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## NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q314-Q319):

### NEW QUESTION # 314

According to the risk management framework regarding \* \*Liquid Assets\*\* deposited by clearing members, which of the following statements correctly defines the limits and haircuts applicable to \* \*Corporate Bonds\*\* accepted as collateral?

- A. Treated as Cash Equivalent with 0% haircut if rated AAA.
- B. Fixed percentage haircut of 50%; Limit not to exceed 25% of total liquid assets.
- C. Minimum haircut of 10% (Fixed percentage or VaR based); Limit not to exceed 10% of the total liquid assets of the clearing member.
- D. No limit on quantity; Haircut based strictly on credit rating (AAA: 10%, AA: 15%).
- E. VaR based haircut; Limit not to exceed 50% of the cash component of liquid assets.

**Answer: C**

Explanation:

As per the acceptable Liquid Assets table and notes: For Corporate Bonds, the haircut is 'Fixed percentage based or VaR based

Haircut... To begin with the haircut shall be a minimum of 10 percent.' The limit is 'Not to exceed 10 percent of the total liquid assets of the clearing member.'

#### NEW QUESTION # 315

A stock broker intends to expand their business scope by offering Portfolio Management Services (PMS) and functioning as a Depository Participant. According to the regulatory framework for 'Other Services Provided by Brokers', which of the following statements accurately reflects the registration requirement for these additional services?

- A. These services can be offered under a general 'Investment Advisory' license without specific product registration.
- **B. The broker must obtain separate registration/licenses from SEBI for each of the specific services like PMS and Depository services.**
- C. The existing stock broker registration with SEBI is comprehensive and covers all financial services including PMS and Depository services.
- D. Registration is only required with the Stock Exchange for PMS, while Depository services require SEBI registration.
- E. The broker needs to convert into a Non-Banking Financial Company (NBFC) to offer these services, but no separate SEBI registration is needed.

**Answer: B**

Explanation:

According to the Introduction section of 'Other Services Provided by Brokers', while brokers provide services like PMS, IPO applications, etc., 'for all the other services, the brokers need to be separately registered with SEBI.' Licenses and certifications have to be obtained for each of the services offered.

#### NEW QUESTION # 316

Which of the following statements accurately reflect the 'Additional Requirements' and operational controls mandated for Internet Based Trading (IBT) and Securities Trading Using Wireless Technology (STWT)? (Select all that apply)

- **A. The broker system should have on-site as well as remote site back-up capabilities.**
- B. Brokers using Internet based systems are permitted to cross trades of their clients with each other internally to save transaction costs.
- **C. The broker shall capture the IP (Internet Protocol) address from where the orders are originating.**
- **D. In case of no activity by the client, the system should provide for automatic trading session logout.**
- E. Encryption levels for communication are governed solely by the Stock Exchange's internal policy, independent of DOT regulations.

**Answer: A,C,D**

Explanation:

Option A is incorrect: 'Brokers using Internet based systems for routing client orders will not be allowed to cross trades of their clients with each other. All orders must be offered to the market for matching.' Option E is incorrect: 'DOT policy and regulation shall govern the level of encryption.' Options B, C, and D are correct based on the 'Additional Requirements' section: Capture IP address, Automatic trading session logout, and On-site as well as remote site back-up capabilities.

#### NEW QUESTION # 317

In the context of the settlement of securities for sale transactions, specifically regarding the 'Demat Debit and Pledge Instruction' (DDPI), which of the following statements accurately defines the scope of authorization given by the client to the stock broker?

- A. It allows the broker to pledge the client's securities with a Non-Banking Financial Company (NBFC) to raise working capital for the brokerage firm.
- **B. It explicitly authorizes the broker to access the client's beneficial owner account for the limited purpose of transferring securities to the broker's pool account to meet pay-in obligations.**
- C. It authorizes the broker to transfer securities for off-market trades between unrelated parties to settle personal debts of the client.
- D. It is a mandatory requirement for opening a demat account and cannot be revoked by the client under any circumstances.
- E. It grants full power of attorney to the broker to buy and sell securities without specific trade instructions from the client.

**Answer: B**

Explanation:

Clients can give 'Demat Debit and Pledge Instruction' (DDPI) under which they explicitly agree to authorize the stock broker/stock broker and depository participant to access their BO account for the limited purpose for transferring securities from their individual demat account to brokers pool account for the purpose of meeting their pay-in obligation. This serves to mitigate the misuse associated with the broader Power of Attorney (PoA),.

### NEW QUESTION # 318

Under the regulatory framework for 'Authorized Persons' (AP) in the securities market, which of the following compliance requirements is mandatory for their appointment?

- A. The AP must be a corporate body under the Companies Act, 2013.
- B. The AP must deposit a separate Base Minimum Capital (BMC) directly with the Clearing Corporation.
- **C. The Trading Member must obtain specific prior approval for the AP for each segment separately.**
- D. The AP is legally liable for their own acts, completely absolving the Trading Member.
- E. The AP must register as a separate Trading Member with the Exchange.

**Answer: C**

Explanation:

An Authorized Person is not a member of the Stock Exchange. A Trading Member is entitled to appoint an authorized person to operate trading workstations, but the Trading Member must obtain specific prior approval for each such person, and this approval is segment specific. The Trading Member remains responsible for all acts of omission and commission of the Authorized Person.

### NEW QUESTION # 319

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