



NAM SECURITIES LTD.

**MEMBER : NSE (CM & FO & SX Segments)
F & O Clearing, BSE, MCX, DSE DP : NSDL**

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FAX: 23730010 Email: namf@yahoo.com**

Securities Operation & Risk Management (SORM)

Brief : Exchange circular NSE/INSP/16536 dated December 15, 2010, NSE/INSP/27495 dated September 2, 2014 according to which, following categories of associated persons i'e' persons associated with a registered stock broker / trading member / clearing member in any recognized stock exchanges, who are involved in, or deal with any of the following

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

Shall be required to have a valid certificate of NISM Series VII - Operation & Risk Management (SORM) from National Institute of Market (NISM).

Definition of Associated Person:

"Associated Person" means a principal or employee of an intermediary or an agent or distributor or other natural person engaged in the securities business and includes an employee of a foreign Institutional investor or a foreign venture capital investor working in India.

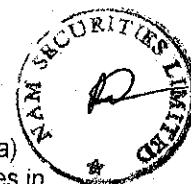
As required in the aforesaid Circulars, Our employee Mr. Pradeep Kumar associated with Nam Securities Limited deal with :

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

Has obtain the valid certification of NISM Series VII - Securities Operation and Risk Management (SORM)

Exemption

Associated persons handling the basic clerical / elementary functions in the aforesaid specified areas shall be exempted from obtaining the certification of



NISM Series VII - Securities Operation and Risk Management (SORM). For this purpose, the company considers following activities as basic elementary level / clerical level.

Sr. No	Internal Control or Risk Management.	Redressal of Investor Grievances	Activities having a being on operational risk and dealing with assets of funds of investors of clients
1	Inward or collateral's / Cheques	Inward of complaints	Person performing maker entries Person performing maker entries.
2	Person performing market entries	Seeking documents from clients	Maker entry in the database
3	Maker entry in the database	Person performing maker entries	Preparing of MIS
4	Photocopying, printouts, scanning of documents	Maker entry in the database	Generating of reports, Files
5	Preparing of MIS	Photocopying, printouts, scanning of documents	Photocopying, printouts, scanning of documents
6	Sending of letters / reports to clients, Exchanges, SEBI	Preparing of MIS	Dispatching documents to clients
7	Attending Calls, etc.	Sending of letters / reports to clients, Exchanges, SEBI updating, data entry, uploading on SCORES	Sending of letters / reports to clients, Exchanges, SEBI
8	--	Attending calls, etc	Attending calls, etc

Thanking You,
For: Nam Securities Limited

Kiran Goyal
Kiran Goyal
(Managing Director)

