

NISM SERIES VII POLICY

SECURITIES OPERATIONS AND RISK MANAGEMENT CERTIFICATION

The NISM Series VII policy of the Company is approved by its Board vide Board Meetings dated 15th December 2010 and 5th September 2014.

Employees associated with Nidhi Broking Services Pvt Ltd who are involved in, or deal with, any of the below mentioned functions:

- (a) Assets or funds of investors or clients,
- (b) Redressal of investor grievances,
- (c) Internal control or risk management, and
- (d) Activities having a bearing on operational risk

shall be required to have a valid certification from the National Institute of Securities Markets (NISM) by passing the NISM-Series-VII: Securities Operations and Risk Management Certification Examination.

The said associated persons should obtain valid certification within one year from the date of their employment.

Requirement of passing of **NISM Series VII - Securities Operations and Risk Management Certification** exam would be optional for associated persons handling the following basic clerical/elementary functions in the above stated areas and whose work is supervised by NISM Series VII -Securities Operations and Risk Management Certification certified personnel:

Activities falling under basic elementary level/clerical level

A. Internal control or risk management

1. Inwarding of collateral's/cheques
2. Person performing maker entries
3. Maker entry in the database
4. Photocopying, printouts, scanning of documents
5. Preparing of MIS
6. Sending of letters/reports to clients, Exchanges, SEBI
7. Attending calls, etc.

B. Redressal of investor grievances

1. Inwarding of complaints,
2. Seeking documents from clients
3. Person performing maker entries
4. Maker entry in the database
5. Photocopying, printouts, scanning of documents
6. Preparing of MIS
7. Sending of letters/reports to clients, Exchanges, SEBI Updation, data entry, uploading on SCORES.
8. Attending calls, etc.

C. Activities having a bearing on operational risk and dealing with assets or funds of investors or clients

1. Person performing maker entries
2. Maker entry in the database
3. Preparing MIS
4. Generating reports, Files
5. Photocopying, printouts, scanning of documents
6. Dispatching documents to clients
7. Sending of letters/reports to clients, Exchanges, SEBI
8. Attending calls, etc.
