

INTERNAL POLICY
ON
APPLICABILITY
OF
NISM SERIES VII-SORM CERTIFICATION

INTRODUCTION

SEBI notification no. LAD-NRO/GN/2010-11/21/29390 published in the Gazette of India on December 10, 2010 and the Exchange circular NSE / INSP / 16536 dated December 15, 2010, Exchange circular NSE / INSP/27495 September 2, 2014, persons associated with a registered stockbroker / trading member/clearing member who are involved in, or deal with in specified functioned functions are required to have a valid NISM Series VII Certification.

Ganesh Stockinvest Private Limited (refereed herein as “**Ganesh Stock**”) has internal policy on applicability of NISM series VII-SORM certification

OBJECTIVES

Ganesh Stock conducts its business to ensure to have Internal control or risk management, redressal of investor grievances, activities having a bearing on operational risk and dealing with assets or funds of investors or clients.

APPLICABILITY

Ganesh Stock enforce the above circular in the following areas/ activities for the better/ effective management:-

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.

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.

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.

For Ganesh Stockinvest Private Limited

Sd/-

Director

