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NISM Certification Practice Questions & Answers

1. Which of the following is the primary regulatory body for the securities market in India?

- a) RBI
- b) SEBI
- c) IRDAI
- d) PFRDA

Answer: b) SEBI

2. What is the full form of NISM? a) National Institute of Stock Market

- b) National Institute of Securities Markets
- c) New Investment Securities Market
- d) National Investment and Stock Market

Answer: b) National Institute of Securities Markets

3. What is the minimum net worth requirement for a stockbroker as per SEBI guidelines?

- a) ₹10 lakh
- b) ₹25 lakh
- c) ₹50 lakh
- d) ₹1 crore

Answer: c) ₹50 lakh

4. What does KYC stand for in financial markets? a) Know Your Client

- b) Keep Your Cash
- c) Knowledge of Your Company
- d) Know Your Currency

Answer: a) Know Your Client

5. Which financial instrument represents ownership in a company? a) Bond

- b) Derivative
- c) Equity Share
- d) Mutual Fund

Answer: c) Equity Share

6. What is the role of a depository in the Indian stock market? a) To regulate stock exchanges

- b) To hold securities in electronic form
- c) To issue initial public offerings
- d) To monitor insider trading

Answer: b) To hold securities in electronic form

7. What is the settlement cycle for equity trades in India? a) T+1

- b) T+2
- c) T+3
- d) T+4

Answer: a) T+1

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medium, and large size enterprises.

NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q303-Q308):

NEW QUESTION # 303

Identify the correct expiry and settlement logic for Currency Derivative contracts (USD-INR) traded on Indian stock exchanges.

- A. Contracts expire on the 15th of every month; Settlement is cash settled based on the crossing of FCY-INR rates.
- B. Contracts expire on the last working day of the month; Final Settlement Price is the RBI Reference Rate.
- C. Contracts expire two working days prior to the last business day of the month; Final Settlement Price is the average spot rate of the last 30 minutes.
- D. Contracts expire on the last Thursday of the month; Settlement is physical delivery of the foreign currency.
- **E. Contracts expire two working days prior to the last business day of the expiry month at 12:30 pm; Final Settlement Price is the FBIL reference rate.**

Answer: E

Explanation:

For Currency Derivatives (USD-INR), the source states: 'The expiry day/ last day for the trading of the monthly contract shall be two working days prior to the last business day of the expiry month at 12.30 pm' and 'The final settlement price for USDINR... is the FBIL (Financial Benchmarks India Pvt. Ltd.) reference rate.'

NEW QUESTION # 304

Stock Exchanges are required to jointly issue an annual calendar for the settlement of running accounts. According to the regulations, on which specific days of the month/quarter is the settlement of running accounts scheduled to take place?

- A. Last Friday and/or Saturday of every month/quarter.
- B. 15th and/or 30th of every month/quarter.
- **C. First Friday and/or Saturday of every month/quarter.**
- D. Any day chosen by the broker provided the gap does not exceed 30/90 days.
- E. First Monday and/or Tuesday of every month/quarter.

Answer: C

Explanation:

To ensure uniformity and clarity, settlement of running account shall be settled on the "first Friday and/or Saturday" of every month/quarter. Stock exchanges issue the annual calendar for this purpose.

NEW QUESTION # 305

Regarding 'Two-factor authentication' for login sessions in Internet Based Trading (IBT), which of the following implementation details is explicitly advisable/required?

- A. It should be implemented using only SMS-based OTP without any other factor.
- B. Two-factor authentication is optional and can be replaced by a static high-complexity password.
- **C. Public Key Infrastructure (PKI) based implementation using digital signatures is advisable, and the two factors should not be the same.**
- D. The two factors should be identical (e.g., two different passwords).
- E. The second factor must always be biometric verification.

Answer: C

Explanation:

The text states: 'Two-factor authentication for login session may be implemented for all orders emanating using Internet Protocol. Public Key Infrastructure (PKI) based implementation using digital signatures, supported by one of the agencies certified by the government of India, is advisable. Further the two factors in the Two-factor authentication framework should not be same.'

NEW QUESTION # 306

Regarding the limitation period for filing complaints, what is the maximum time period from the 'date of cause of action' within which an investor must lodge a complaint on SCORES, provided they have first approached the concerned entity and are unsatisfied with the response?

- A. Five years
- B. Six months
- C. Two years
- D. Three years
- E. One year

Answer: E

Explanation:

In line with enhancing ease, speed, and accuracy, the investor may lodge a complaint on SCORES within one year from the date of cause of action, provided specific conditions (like rejection by the entity or non-receipt of communication) are met.

NEW QUESTION # 307

Which of the following correctly defines the trading timings for the beta version of the T+0 rolling settlement cycle?

- A. 09:15AM to 1:30 PM
- B. 09:15 AM to 3:30 PM
- C. 09:15AM to 11:30 AM
- D. 09:00 AM to 12:00 PM
- E. 10:00 AM to 2:00 PM

Answer: A

Explanation:

The trade timings for the T+0 settlement cycle are defined as: 'One continuous trading session from 09:15 AM to 1 PM'.

NEW QUESTION # 308

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