최신버전NISM-Series-VII시험대비덤프최신샘플덤프데모문제

참고: Itcertkr에서 Google Drive로 공유하는 무료, 최신 NISM-Series-VII 시험 문제집이 있습니다: https://drive.google.com/open?id=1n-UgGh1d75V7ryloe8V3p4diyv5OrLBA

Itcertkr는 많은 분들이 NISM NISM-Series-VII인증시험을 응시하여 성공하도록 도와주는 사이트입니다. Itcertkr 의 NISM-Series-VII덤프는 모두 엘리트한 전문가들이 만들어낸 만큼 시험문제의 적중률은 아주 높습니다. 거의 100%의 정확도를 자랑하고 있습니다. 아마 많은 유사한 사이트들도 많습니다. 이러한 사이트에서 학습가이드와 온라인서비스도 지원되고 있습니다만 Itcertkr 는 이미 이러한 NISM-Series-VII 사이트를 뛰어넘은 실력으로 업계에서 우리만의 이미지를 지키고 있습니다. Itcertkr 는 정확한 문제와 답만 제공하고 또한 그 어느 사이트보다도 빠른 업데이트로 여러분의 인증시험을 안전하게 패스하도록 합니다.

NISM NISM-Series-VII Exam Syllabus Topics:

Section	Objectives
Topic 1: Securities Market Operations	- Market participants and structure • 1. Order types and trading mechanism basics • 2. Roles of brokers, exchanges, and investors - Trading process • 1. Order execution and trade lifecycle • 2. Trade confirmation and reporting
Topic 2: Clearing and Settlement	- Settlement systems • 1. T+1/T+2 settlement cycles • 2. Margining and risk adjustments - Clearing mechanisms • 1. Netting and settlement obligations • 2. Clearing corporations and counterparties
Topic 3: Risk Management in Securities Markets	- Market and operational risk • 1. Types of financial risks • 2. Operational risk controls - Risk mitigation systems • 1. Margins and collateral systems • 2. Surveillance and compliance mechanisms

Topic 4: Depository Operations	- Corporate actions • 1. Record dates and entitlement processing • 2. Dividends, bonuses, splits - Demat account framework • 1. NSDL and CDSL roles • 2. Account opening and maintenance

NISM-Series-VII시험대비 덤프 최신버전, NISM-Series-VII인증시험 덤프문제

최신 National Institute of Securities Markets NISM-Series-VII 무료샘플문제 (Q259-Q264):

질문 # 259
While the Securities and Exchange Board of India (SEBI) is the primary regulator for the securities market, certain powers under the Securities Contracts (Regulation) Act (SCRA) are exercised concurrently by the Reserve Bank of India (RBI). For which of the following instrument types is this concurrent jurisdiction explicitly applicable?

- A. Equity Derivatives settled physically
- B. Ready forward contracts in debt securities
- C. Infrastructure Investment Trusts (InvITs)
- D. Real Estate Investment Trusts (REITs)
- E. Commodity Derivatives

정답： B

설명：
The powers in respect of contracts for sale and purchase of securities, gold related securities, money market securities, securities derived from these securities, and ready forward contracts in debt securities are exercised concurrently by the RBI.

질문 # 260
When a stock broker undertakes 'Video In-Person Verification' (VIPV) for client on-boarding through a digital medium, which of the following operational conditions must be strictly ensured?

- A. The VIPV process can be fully automated using Artificial Intelligence without the need for any authorized official's interaction.
- B. The VIPV recording is optional if the client provides a digitally signed self-declaration.
- C. The client is not required to display the officially valid document in the video if Aadhaar e-KYC is used.
- D. The VIPV must be conducted offline and the recording uploaded to the KRA system later.
- E. The intermediary shall ensure that the photograph downloaded through the Aadhaar authentication process matches with the investor in the VIPV.

정답： E

설명：
The source states that for VIPV: 'The intermediary shall ensure that photograph of the client downloaded through the Aadhaar authentication / verification process matches with the investor in the VIPV.' Also, the VIPV must be in a live environment, and

include random questions/responses.

질문 # 261
Under the 'Framework for Adoption of Cloud Services by SEBI Regulated Entities (REs)', which of the following statements correctly describes the permissibility of different cloud deployment models?

- A. Community cloud models are treated as 'other cloud models' and are currently prohibited unless explicitly permitted.
- B. Private cloud is considered an on-premise deployment and is governed by general SEBI circulars (cyber security, outsourcing) rather than the specific cloud framework.
- C. Public cloud is strictly prohibited for all SEBI Regulated Entities due to data localization concerns.
- D. RES are mandated to use only Community Cloud models hosted within the International Financial Services Centres (IFSC).
- E. Hybrid cloud deployments are prohibited as they combine public and private clouds, creating security vulnerabilities.

정답：B

설명:
The framework clarifies that a Private Cloud shall be considered as an on-premise deployment and consequently, private cloud deployments shall be governed by SEBI circulars (e.g., cyber security, outsourcing, BCP-DR) issued from time to time, and may not be governed by the specific cloud framework. Public, Community, and Hybrid clouds are permitted subject to conditions.

질문 # 262
Select the correct statements regarding the regulations and procedures governing the auction of securities and handling of proceeds by the Clearing Corporation. (Select all that apply)

- A. If the auction seller fails to deliver on the auction pay-in day, the deal is closed out at the standard valuation price of the T+1 day.
- B. In no case shall the auction be held beyond a period of one week from the pay-in day of the settlement in which the contract was entered into.
- C. The auction for undelivered quantities can be held multiple times for the same settlement until the full quantity is procured.
- D. The members participating in the auction session as sellers are required to deliver the shares to the Clearing Corporation on or before the auction pay-in day, which is the subsequent day.
- E. Any amount remaining from the proceeds of an Auction or Close-out, after settling the aggrieved party's claim, is credited to the Core Settlement Guarantee Fund (Core SGF).

정답：B,D,E

설명:
Option B is correct: 'In no case the auction shall be held beyond a period of one week from the pay-in day'. Option D is correct: 'Any amount remaining thereof should be credited to the Core Settlement Guarantee Fund... instead of crediting it to the defaulting party's account'. Option E is correct: 'Members participating in the auction... are required to deliver the shares... on or before the auction pay-in day, i.e., subsequent day'. Option A is incorrect as auctions are generally held once unless specially approved. Option C is incorrect because auction seller defaults are closed out at the highest price or 20% over the closing price, not the valuation price.

질문 # 263
Stock Exchanges are required to maintain Investor Service Centres (ISCs) to assist investors. Which of the following facilities is mandatorily required to be provided at all ISCS according to SEBI guidelines?

- A. A banking counter for immediate disbursement of Investor Protection Fund claims.
- B. Arbitration and appellate arbitration facility including video-calling facility.
- C. A dedicated legal aid clinic with free lawyers for filing civil suits.
- D. A library containing all annual reports of listed companies for the last 10 years.
- E. A direct hotline to the Ministry of Finance.

정답：B

설명:

SEBI has advised Exchanges to provide certain minimum facilities in ISCs, which includes arbitration and appellate arbitration facility at all ISCS including video-calling facility to investors for attending their online arbitration or Grievance Redressal meetings.

질문 # 264

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