

WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED

**POLICY ON NISM SERIES VII CERTIFICATION**

<b>Policy Version</b>	1.0
<b>Effective Date</b>	25.03.2026
<b>Review Frequency</b>	Annually or upon regulatory change
<b>Prepared By</b>	Compliance Department
<b>First Approval</b>	Operations Committee
<b>Final Approval</b>	Internal Committee/ Board of Directors

**Wealthstreet Financial Services Private Limited**

*Formerly Known as Wealthstreet Advisors Private Limited*

**CIN: U74999GJ2016PTC094432**

**Regd. Off :** A-1101, Mondeal Heights, 11th Floor, Besides Wide Angle, S.G Highway, Ahmedabad-380015

**P :** +91 79 66775500 • **E :** info@wealthstreet.in • **W :** www.wealthstreet.in



## **1. Regulatory Framework**

This Policy is framed in accordance with the requirements prescribed by the Securities and Exchange Board of India and the certification framework administered by the National Institute of Securities Markets, including the provisions of the SEBI (Certification of Associated Persons in the Securities Markets) Regulations, 2007, and the SEBI (Stock Brokers) Regulations, 1992, along with relevant circulars issued by stock exchanges from time to time.

## **2. Objective and Applicability**

The objective of this Policy is to ensure that all employees and Associated Persons engaged in trading, dealing, operations, risk management, or any client-facing activity possess valid and appropriate certification, particularly the NISM Series VII – Securities Operations and Risk Management Certification, as may be mandated under applicable regulations. This Policy applies to all such personnel, including Authorized Persons and any individual performing functions that require regulatory certification.

## **3. Certification Requirement**

The Company shall ensure that no person undertakes any activity in the securities market that requires certification unless such person holds a valid and subsisting NISM certification as prescribed. Certification shall be obtained prior to the assignment of duties, and the validity of such certification shall be maintained at all times during the tenure of employment or association with the Company. Any lapse in certification shall result in immediate restriction from performing regulated activities until such certification is renewed.

## **4. Monitoring and Compliance**

The Compliance Department shall maintain a centralized record of all certifications and shall continuously monitor their validity through appropriate systems and controls. Adequate mechanisms, including periodic reviews and advance alerts, shall be implemented to ensure timely renewal of certifications and to prevent any regulatory lapses. The Company shall ensure that such records are readily available for inspection by regulators and stock exchanges.

## **5. Responsibility and Accountability**

All employees and Associated Persons shall be individually responsible for obtaining and renewing their certification within the prescribed timelines and for providing valid proof thereof to the Compliance Department. The Company, through its Compliance and HR functions, shall facilitate the certification process and ensure that no uncertified person is permitted to carry out regulated activities.

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## **6. Non-Compliance**

Any instance of non-compliance with the certification requirements shall be treated as a serious regulatory breach. The Company shall take appropriate action, which may include suspension of trading or dealing rights, disciplinary measures, and reporting to regulatory authorities wherever required.

## **7. Training and Awareness**

The Company shall promote awareness regarding certification requirements and regulatory updates through periodic training and internal communication, ensuring that all relevant personnel remain adequately informed and compliant.

## **8. Review of Policy**

This Policy shall be reviewed periodically, at least on an annual basis or as and when required due to changes in regulatory requirements or business operations. Any amendments shall be approved by the Board of Directors or the designated committee.

## **9. Conclusion**

The Company remains committed to maintaining high standards of professional competence and regulatory compliance by ensuring that all Associated Persons are duly certified in accordance with applicable laws, thereby safeguarding investor interests and maintaining the integrity of the securities market.

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