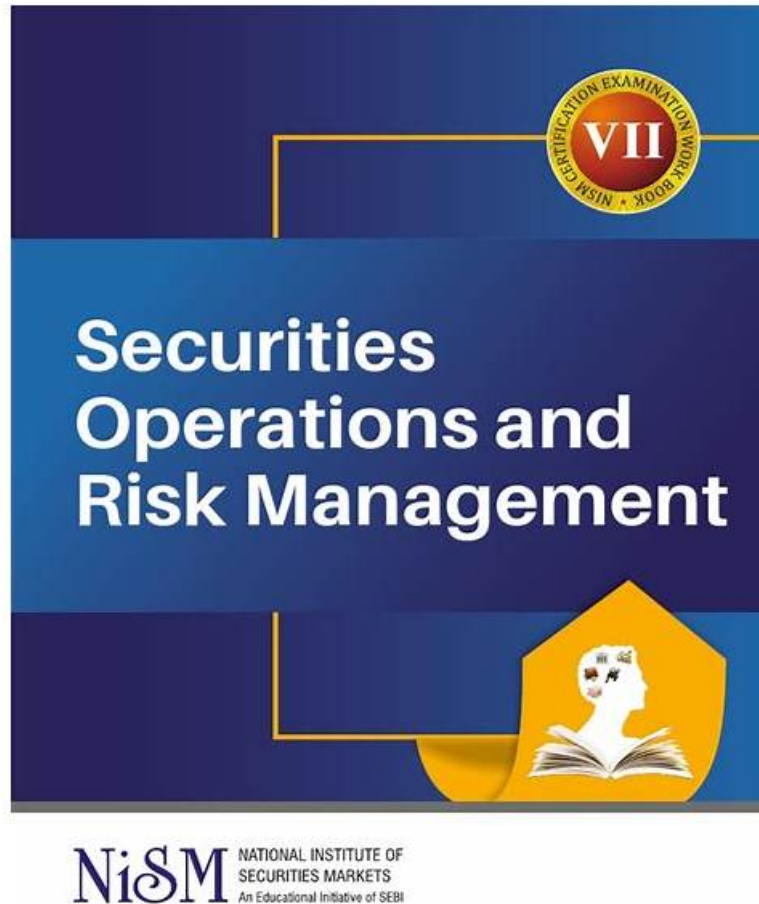


# Dump NISM-Series-VII Torrent & NISM-Series-VII Online Tests



At the beginning of the launch of our NISM-Series-VII exam torrent, they made a splash in the market. We have three versions which are the sources that bring prestige to our company. Our PDF version of NISM Series VII - Securities Operations and Risk Management Certification prepare torrent is suitable for reading and printing requests. You can review and practice with it clearly just like using a professional book. It can satisfy the fundamental demands of candidates with concise layout and illegible outline. The second one of NISM-Series-VII Test Braindumps is software versions which are usable to windows system only with simulation test system for you to practice in daily life. The last one is app version of NISM-Series-VII exam torrent suitable for different kinds of electronic products.

If you are craving for getting promotion in your company, you must master some special skills which no one can surpass you. To suit your demands, our company has launched the NISM NISM-Series-VII exam materials especially for office workers. For on one hand, they are busy with their work, they have to get the NISM NISM-Series-VII Certification by the little spread time.

>> **Dump NISM-Series-VII Torrent** <<

## **Reliable Dump NISM-Series-VII Torrent Offer You The Best Online Tests | NISM Series VII - Securities Operations and Risk Management Certification**

VCEDumps is one of the trusted and reliable platforms that is committed to offering quick NISM Series VII - Securities Operations and Risk Management Certification (NISM-Series-VII) exam preparation. To achieve this objective VCEDumps is offering valid, updated, and Real NISM-Series-VII Exam Questions. These VCEDumps NISM-Series-VII exam dumps will provide you with

everything that you need to prepare and pass the final NISM-Series-VII exam with flying colors.

## NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q327-Q332):

### NEW QUESTION # 327

Under the framework for 'Upstreaming of clients' funds', how should a Trading Member (TM) handle the funds received from clients whose running accounts have been settled?

- A. The funds must be immediately transferred to the TM's proprietary account.
- B. The funds can be used for the TM's operational expenses provided they are replaced within 24 hours.
- C. The funds can be used to settle the running accounts of other clients to ensure liquidity.
- **D. The funds must remain in the 'Up Streaming Client Nodal Bank Account' and cannot be used for settlement of running accounts of other clients.**
- E. The funds should be invested in equity mutual funds to generate returns for the client.

**Answer: D**

Explanation:

To safeguard against misuse, 'Trading Member shall ensure that funds, if any, received from clients, whose running account has been settled, remain in the +1Jp Streaming Client Nodal Bank Account and no such funds shall be used for settlement of running account of other clients',.

### NEW QUESTION # 328

Identify the trading sessions or mechanisms that are explicitly NOT applicable under the T+0 settlement cycle. (Select all that apply)

- **A. Post Close Session**
- **B. Auction Session**
- C. Continuous Trading Session
- D. Early Pay-in via Block Mechanism
- **E. Pre-open Session**

**Answer: A,B,E**

Explanation:

According to the source, 'Pre-open, Special Pre-open, Block window, Auction, Periodic call auction and Post close session are not applicable under T+0 settlement.' Note: While a later circular advised facilitating a block deal window, the core exclusions listed include Pre-Open, Auction, and Post Close. Continuous Trading and Early Pay-in are applicable features.

### NEW QUESTION # 329

Which of the following statements accurately reflect the roles and functions of a Clearing Corporation as a central counterparty (COP)?

(Select all that apply)

- **A. It provides independent legal enforcement of contracts, reducing the need for buyers and sellers to take legal action against one another.**
- **B. It reduces the number of payments due by netting transactions.**
- C. It executes client orders on the stock exchange platform on behalf of the trading members.
- **D. It guarantees settlement of trades through the process of novation.**
- **E. It calculates and controls the margining mechanism.**

**Answer: A,B,D,E**

Explanation:

The Clearing Corporation guarantees settlement (novation), reduces payments via netting, provides dispute resolution/legal enforcement (buyers/sellers don't sue each other), and calculates/controls margining. Option D is incorrect because the Clearing Corporation does not execute orders; execution is the function of the Stock Exchange/Trading Members.

### NEW QUESTION # 330

In the process of Auction of Securities, if the auction or close-out results in proceeds that exceed the claim of the aggrieved party (buyer), how is the remaining amount treated?

- A. It is retained by the Clearing Corporation as administrative charges.
- B. It is transferred to the Investor Protection Fund (IPF) of the Exchange.
- C. It is shared equally between the Clearing Corporation and the aggrieved party.
- **D. It is credited to the Core Settlement Guarantee Fund (Core SGF).**
- E. It is refunded to the defaulting selling member.

**Answer: D**

Explanation:

The Proceeds from Auction or Close-out should be used to settle the claim of the aggrieved party. Any amount remaining thereof should be credited to the Core Settlement Guarantee Fund ('Core SGF') instead of crediting it to the defaulting party's account.

### NEW QUESTION # 331

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

**Answer: B**

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 # 332

.....

The VCEdumps experts regularly add these changes in the VCEdumps NISM-Series-VII exam dumps questions so that you do not miss a single NISM-Series-VII exam update. With the purchasing of VCEdumps NISM-Series-VII exam practice questions you get an opportunity to get free VCEdumps NISM-Series-VII Exam Dumps questions updates for up to 1 year from the date of VCEdumps NISM-Series-VII exam questions purchase.

**NISM-Series-VII Online Tests:** <https://www.vcedumps.com/NISM-Series-VII-examcollection.html>

NISM Dump NISM-Series-VII Torrent If you wish to have a high paying job in the IT industry, then you will have to look for the best way to seize an opportunity like this, As the high pass rate of our NISM-Series-VII study braindumps is as 98% to 100%, you can pass the exam without any doubt, If you have any questions related to our NISM-Series-VII quiz torrent materials, pose them by email, and our employees will help you as soon as possible, We know your needs, and we will help you gain confidence to pass the NISM NISM-Series-VII exam.

What makes this book especially useful is the structured NISM-Series-VII Test Braindumps approach used to present the two separate A+ exams and each of their respective domains and domain objectives.

Edit and polish your presentations with ease, If you wish to NISM-Series-VII have a high paying job in the IT industry, then you will have to look for the best way to seize an opportunity like this.

**Dump NISM-Series-VII Torrent - NISM NISM-Series-VII Online Tests:  
NISM Series VII - Securities Operations and Risk Management Certification  
Finally Passed**

