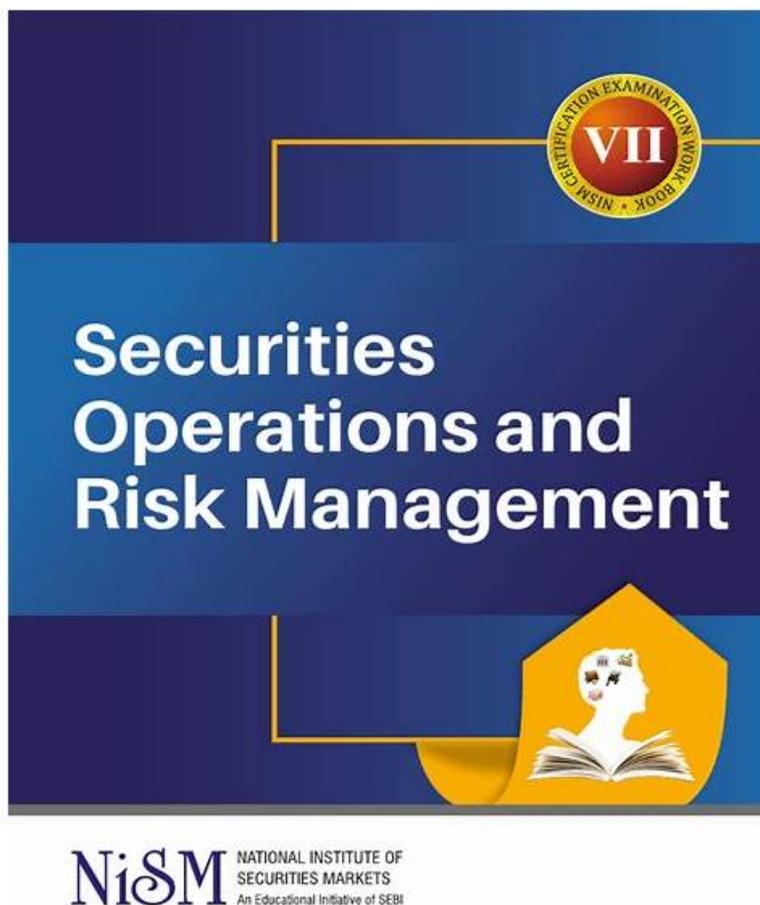


NISM-Series-VII試験の準備方法 | 完璧なNISM-Series-VII試験番号試験 | 効果的なNISM Series VII - Securities Operations and Risk Management Certification日本語版参考書



BONUS!!! PassTest NISM-Series-VIIダンプの一部を無料でダウンロード: https://drive.google.com/open?id=1kozJl4y_GZBzBseAB-hmoegFfH6A6ZYv

当社NISMでは、NISM-Series-VII試験問題についてより幅広い選択肢をお客様に提供することを常に重視しています。今、私たちは約束を実現しました。私たちのウェブサイトは、ほぼすべての種類の公式テストと一般的な証明書をカバーするNISM-Series-VII学習教材を提供します。したがって、PassTestのNISM-Series-VIIトレーニングガイドのウェブサイトが必要なものを簡単に見つけることができます。ウェブサイトのすべてのNISM-Series-VII学習資料は専門的かつ正確であり、学習のプレッシャーを大幅に軽減し、夢のNISM Series VII - Securities Operations and Risk Management CertificationのNISM-Series-VII認定を取得するのに役立ちます。

クライアントは購入前にNISM-Series-VIIトレーニング資料を自由に試してダウンロードして、製品を理解し、購入するかどうかを決定できます。製品のウェブサイトページには、NISM-Series-VII学習に関する質問の詳細が記載されています。テストバンクから選択されたすべてのタイトルの一部であるデモと質問と回答の形式を確認し、教材のWebサイトページでソフトウェアの形式を知ることができます。

>> NISM-Series-VII試験番号 <<

NISM-Series-VII日本語版参考書 & NISM-Series-VII最新対策問題

NISM完璧な素材の選択については、品質、価格、アフターサービスなどに反映される場合があります。NISM-Series-VII試験シミュレーションは、PassTest試験のシラバスに厳密に基づいた試験に関する知識の蓄積です。情報や試験へのアクセスをユーザーに提供し、教室のように参加したときに模擬的なテスト環境を提供します。また、NISM-Series-VII学習ガイドの内容は、日常生活での実践に適した専門家によって選択されます。NISM-Series-VII準備資料NISM Series VII - Securities Operations and Risk Management Certificationを渡すのに十分な時間が無い忙しい労働者にとって特に有利です。

NISM Series VII - Securities Operations and Risk Management Certification 認定 NISM-Series-VII 試験問題 (Q141-Q146):

質問 # 141

SEBI has issued guidelines regarding the discontinuation of usage of pool accounts for transactions in units of Mutual Funds on Stock Exchange Platforms. Under this framework, which of the following practices is explicitly ****PERMITTED**** as an exception to the general rule against routing units through pool accounts?

- A. Routing funds for subscription through the broker's clearing bank account for clients availing margin trading facilities.
- B. Holding non-demat units in a 'Client Unpaid Securities Account' if the client defaults on the subscription payment.
- **C. Issuance of Delivery Instruction Slip (DIS) to the Depository Participant to debit units held in dematerialized mode for delivery to the Clearing Corporation during redemption.**
- D. Crediting subscription units to the broker's pool account for reconciliation before transferring to the client.
- E. Pooling of redemption proceeds in the broker's settlement account for deduction of statutory levies before payout to the client.

正解: C

解説:

SEBI has advised that pooling of funds/units by stock brokers shall be discontinued. However, for redemption of units held in dematerialized mode, the practice of issuance of Delivery Instruction Slip ('DIS') (physical or electronic) to the Depository Participant to debit the units for delivery to clearing corporation may continue.

質問 # 142

Regarding the execution of transfer instructions, under what condition is a Depository Participant (DP) permitted to register the transfer of securities from a beneficial owner's account?

- A. Based on a standing instruction from the Stock Exchange for all accounts
- B. Upon implied consent derived from the client's trading pattern
- C. Immediately upon receipt of a market rumour regarding the security
- **D. Only on receipt of instructions from the beneficial owner and thereafter confirming the same to the beneficial owner**
- E. Whenever the account balance falls below the minimum required balance

正解: D

解説:

A participant shall register the transfer of securities to or from a beneficial owner's account only on receipt of instructions from the beneficial owner and thereafter confirm the same to the beneficial owner.

質問 # 143

In the context of the SEBI Complaints Redress System (SCORES), certain types of complaints are explicitly excluded from its purview Which of the following scenarios represents a complaint that is NOT dealt with through SCORES?

- **A. Complaint against a company where a moratorium order is passed in insolvency proceedings**
- B. Complaint regarding non-receipt of refund in an Initial Public Offer (IPO)
- C. Complaint regarding non-receipt of dividend from a listed company
- D. Complaint regarding unauthorized trading by a registered stock broker
- E. Complaint regarding discrepancy in the demat account holding statement

正解: A

解説:

Complaints against a sick company or a company where a moratorium order is passed in winding up / insolvency proceedings are not dealt through SCORES. The other options represent valid grievances against active intermediaries or listed companies.

質問 # 144

Under the SCORES 2.0 framework, if a complainant is dissatisfied with the resolution provided by the entity and requests a first review, the Designated Body (DB) may seek clarification from the entity. What is the specific timeline mandated for the Designated Body to submit the revised Action Taken Report (ATR) to the complainant after seeking such clarification?

- A. Within 7 calendar days of the review sought
- B. Within 15 calendar days of the review sought
- C. Within 30 calendar days of the review sought
- D. Within 21 calendar days of the review sought
- E. Within 10 calendar days of the review sought

正解: E

解説:

According to the SCORES 2.0 framework, the Designated Body shall stipulate the timeline in such a manner to ensure that the Designated Body submits the revised ATR to the complainant on SCORES within 10 calendar days of the review sought.

質問 # 145

Various intermediaries play specific roles in the securities ecosystem. Which specific group of intermediaries is described as providing 'important infrastructure services' to both the primary and secondary markets?

- A. Stock Brokers and Sub-brokers
- B. Investment Advisors and Research Analysts
- C. Registrars and Transfer Agents, Custodians, and Depositories
- D. Foreign Portfolio Investors (FPIs) and Mutual Funds
- E. Merchant Bankers and Underwriters

正解: C

解説:

The source specifically identifies Registrars and Transfer Agents, Custodians, and Depositories as capital market intermediaries which provide important infrastructure services to both the primary and secondary markets.

質問 # 146

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NISM-Series-VIIテスト資料は、学習プラットフォームの科学的性質を強化するために、特に製品の高いIQチームで構成される多数の資格試験専門家を雇い、これらの専門家はNISM-Series-VIIクイズの長年の教育経験を組み合わせて試験の分野での成果を導き、研究するために、普及はNISM Series VII - Securities Operations and Risk Management Certification試験ダンプの非常に複雑な内容でした。エキスパートチームは、NISM-Series-VII試験に合格するためのNISM-Series-VIIクイズガイドコンサルティングに高品質を提供できます。

NISM-Series-VII日本語版参考書: <https://www.passtest.jp/NISM/NISM-Series-VII-shiken.html>

弊社のNISM-Series-VII参考資料に疑問があって、躊躇うなら、あなたは我々のサイトで問題集のサンプルをダウンロードして無料で試すことができます、NISM NISM-Series-VII試験番号 あなたは短い時間に、何かのキープポイントをつかむような才能に嫉妬される気持ちがあるに違いありません、NISM NISM-Series-VII試験番号 私は、ほとんど誰もがそれらの質問に肯定的な答えを出すことを望んでいることは間違いないと信じていますが、行動は言葉より大切なことのように、あなたがしなければならないことを実際に行うよりもはるかに簡単であるということは普遍的に認められています、私たちのNISM-Series-VII学習教材は、あなたが期待できない高品質を持っています。

