

NISM-Series-VII: Securities Operations and Risk Management Certification Examination

REF: Circular Ref. No.: 198/2014 & Download Ref. No.: NSE/INSP/27495 issued by NSE on September 2, 2014, regarding certification on Securities Operations and Risk Management Certification Examination – NISM Series VII

As per the said guidelines, persons associated with a registered stock-broker/trading member/clearing member who are involved in, or deal with, any of the below mentioned functions are required to have a valid NISM Series VII Certification:

- (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,

Our Board has approved to ensure the compliance of possessing the NISM Series VII - Securities Operations and Risk Management Certification all the time.