercial Suit 70 of 2017	Ketan Shah VS MOCBPL, MOSL, MOFSL, MOWMPL, PASSIONATE INVESTMENT, BK AGARWAL, MOTILAL OSWAL, RAMDEV AGARWAL, NAVEEN AGARWAL, PRAVIN TRIPATHI, VIVEK PARANJPE, SAMRAT SANYAL, AJAY MENON, HARSH JOSHI, RAJESH DHARMSHI	Civil Case	Commercial Suit	2017	West	Bombay High Court	Mumbai	Ketan Shah has filed Commercial Suit against MOSL and Ors which is still pending for hearing. We have received the copy of the Plaint filed. The same is handed over to Dewen Dwarkadas for necessary actions.
143	EXA/1407/2016	MOFSL VS Moti Dadlani	Civil Case	Execution Proceeding	2016	West	High Court Mumbai	Mumbai	Execution proceedings filed against the Award dated 2nd Feb, 2016.



144	TD No. 25/2016	MOFSL VS Limelight	Civil Case	Execution Proceeding	2016	West	High Court Mumbai	Mumbai	Arbitrator has passed award in favour of MOFSL. We have filed an application before Mumbai High Court for transfer of decree from Mumbai to Kolkata and the same is pending.
145	TSA/548/2016	MOFSL VS UCO BANK	Civil Case	Suit	2016	West	Debit Recovery Tribunal -2, Mumbai	Mumbai	MOSL has filed an application for restoring the possession of the Licensed premises at Ghatkopar.
146	NA	MOFSL VS ANIL REDDY M	Civil Case	Execution Proceeding	2015	South	District Court - Telangana	Telangana	We have filed execution proceedings.
147	NA	MOFSL VS Srinivas Reddy Morthalla	Civil Case	Execution Proceeding	2015	South	District Court - Telangana	Telangana	We have filed execution proceedings.

148	Writ Petition No. 215/2014	MOSL , Mr. Johnny Ishwardas Kirpalani , Mr. Harish Devidas Thawani , Watermark System (India) Private Limited , Goldcrest Capital Markets Pvt. Ltd. , Motilal Oswal Securities Ltd. , Mr. Nikhil Khandelwal , NSEL Investors Forum (NIFF) VS Union of India , Enforcement Directorate , Forward Market Commission , Warehousing Development and Regulatory Authority , Serious Fraud investigation Officer , State of Maharashtra. , National Spot Exchange , Financial Technologies (India) Limited , National Agricultural	Civil Case	Writ Petition	2014	West	High Court Mumbai	Mumbai	NSEL default matter
-----	-------------------------------	--	------------	---------------	------	------	-------------------	--------	---------------------

	Marketing Federation Of India Ltd. , Mr. Jignesh Shah , Mr. Shankarlal Guru , Anjani Sinha , Mr. B.D. Pawar , Mr. Joseph Massey , Mr. Shreekant Javalgekar , Mr. Ramanathan Devarajan , The Maharashtra State Agricultural Marketing Board							
--	--	--	--	--	--	--	--	--

149	WP 2743/2014	Financial Technologies (India) Ltd, Antony Verghese, Jay Ganesh of Mumbai, Mahendra Mayekar VS MOCBPL , Union of India, Forward Market Commission, National Spot Exchange Limited, NSEL Investor's Action Group, MMTC Limited, NSEL aggrieved and Recovery Commission NAARA, Syndicate Bank, Standard Chartered Bank, DBS Bank Ltd Singapore, Punjab National Bank (International) Limited	Civil Case	Writ Petition	2014	West	High Court Mumbai	Mumbai	FT + NSEL- Merger
-----	--------------	--	------------	---------------	------	------	-------------------	--------	-------------------



150	A/52/2025	MOFSL VS Sheetal Gandhi	Civil Case	Consumer	2025	West	State Consumer Dipsute Redressal Commissions	Jaipur	MOFSL had filed the appeal before state consumer forum against the ex-parte order in complaint filed by the client before in district consumer forum.
151	Consumer Case No. 286/2024	GAGAN SHARMA VS MOFSL, Care Health Insurance Limited & Ors	Civil Case	Consumer	2024	North	Consumer Disputes Redressal Commission New Delhi	Gurugram, Haryana	The Complainant has filed the complaint u/s 34 & 35 of the Consumer Protection Act, 2019 against the Respondent for deficiency of services.
152	A/24/441	MOFSL VS COL DINESH CHANDER SOOD	Civil Case	Consumer	2024	West	State Commission Disputes Redressal Forum	Mumbai	Client filed consumer case in district forum, pune due to deficiency in services. The Hon'ble Forum passed order against MOFSL by partly allowing the amount to the Client/ Therefore, MOFSL, preferred an appeal before State Commission.
153	CC no. DC/AB2/315/CC/243/2024	Kamlesh Basu VS MOFSL	Civil Case	Consumer	2024	East	Consumer Commission Kolkata II - Central	Kolkata	client has filed the consumer complaint for unauthorized trades executed in his account



154	64 of 2023	Vishwas Kundaji Kadu VS MOFSL	Civil Case	Consumer	2023	West	Consumer Forum Ratnagiri	Ratnagiri	Client filed consumer matter alleging unauthorised trade and utilisation of funds without consent.
155	88/22/18	Prashant Jare VS MOFSL	Civil Case	Consumer	2022	West	District Forum	yavatmal	Client had received a fraud link for making payment. He invested Rs. 5000 on this link which was not received by MOFSL. client is disputing the same under Consumer Protection Act
156	CC No. 14/22	C. Unnikrishnan VS MOFSL	Civil Case	Consumer	2022	South	State Consumer Disputes Redressal Commission	Thiruvananthapuram	Client has filed Consumer Complaint after receipt of Sec 34 Application challenging Appellate Arbitration Award
157	CC No. 15/22	Varghese Pathrose VS MOFSL	Civil Case	Consumer	2022	South	State Consumer Disputes Redressal Commission	Thiruvananthapuram	Client being aggrieved by Arbitration Award in favor of MOFSL has approached Consumer Forum for resolution of his dispute
158	CC No.273/2022	Chentamarakshan PV VS MOFSL	Civil Case	Consumer	2022	South	Consumer Redressal Commission	Kochi	Client filed consumer matter for claiming UT for the trades done before March 2018

159	CC No.304/2022	JANAKI M VS MOFSL	Civil Case	Consumer	2022	South	Consumer Dispute Redressal Commission	Kochi	Client claiming fraud in the form of UT for trades for the entire trade period
160	O.P. No. _____/2022	Showkathaly Shajahan VS MOFSL, ICICI Prudential Life Insurance Company Ltd	Civil Case	Consumer	2022	West	Hon'ble Permanent Lok Adalath	Ernakulam	Complainant has taken the service from the Respondent. Complainant has filed under section 22 (1) of Kerala State Legal Services Authority Act, 1987 and has prayed for a claim of Rs. 1, 04,752 from the Respondent No. 1
161	20/1667	Ranakben Yogeshkumar Parikh, Yogeshbhai Javharbhai Parikh VS MOFSL	Civil Case	Consumer	2021	West	District Consumer Forum, Ahmedabad, additional	Ahemdabad	Client has alleged UT in her account and have filed consumer case
162	FA/397/2021	MOFSL VS Sneha Sheela Ramachandran	Civil Case	Consumer	2021	South	State Consumer Disputes Redressal Commission	Thiruvananthapuram	Appeal is filed against the order dated 30.09.2021 passed by Consumer Disputes Redressal Forum, Kasaragod in C.C.No.55/2014



163	NA	Sunita Golecha (Investcare Securities- Jodhpur) VS MOFSL	Civil Case	Consumer	2020	West	State Commission , Rajasthan	Rajasthan	The complainant is alleging unauthorised trades and has stated that the square off done in her account was at a far low price and was illegal.
164	C.C. No. 369/2008	Mahe-e-Anjum VS MOFSL	Civil Case	Consumer	2020	East	District Consumer Forum Allahabad	Allahabad	The complainant is alleging unauthorised trades and has stated that the square off done in her account was at a far low price and was illegal.
165	CC. No. 174/2020	S. Sunil Kumar VS MOFSL	Civil Case	Consumer	2020	South	District Consumer Dispute Redressal Commission - Kollam	Kollam	Client being aggrieved by the Service filed case in Consumer Forum.
166	CC. No. 193/2020	K.M. Mathew VS MOFSL, Hedge Equities Limited	Civil Case	Consumer	2020	South	District Consumer Dispute Redressal Commission	Pathanamthitta	Client Claimed UT in his account.

167	Appeal No. 20/491	Jitendra Mahadev Gadre VS MOFSL	Civil Case	Consumer	2020	West	State Consumer Disputes Redressal Commission	Mumbai	District Commission dismissed client matter on limitation been aggrieved by said order appeal is preferred by client
168	Appeal no. 286/2015	Rajesh Nanji Shah VS NSDL , CDSL , MOFSL , M/s Integrated Enterprises	Civil Case	Consumer	2019	West	State Consumer Redressal Commission	Mumbai	National Commission has remanded back the matter to the State Commission.
169	C.C. No. 199 of 2018	Ms. Anthony Mary Arulraj VS MOFSL	Civil Case	Consumer	2018	South	State Consumer Forum, Bangalore	Bangalore	The client has alleged that trades were executed in her account without her consent and knowledge
170	Execution No. ___/2017	Sri. A.C. Kashi devaru VS MOFSL, IND Swift Labrotaries, M/S KARVY Stock brokers	Civil Case	Consumer	2017	South	Consumer Disputes Redressal Commission Mysuru	MYSURU	Complainant has filed Consumer Execution Application for Recovery of Amount passed in the Order dated 13-01-2017 by the Hon'ble Forum. We i.e. MOFSL are not a party to the Case.

171	First Appeal No. 286 of 2015 in Complaint NO. 117 OF 2011	National Securities Depository Limited VS MOSL, Rajesh Nanji Shah, M/s Central depository Services Ltd, M/s Intergrated Enterprises Ltd	Civil Case	Consumer	2015	West	Consumer Disputes Redressal Commission New Delhi	Mumbai	The Appellant has file the Appeal to setaside the order dated 23/01/2015 before Hon'ble District Forum
172	CC NO. 55/2014	S. Ramchandhandran VS MOFSL	Civil Case	Consumer	2014	South	District Consumer Dispute Redressal Forum Kasaragod	Kasaragod	The Complaint is filed challenging the unauthorized trades.
173	A.M. CM/D-0060/2012	Rahul Dave VS MOFSL	Civil Case	Consumer	2012	North	District consumer Redressal Forum, ShaJapur	Shajapur	Client's father's account was operated byu Mr. Rahul Maheshwari. The Client was opened the new account so as to transfer the shares from his father's account to his new account. The sub-broker failed to transfer the same.

174	137/2012	Naresh Sharma VS MOFSL	Civil Case	Consumer	2012	East	District consumer Disputes Redressal Forum, Muchipara, Burdwan	Burdwan	The complainant has challenged the order of the Haridwar Consumer Forum as the said order has been made ex-parte, we need to file appeal to set aside the said order and also need to represent in the present appeal filed against us at Deharadun Forum
175	Complaint No. 1035/11	Sandeep Singh VS MOFSL	Civil Case	Consumer	2011	North	District Consumer Forum at Amritsar	Amritsar	The client has alleged that he had applied for FPOs of the Powergrid Corporation of India. The said Application was made through MOSL. Whereas, due to wrong punching of the Application, the client nether received the shares nor he received the refund.
176	100/10	Anil Kumar Thakur VS MOFSL	Civil Case	Consumer	2010	East	District consumer Redressal Forum, Samastipur	Samastipur	The Client has alleged that an amount of Rs. 73764/- The client has alleged that MOSL not clear the Debit balance in his account. Consumer forum notice received by us on 10- Aug-10. For Argument



177	726/2010	Kanhaiya Agarwal VS MOFSL	Civil Case	Consumer	2010	West	District consumer Redressal Forum, Jaipur	Jaipur	The Client has alleged that 1525 shares sold without the consent of the client
178	C.C. No.A-176/2009	Ms. Ranjana Lakhe Rajesh Lohitkar VS MOFSL	Civil Case	Consumer	2009	West	Nagpur District Consumer Forum	Nagpur	The Consumer Complaint filed against MOSL for unauthorized trades.
179	504/2009	Akhileshwar prasad Sinha VS MOFSL	Civil Case	Consumer	2009	North	National Consumer Dispute Redressal Commission	NCDRC	consumer court Matter handled by the Franchisee
180	F.A No. 416/2009 CCNo. 223/2009	Sadiq Ali Khan VS MOFSL	Civil Case	Consumer	2009	North	National Consumer Dispute Redressal Commission	Delhi	consumer coomplaint before the district consumer dispute redressel Forum- krishna district Vijaywada between Md. Sadiq Ali Khan and MOSL
181	CC/68/2008	Pratima Mishra VS MOFSL	Civil Case	Consumer	2008	East	District Consumer Forum - Gorakhpur	Gorakhpur	The complainant has alleged the difference in margin shortage. The client claimed that shortage was nil before January 21 and it has not been considered by MOSL and scrip was sold.

182	CC/368/2008	Imtiaz Ahmad VS MOFSL	Civil Case	Consumer	2008	East	District Consumer Forum Allahabad	Allahabad	The complainant has alleged that the shares purchased by him were sold by MOSL without his consent and intimation at a far lower price thereby causing huge loss, for recovering of which the said complaint has been filed as violation of SEBI rules.
183	C.C. No. 370/2008	Ashok Kumar Singh VS MOFSL	Civil Case	Consumer	2008	East	District Consumer Forum Allahabad	Allahabad	The complainant has alleged that the shares purchased by him were sold by MOSL without his consent and intimation at a far lower price thereby causing huge loss, for recovering of which the said complaint has been filed as violation of SEBI rules.
184	CC/2008/1037	Vijayalaxmi Sarda VS MOFSL	Civil Case	Consumer	2008	West	District Consumer Disputes Redressal Forum, Surat	Surat	The complainant has alleged that certain shares were sold and purchased by MOSL without the complainants instructions, and is also alleging unauthorised trades in his account



185	Appeal No. 2823/07	Vijaya Choudhary VS MOFSL, M.R. Portfolio	Civil Case	Consumer	2007	North	M.P. State Consumer Disputes Redressal Commission at Bhopal.	Bhopal	The Complaint is filed challenging the unauthorized trades.
-----	--------------------	--	------------	----------	------	-------	--	--------	---