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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q157-Q162):

NEW QUESTION # 157

Based on the concept of Multilateral Netting, calculate the Net Quantity obligation for Broker 'Z' given the following trades in Security ABC:

1. Broker Y buys 50 shares from Broker Z @ Rs. 10.50
2. Broker X buys 100 shares from Broker Z @ Rs. 10.50

- A. Receive 100 shares
- B. Receive 150 shares
- C. Deliver 150 shares
- D. Deliver 100 shares
- E. Deliver 50 shares

Answer: C

Explanation:

For Broker Z:

Trade 1: Sell 50 shares (to Y).

Trade 2: Sell 100 shares (to X).

Total Sell = 150 shares. Total Buy = 0 shares.

Net Quantity = Buy - Sell = 0 - 150 = -150.

A negative quantity implies an obligation to Deliver 150 shares.

NEW QUESTION # 158

Which of the following statements accurately describe the features and conditions of the 'Net Settlement of Cash segment and Futures & Options (F&O) segment upon expiry of stock derivatives'? (Select all that apply)

- A. Clearing Corporations continue to maintain segment-wise default waterfalls.
- B. Investors whose Trading Member clears trades through different Clearing Corporations for Cash and F&O are eligible for netting.
- C. Securities Transaction Tax (STT) is computed on the final netted obligation to avoid double taxation.
- D. The benefit of netting is available to non-institutional Custodial Participants (CPs) clearing through the same entity registered both as a custodian in cash and as a CM in F&O.
- E. Netting of delivery obligations is strictly for the purpose of settlement.

Answer: A,D,E

Explanation:

Statement A is correct: Netting is available for non-institutional CPs clearing through the same entity registered as custodian in cash and CM in F&O. Statement B is incorrect: Investors whose TM clears through different CM/CC will not be able to avail the benefit. Statement C is incorrect: STT/Stamp Duty continue to be computed on a segment-wise level. Statement D is correct: Netting is only for the purpose of settlement. Statement E is correct: CCs continue to maintain segment-wise default waterfalls.

NEW QUESTION # 159

Regarding the modernization of broker services, what specific technological facility allows brokers to offer clients direct control over orders, faster execution, and reduced risk of manual errors?

- A. Offline Trading System (OTS)
- B. Contract Note Digitization (CND)
- C. Manual Order Routing (MOR)
- D. Physical Delivery Instruction Slip (PDIS)
- E. Direct Market Access (DMA)

Answer: E

Explanation:

Direct Market Access (DMA) is listed as a facility offered by a stock broker's outlet. While the definition is in later sections, the introduction lists it as a key facility provided by brokers.

NEW QUESTION # 160

SEBI introduced the 'Demat Debit and Pledge Instruction' (DDPI) to replace the Power of Attorney (POA) for certain functions. For which of the following specific purposes does the DDPI authorize the stock broker/stock broker and depository participant to access the client's beneficial owner (BO) account?

- A. Executing off-market trades between parties other than related parties.
- B. Updating the client's address and contact details in the KRA system.
- C. Transferring funds from the client's bank account to the broker's proprietary account.
- D. Opening a new demat account with another depository participant on behalf of the client.
- E. Meeting pay-in obligations for the settlement of trades executed by the client.

Answer: E

Explanation:

Under DDPI, the clients shall explicitly agree to authorize the stock broker/stock broker and depository participant to access their BO account for the limited purpose of meeting pay-in obligations for settlement of trades executed by them. The DDPI shall serve the same purpose of POA and significantly mitigate the misuse of POA.

NEW QUESTION # 161

A 'Self Auction' mechanism is utilized to address 'Internal Shortages'. Which of the following scenarios best describes an internal shortage that necessitates this specific procedure?

- A. The depository fails to transfer shares from the client beneficiary account to the pool account due to a system glitch.
- B. A member shorts a stock in the derivatives segment but holds the physical stock in the cash segment.
- C. A member fails to deliver securities to the Clearing Corporation because of a shortfall in the Clearing Member Pool Account.
- **D. A selling client fails to deliver shares to the member, but the member has no net obligation to the Clearing Corporation due to an offsetting purchase by another client of the same member.**
- E. A member utilizes client securities for proprietary trading resulting in a shortage during a surprise audit.

Answer: D

Explanation:

Internal shortages occur when a selling client fails to deliver shares to the trading member, but due to netting (a purchase transaction by another buying client in the same security), the member has no delivery obligation to the Clearing Corporation. In such cases, the member requires shares to deliver to the buying client, and an auction (Self Auction) is conducted to procure these shares,.

NEW QUESTION # 162

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