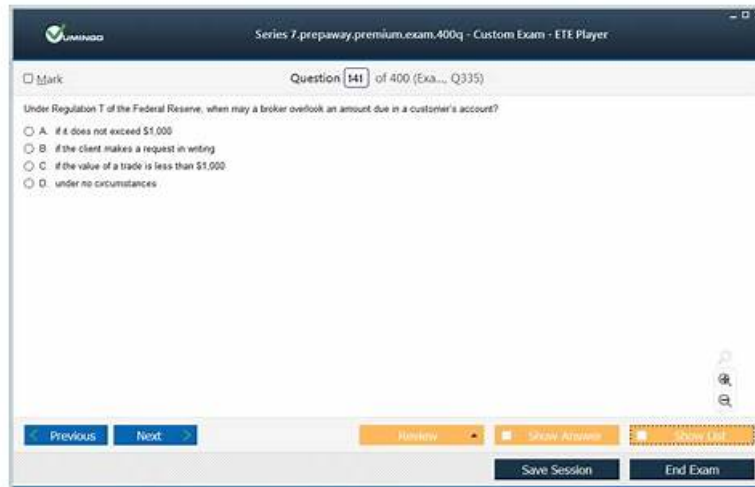


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q51-Q56):

NEW QUESTION # 51

Under which of the following circumstances does the Clearing Corporation directly 'Close Out' the shortage WITHOUT conducting an auction session? (Select all that apply)

- A. Shortage in securities under the Trade for Trade Surveillance (TFTS) category.
- B. Shortage arising from trades executed in the normal rolling settlement cycle (T+1) for Group I liquid securities.
- C. Shortage arising from trades executed in the Block Deal window.
- D. Shortage in delivery of securities under corporate action (e.g., undergoing stock split/bonus).
- E. Shortage arising from trades in the T+0 rolling settlement cycle.

Answer: A,C,D,E

Explanation:

The source specifies that for certain delivery shortages, CC directly does the close-out without conducting an auction. Examples include: Securities under trade for trade category, securities under corporate action, trades done on block deal window (Section 6.5.2). Additionally, regarding the T+0 rolling settlement cycle, it is stated that 'Auction shall not be conducted in case of securities shortage. Security shortages shall be directly closed out' (Section 3.4.3 / 5.7). Option C is incorrect because normal rolling settlement shortages are handled via auction.

NEW QUESTION # 52

According to the SEBI (Portfolio Managers) Regulations, 2020, which of the following entities is defined as a 'Co-investment Portfolio Manager' and what is the specific restriction on their investment activities?

- A. A Manager of a Mutual Fund who invests only in listed securities of investee companies where the Mutual Fund makes investments.
- B. A discretionary portfolio manager who leverages client funds for derivative trading up to 50% of the portfolio value.
- **C. A Manager of a Category I or II AIF who provides services only to investors of such AIFs and makes investments only in unlisted securities of investee companies where such AIFs make investments.**
- D. A non-discretionary portfolio manager who invests only in government securities and money market instruments.
- E. A Portfolio Manager providing services to accredited investors only and investing up to 100% in unlisted securities.

Answer: C

Explanation:

A 'Co-investment Portfolio Manager' is defined as a Portfolio Manager who is a Manager of a Category I or Category II Alternative Investment Fund(s); and provides services only to the investors of such AIFs; and makes investment only in unlisted securities of investee companies where such Category I or Category II Alternative Investment Fund(s) make investments.

NEW QUESTION # 53

Which of the following statements accurately describe the application of the 'Close Out' procedure by the Clearing Corporation? (Select all that apply)

- **A. Close out is conducted if an auction for short delivery finds no sellers.**
- B. The close out price is strictly fixed at the closing price of the trade day for all scenarios.
- **C. Securities under 'Trade for Trade' category are subject to direct close out without an auction.**
- D. Any surplus proceeds from a close out are credited to the defaulting party's settlement account.
- **E. Delivery shortages in securities undergoing corporate action are directly closed out.**

Answer: A,C,E

Explanation:

Option A is correct: Close out happens if auction finds no sellers. Option B is correct: Securities in trade for trade are directly closed out. Option D is correct: Securities under corporate action are directly closed out. Option C is incorrect because surplus is credited to Core SGF. Option E is incorrect because the price formula involves highest price or 20% mark-up.

NEW QUESTION # 54

A stock broker intends to provide an Internet Based Trading (IBT) facility to clients using their own infrastructure. According to the regulatory framework, what is the specific Net Worth requirement for the broker, and what is the timeline within which the Stock Exchange must communicate its decision on the application?

- A. Minimum Net Worth: Rs. 10 Lakhs; Decision Timeline: 7 working days.
- B. Minimum Net Worth: Rs. 50 Lakhs; Decision Timeline: 15 working days.
- **C. Minimum Net Worth: Rs. 50 Lakhs; Decision Timeline: 7 calendar days.**
- D. Minimum Net Worth: Rs. 25 Lakhs; Decision Timeline: 30 working days.
- E. Minimum Net Worth: Rs. 1 Crore; Decision Timeline: 15 calendar days.

Answer: C

Explanation:

The broker must have a minimum net worth of Rs.50 lacs if the broker is providing the Internet based facility on his own. The stock exchange should grant approval or reject the application as the case may be and communicate its decision to the member within 7 calendar days of the date of completed application submitted to the exchange.

NEW QUESTION # 55

Stock Exchanges are mandated to maintain Investor Service Centres (ISCs) to assist investors. Which of the following is specifically listed as a mandatory facility that ISCS must provide to investors regarding the arbitration process?

- A. Free legal representation by the Exchange's empanelled lawyers
- B. Dedicated recording studios for documenting verbal grievances
- C. A panel of three arbitrators physically present at the centre during market hours
- **D. Video-calling facility for attending online arbitration or Grievance Redressal meetings**
- E. Reimbursement of all travel and lodging expenses for attending hearings

Answer: D

Explanation:

ISCS are required to provide arbitration and appellate arbitration facility including video-calling facility to investors for attending their online arbitration (including appellate arbitration) or Grievance Redressal meetings.

NEW QUESTION # 56

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