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>> Test NISM-Series-VII King <<

## Quiz NISM - Unparalleled NISM-Series-VII - Test NISM Series VII - Securities Operations and Risk Management Certification King

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## NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q137-Q142):

### NEW QUESTION # 137

Select the correct combination of statements regarding the expiry cycle and settlement of Long Dated Index Options and Equity Index Futures in the Indian Securities Market.

- A. Statement I: All Index Futures are physically settled. Statement II: Long dated options expire on the first Thursday of the quarter.
- B. Statement I: All Index Futures are cash settled. Statement II: Long dated options are available up to a 5-year expiry cycle with quarterly and half-yearly expiries.
- C. Statement I: Index Futures expire on the last Friday of the month. Statement II: Long dated options follow only a monthly expiry cycle.
- D. Statement I: Index Futures are physically settled. Statement II: Long dated options have a 3-year expiry cycle.

- E. Statement I: Index Futures are cash settled. Statement II: Long dated options have a maximum expiry of 12 months.

**Answer: B**

Explanation:

The source states: 'All Index future and option contracts are cash settled.' Regarding expiry cycles: 'Monthly index contracts generally have 3-month expiry cycle except for the long dated options contracts which are available up to 5-year expiry cycle with quarterly expiries (March, June, Sept & Dec cycle) and half yearly expiries (Jun, Dec cycle).'

#### **NEW QUESTION # 138**

To safeguard client funds during the running account settlement process, SEBI has stipulated specific banking procedures. Which of the following statements correctly describes the requirement regarding the 'Up Streaming Client Nodal Bank Account' (USCNBA) during settlement?

- A. Trading Members must ensure that funds received from clients whose running account has been settled remain in the USCNBA and are not used to settle other clients.
- B. Funds in the USCNBA can be used for inter-client adjustments if the clients have provided specific consent in the KYC form.
- C. The USCNBA is used only for receiving funds from the Exchange, while client receipts are deposited in the Settlement Account.
- D. Funds can be moved to the broker's proprietary account temporarily to facilitate faster settlement payouts.
- E. USCNBA funds must be transferred to the Clearing Corporation's settlement account before being paid out to clients.

**Answer: A**

Explanation:

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

#### **NEW QUESTION # 139**

In the General Clearing Process for the Cash Segment under the T+1 rolling settlement cycle, by what specific time must the custodial confirmation of trades be completed on the T+1 day?

- A. By 11:00 AM on T+1 Day
- B. By 7:30 AM on T+1 Day
- C. By 1:30 PM on T+1 Day
- D. By 4:15 PM on T Day
- E. By 9:00 AM on T+1 Day

**Answer: B**

Explanation:

According to the General Clearing process in Cash Segment for T+1 rolling settlement, the clearing members/custodians must confirm back institutional/Custodian Participant trades by 7:30 a.m. on T+1 day. Subsequently, the final obligations are downloaded by 9:00 a.m.

#### **NEW QUESTION # 140**

Under the 'Beta version of T+0 rolling settlement cycle on optional basis', which of the following operational parameters regarding trading hours, price bands, and shortage handling is correctly defined?

- A. The price band is fixed at +1-5% of the closing price in the regular T+1 market.
- B. Netting of pay-in and pay-out obligations is permitted between T+1 and T+0 settlement cycles.
- C. The trading session operates continuously from 09:15 AM to 3:30 PM.
- D. Security shortages are handled through an auction session conducted on the same day.
- E. Pay-in for T+0 sell obligations is allowed only by way of early pay-in using the block mechanism.

**Answer: E**

Explanation:

For T+0 settlement: Pay-in for T+0 sell obligations is allowed only by way of early pay-in using block mechanism. Trading timings are 09:15 AM to 1:30 PM. The price band is +1- 100 basis points from the T+1 price. There is no netting between T+1 and T+0. Security shortages are directly closed out, not auctioned.

#### NEW QUESTION # 141

What is the primary objective of the research reports (Fundamental, Stock, Sector, etc.) regularly brought out by stock brokers?

- A. To replace the role of the Investment Adviser completely.
- B. To fulfill the mandatory requirement of the Companies Act, 2013.
- C. To generate additional brokerage by encouraging excessive churning of portfolios.
- **D. To help the investor make informed investment decisions.**
- E. To manipulate the market price of illiquid securities.

**Answer: D**

Explanation:

The text explicitly states: 'These reports are aimed at \* \*helping the investor make informed investment decisions\*\*.'

#### NEW QUESTION # 142

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