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Study Notes for NISM Series VII : Securities Operations & Risk Management (SORM)

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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q15-Q20):

NEW QUESTION # 15

Every Depository Participant (DP) is required to abide by a specific Code of Conduct. Which regulation explicitly specifies this Code of Conduct in its Third Schedule?

- **A. SEBI (Depository & Participants) Regulations, 2018**
- B. Depositories Act, 1996
- C. SEBI (Prohibition of Insider Trading) Regulations, 2015
- D. SEBI (Intermediaries) Regulations, 2008
- E. SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Answer: A

Explanation:

Every DP shall abide by the Code of Conduct as specified in Part A of Third Schedule of SEBI (Depository Participant) Regulation, 2018 and other guidelines specified by SEBI/Depository from time to time.

NEW QUESTION # 16

Clearing Members are required to provide an irrevocable authorization to their Clearing Bank regarding the operation of their clearing accounts. What constitutes the specific scope of this authorization concerning the Clearing Corporation's access?

- A. To audit the member's proprietary trading books and freeze accounts in case of high volatility.
- **B. To debit and credit the clearing accounts as per instructions and report balances/information to the Clearing Corporation.**
- C. To allow the Clearing Bank to use the idle funds in the clearing account for its own treasury operations.
- D. To automatically convert funds into approved securities if the balance exceeds a specified threshold.
- E. To transfer funds between the Cash and Derivatives segments without specific instructions from the Clearing Corporation.

Answer: B

Explanation:

Clearing members must irrevocably authorize the Clearing Bank to allow the Clearing Corporation to access their clearing accounts for debiting and crediting as per instructions, and for reporting of balances and other information as required by the Clearing Corporation.

NEW QUESTION # 17

For stock brokers providing Algorithmic Trading facilities, SEBI has mandated specific controls and audit requirements. Which of the following combinations correctly specifies the server location requirement and the frequency of system audits?

- A. Server Location: Any global location; Audit Frequency: Annually
- B. Server Location: Co-location facility only; Audit Frequency: Quarterly
- C. Server Location: Broker's registered office only; Audit Frequency: Every two years
- **D. Server Location: India; Audit Frequency: Every six months**
- E. Server Location: India; Audit Frequency: Once at the time of approval

Answer: D

Explanation:

SEBI has advised stock exchanges to ensure that 'all algorithmic orders are necessarily routed through broker servers located in India'. Furthermore, 'The stock brokers that provide the facility of algorithmic trading shall subject their algorithmic trading system to a system audit every six months'.

NEW QUESTION # 18

Regarding the 'Block Mechanism in demat account of clients undertaking sale transactions', what happens if the sale transaction is not executed or is unmatched?

- A. The shares remain blocked until the payout date of the next settlement cycle.
- B. The client must manually submit an unblocking request to the Depository Participant on T+1 day.
- C. The Clearing Corporation uploads cancellation of Block instruction on T day, and securities are unblocked and become free in the client's demat account on T day itself.
- D. The shares are auctioned by the Clearing Corporation to recover the blockage fees.
- E. The shares are transferred to the Clearing Member's pool account and then returned to the client.

Answer: C

Explanation:

In case of unmatched orders, CCs shall upload cancellation of Block instruction on T day so that securities are unblocked and become free in client's demat account on T day itself. If the sale is not executed, shares shall continue to remain in the client's demat account and will be unblocked at the end of the T day.

NEW QUESTION # 19

Who is the 'Relevant Authority' empowered to decide on actions such as disciplinary actions or withdrawal of trading facility when a clearing member fails to discharge settlement dues?

- A. The Depository Participant (DP)
- B. The Securities Appellate Tribunal (SAT)
- C. The Reserve Bank of India (RBI)
- D. The Relevant Authority (of the Exchange/Clearing Agency)
- E. The Association of Mutual Funds in India (AMFI)

Answer: D

Explanation:

The text states that the failure shall render the member liable for actions 'as may be decided by the Relevant Authority.'

NEW QUESTION # 20

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