

Internal Policy in respect of Securities Operation and Risk Management (SORM Policy)

As required in the SEBI Notification no. LAD-NRO/GN/2010-11/21/29390 dated December 10, 2010, all existing persons associated with the Company as on date of publication and engaged in dealing with:

- (a) Assets of 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 obtain the valid certification of NISM Series VII - Securities Operation and Risk,Management (SORM) within two years from the date of such notification. Simultaneously whenever the company employs any associated person specified as mentioned above, the said associated person shall obtain valid certification of NISM Series VII – Securities Operation and Risk Management (SORM) within one year from the date of his /her employment/registration as sub-broker.

Accordingly, The Company has authorized Mr. Raju Yengul to handle these functions and instructed to comply with the certification requirement.