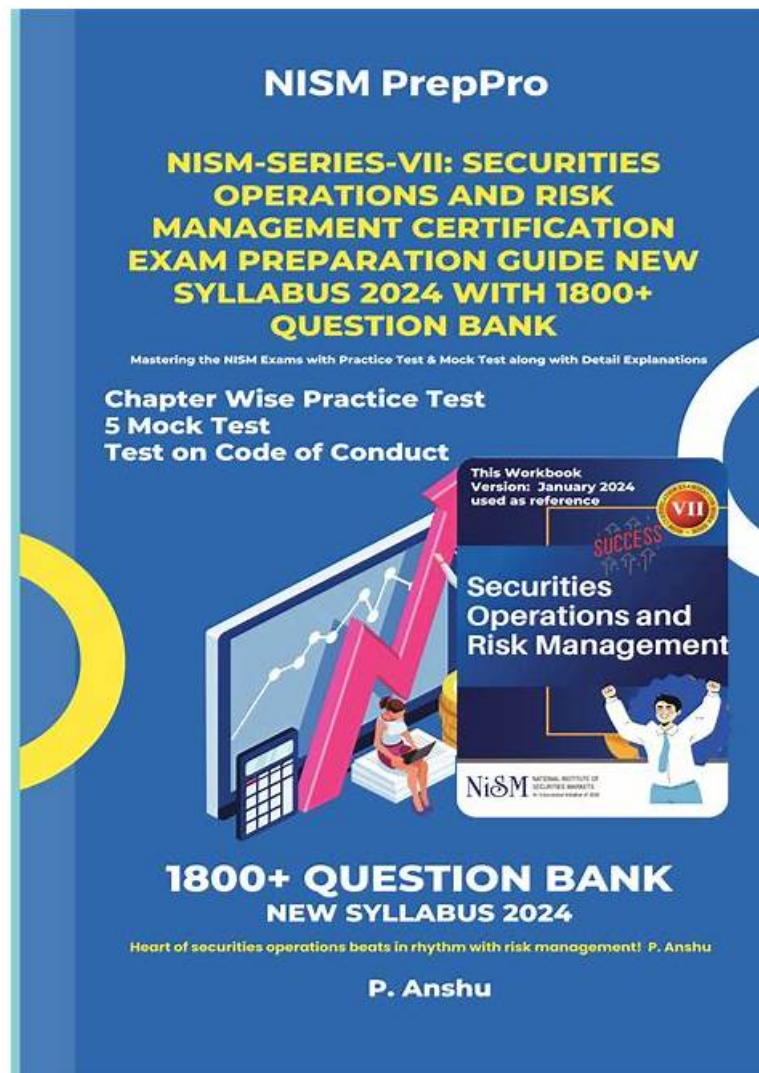


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## **NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q99-Q104):**

### **NEW QUESTION # 99**

Which of the following guidelines are mandated to enable smooth settlement processes and help Clearing Corporations meet obligations in case of holidays? (Select all that apply)

- A. Depositories shall facilitate inter-depository transfers within one hour and before pay-in for the subsequent settlement begins.
- B. CCs shall clear and settle trades on a sequential basis.
- C. Pay-in and pay-out of the first settlement must be completed before the commencement of the subsequent settlement.
- D. Settlements for all trade dates falling on holidays must be deferred to the next working week.
- E. Members are prohibited from using the pay-out of the first settlement for the subsequent settlement's pay-in.

**Answer: A,B,C**

Explanation:

The guidelines include: 1. 'The CCs shall clear and settle the trades on a sequential basis'; 2. 'pay-in and the pay-out of the first settlement shall be completed before the commencement... of the subsequent settlement(s)'; 3. 'depositories shall... facilitate the inter-depository transfers within one hour and before pay-in for the subsequent settlement begins.' Option D is incorrect as settlements are completed on the same day. Option E is incorrect as the pay-out is specifically made available for the subsequent pay-in.

### **NEW QUESTION # 100**

Consider the following trading data for Broker 'Y' in Security ABC on a specific trading day:

1. Sold 200 shares @ Rs. 10 to Broker X
2. Bought 50 shares @ Rs. 10.50 from Broker Z
3. Bought 300 shares @ Rs. 11 from Broker X

Calculate the Net Fund Obligation for Broker 'Y' to be settled with the Clearing Corporation.

- A. Receive Rs. 1,575
- B. Pay Rs. 1,200
- C. Pay Rs. 3,825
- D. Receive Rs. 2,000
- E. Pay Rs. 1,825

**Answer: E**

Explanation:

Calculations based on the source example for Broker Y:

Sell Value:  $200 * 10 = \text{Rs. } 2,000$  (Inflow)

Buy Value:  $(50 * 10.50) + (300 * 11) = 525 + 3,300 = \text{Rs. } 3,825$  (Outflow)

Net Fund Obligation = Inflow - Outflow =  $2,000 - 3,825 = -1,825$ .

Since the value is negative, Broker Y has to Pay Rs. 1,825.

### **NEW QUESTION # 101**

Which of the following data fields must match between the transfer instruction and the Clearing Corporation's obligation data for a Pay-In instruction to be considered a 'Matched Instruction' and subsequently executed? (Select all that apply)

- A. CM ID (Clearing Member ID)
- B. UCC (Unique Client Code)
- C. Client's Bank Account Number
- D. ISIN (International Securities Identification Number)
- E. TM ID (Trading Member ID)

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

Explanation:

The text states that in case of matching of all details like 'UCC, TM ID, CM ID, ISIN, quantity, settlement details etc.' of the transfer instruction with the obligation data, the instruction shall be carried out. The Client's Bank Account Number is not mentioned as a validation parameter for securities pay-in.

#### NEW QUESTION # 102

When determining the settlement obligations in a scenario involving holidays, why is the sequential basis of settlement (completing first settlement before starting the next) critically important?

- A. It prevents members from trading in the derivatives segment during the cash market settlement.
- B. It allows the Clearing Corporation to recalculate margins for the previous week.
- C. It allows the stock exchange to close the market early.
- **D. It ensures that the pay-out (cash/securities) from the first settlement is available to the member to meet obligations for the subsequent settlement.**
- E. It is required to separate institutional trades from retail trades.

**Answer: D**

Explanation:

The sequential basis is adopted so that 'The cash or securities pay out from the first settlement shall be made available to the member for meeting his pay-in obligations for the subsequent settlement(s).'

#### NEW QUESTION # 103

For the computation of initial margins in the Equity Derivatives segment using the SPAN methodology, how is the \*\*Price Scan Range\*\* determined for \*\*Index Derivatives\*\* (standard contracts)?

- **A. Based on 6 sigma, scaled up by  $\sqrt{2}$ , subject to a minimum of 9.3% of the underlying price.**
- B. Based on 3.5 sigma scaled up by root 3.
- C. Flat rate of 10% of the contract value.
- D. Based on 6 sigma, scaled up by  $\sqrt{2}$ , subject to a minimum of 14.2% of the underlying price.
- E. 25% of annualized EWMA volatility subject to minimum 10%.

**Answer: A**

Explanation:

For Index Derivatives, the Price Scan Range is based on 6 sigma, scaled up by square root of 2, subject to at least of the underlying price after considering scaling up. (14.2% applies to Single Stock Derivatives).

#### NEW QUESTION # 104

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