

ISO 9001 : 2015 Certified



**CIN:** U67120GJ1994PLC023257  
**MEMBER:** NATIONAL STOCK EXCHANGE OF INDIA LIMITED (MEM ID-07590)  
BOMBAY STOCK EXCHANGE LIMITED (MEM ID- 943)  
**DEPOSITORY:** NATIONAL SECURITIES DEPOSITORY LTD. DPID IN 300343  
**SEBI SINGLE REGN NO:** Trading- INZ000167335, DEMAT-IN-DP-465-2020  
**CERTIFIED:** ISO 9001:2015 Certified | ISO 27001:2022 Certified

Document on  
Securities Operation and Risk Management (SORM)  
Policy

SHAH INVESTOR'S HOME LTD

18<sup>th</sup> December, 2023



## SECURITIES OPERATION AND RISK MANAGEMENT (SORM) POLICY

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### **Internal Policy in respect of passing of NISM-Series –VII: Securities Operation and Risk Management Certification Examination**

#### **Brief**

As per SEBI circulars person involved in or deal with, any of the following, namely:-

- (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

#### **Internal Control or Risk Management**

1. Checking of collateral's / Cheques posted by accounts staff.
2. Dealing with reports for collaterals and allocations.

#### **Redressal of Investor Grievances**

1. Inwarding of complaints
2. Seeking documents from clients
3. Preparing of MIS
4. Sending of letters / reports to clients, Exchanges, SEBI updation, data entry, uploading on SCORES

#### **Activities having a being on operational risk and dealing with assets of funds of investors of clients**

1. Person performing maker/ checker entries for funds
2. Inwarding of Collaterals
3. Generating of reports, Files
4. Sending of reports to clients, Exchanges, SEBI

However, any of the works (as stated herein above) being performed by such persons, obtaining, NISM-SORM Certification shall be optional provided that they are supervised by his / her supervisor who shall have to obtain / continue to have NISM – SORM Certification or such other prescribed certification at all times.