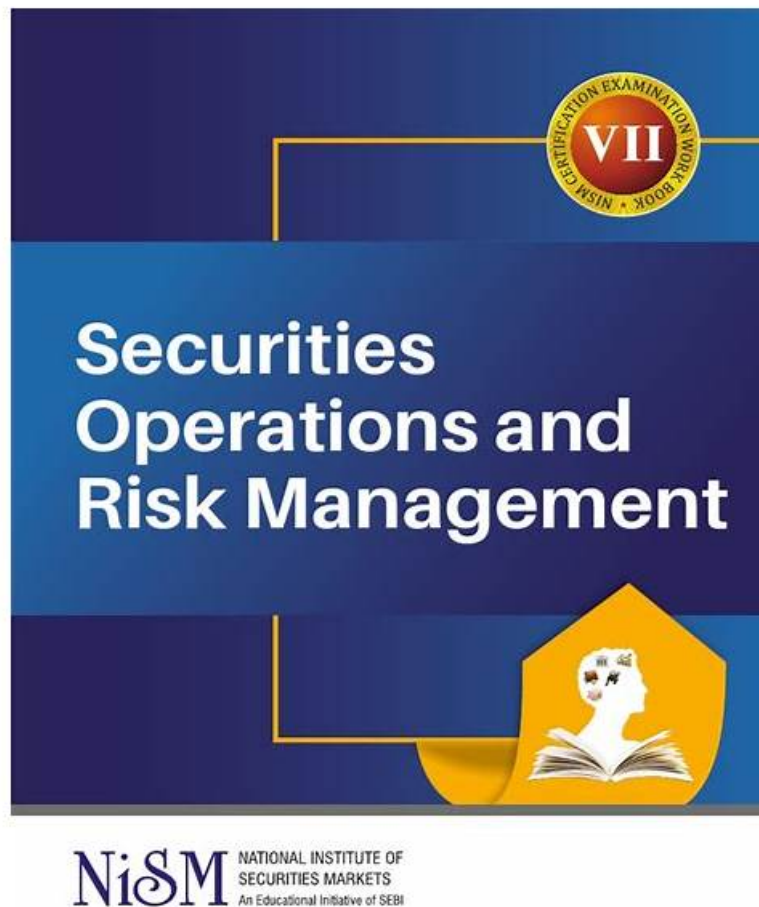


# NISM-Series-VII Clearer Explanation & NISM-Series-VII Latest Study Questions



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## **NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q316-Q321):**

### **NEW QUESTION # 316**

Regarding the operational timeline for the auction of securities by the Clearing Corporation under the compulsory rolling settlement, which of the following statements is accurate?

- **A. The auction for undelivered quantities is conducted on the settlement day itself, typically after the completion of the pay-out process.**
- B. Auctions are held exclusively during the pre-open session of the next trading day.
- C. Members participating in the auction must deliver the shares immediately within 1 hour of acceptance of their offer.
- D. If an auction is not successful in the first attempt, it is automatically rescheduled for the next three consecutive days.
- E. Auctions are conducted on the T+2 day to allow members extra time to arrange securities.

**Answer: A**

Explanation:

The auction for the undelivered quantities is conducted on the settlement day after completion of payout (e.g., between 2:00 p.m. and 2.45 p.m. for BSE and 2:30 pm onwards for NSE). The members participating in the auction are required to deliver the shares on the subsequent day (auction pay-in day),.

### **NEW QUESTION # 317**

Regarding the netting of settlement obligations for a member trading in both T+1 and T+0 cycles, which of the following statements is operationally correct?

- A. Obligations are netted across both cycles to reduce liquidity stress.
- B. Netting is permitted only for funds, while securities obligations are kept separate.
- **C. There shall be no netting in pay-in and pay-out obligations between T+1 and T+0 settlement cycles.**
- D. Securities delivered in T+0 pay-out can be immediately netted against T+1 pay-in obligations for the same day.
- E. Netting is allowed only if the member opts for the 'Unified Settlement' facility provided by the Clearing Corporation.

**Answer: C**

Explanation:

The operational guidelines for the T+0 rolling settlement cycle explicitly state: 'There shall be no netting in pay-in and pay-out obligations between T+1 and T+0 settlement cycle.'

### **NEW QUESTION # 318**

Regarding the issuance of Contract Notes by stock brokers, which of the following statements are legally and operationally correct as per regulations? (Select all that apply)

- **A. Contract notes must be issued within 24 hours of the execution of the trade.**
- B. If an ECN bounces, the broker is not required to take further action if the client has opted for electronic delivery.
- **C. Electronic Contract Notes (ECNs) sent via email must be digitally signed, encrypted, and non-tamperable.**
- D. A contract note is valid even if it does not explicitly state the brokerage and statutory levies separately.
- **E. Contract notes should have a unique running serial number starting from the beginning of the financial year.**

**Answer: A,C,E**

Explanation:

Option A is correct: 'Contract note should be issued within 24 hours of execution'. Option C is correct: 'All ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable'. Option D is correct: 'The contract notes should be unique running serially numbered starting from the beginning of the financial year.' Option B is incorrect because a contract note without consideration is null and void and charges must be mentioned. Option E is incorrect because if an ECN bounces, the member 'should send the physical

copy of the contract note'.

### NEW QUESTION # 319

Under the regulatory framework defined in Section 24 of the Companies Act, 2013, the administration of specific provisions for listed companies (or those proposed to be listed) is delegated to the Securities and Exchange Board of India (SEBI). Which of the following matters is EXCLUSIVELY administered by SEBI under this delegation, while remaining otherwise under the Central Government's administration?

- A. Appointment of key managerial personnel
- **B. Non-payment of dividend**
- C. Registration of the company's memorandum of association
- D. Conduct of Annual General Meetings
- E. Incorporation of the company

**Answer: B**

Explanation:

Section 24 of the Companies Act, 2013, delegates the power to regulate the issue and transfer of securities and the non-payment of dividend by listed companies (or those intending to get listed) to SEBI. All other provisions of the Companies Act are administered by the Central Government (Ministry of Corporate Affairs).

### NEW QUESTION # 320

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: Index Futures expire on the last Friday of the month. Statement II: Long dated options follow only a monthly expiry cycle.
- C. Statement I: Index Futures are physically settled. Statement II: Long dated options have a 3-year expiry cycle.
- D. Statement I: Index Futures are cash settled. Statement II: Long dated options have a maximum expiry of 12 months.
- **E. 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.**

**Answer: E**

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 # 321

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