

Member of : Bombay Stock Exchange • National Stock Exchange • Central Depository Services (India) Ltd.
Shree Naman Securities And Finance Pvt Ltd.

NISM Series VII Policy

The NISM Series VII - Securities Operations and Risk Management Exam is technically a very important exam conducted by the National Institute of Securities Market. The examination seeks to create a common minimum knowledge benchmark as the requisite standard for associated persons of a registered stock-broker / trading member/ clearing member in recognized stock exchanges, involved in (a) assets or funds of investor or clients (b) redressal of investor grievances, (c) internal control or risk management and (d) activities having a bearing on operational risk. NISM / SEBI has notified that this exam is the basic requirement for any person to be associated with a registered Stock Broker in recognized stock exchanges.

Examination Objectives

On successful completion of the examination the candidate should:

- Know the basics of the Indian securities market, the different products traded and the various market participants and the respective roles they play in the Indian securities market.
- Understand the regulatory framework and the role of the Securities Exchange Board of India.
- Know the various functions of the Front Office, Middle Office and Back Office in a Securities Broking Firm.
- Understand the trade life cycle, the steps and participants involved in the trade life cycle and the role of the back office in a securities broking firm.
- Understand how the risks are managed in a securities broking firm, the clearing and settlement process.
- Understand the process of investor grievances redressal.

For Shree Naman Securities and Finance Pvt. Ltd.



(Director / Authorised Signatories)

