

**NISM-Series-VII: Securities Operations and Risk Management Certification Examination**  
**V.03.20.01**

We declare that, we are following said guidelines mentioned in SEBi and Exchange's circulars , persons associated with a registered stock-broker/trading member/clearing member who are involved in, or deal with, any of the below mentioned functions are required to have a valid NISM Series VII Certification:

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

Therefore, we are having department wise certification like compliance team, customer support team , Account team, DP Team and operational staff as per their designation and work profile.

**For LKP Securities Limited.**