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最新的 National Institute of Securities Markets NISM-Series-VII 免費考試真題 (Q77-Q82):

問題 #77

Under the revised framework for redressal of investor grievances through SCORES 2.0, which of the following statements accurately describe the timelines and process flows? (Select all that apply)

- A. The first level of review is conducted by SEBI officials immediately upon request by the investor.
- B. Entities shall resolve the complaint and upload the Action Taken Report (ATR) on SCORES within 21 calendar days of receipt of the complaint.
- C. Complaints are automatically forwarded to the Securities Appellate Tribunal if not resolved within 7 days.
- D. If the complainant is not satisfied with the ATR, they may request a review within 15 calendar days from the date of the ATR.
- E. The Designated Body must submit the revised ATR to the complainant on SCORES within 10 calendar days of the review sought.

答案：B,D,E

解題說明：

Entities must resolve complaints within 21 calendar days,. Complainants can request a review within 15 calendar days of the ATR. The Designated Body must submit the revised ATR within 10 calendar days of the review sought. Option D is incorrect as auto-escalation is to the next level (Designated Body/SEBI), not SAT. Option E is incorrect as the first review is by the Designated Body.

問題 #78

Which of the following statements accurately describe the rules and procedures for ****Dividend Adjustment**** in the Equity F&O segment?

(Select all that apply)

- A. Adjustment for extra-ordinary dividend is carried out only on futures contracts, not options.
- **B. In case of extra-ordinary dividend, the total dividend amount is reduced from all strike prices of option contracts.**
- C. The revised strike prices due to extra-ordinary dividend are applicable from the record date.
- **D. Dividends below 2% of the market value of the underlying stock are deemed ordinary dividends and no adjustment is made.**
- **E. If shareholders in the AGM change the rate declared by the Board, the market price reference changes to the closing price on the day previous to the AGM.**

答案: **B,D,E**

解題說明:

Statement A is correct: Dividends below 2% are ordinary and not adjusted. Statement B is correct: Total dividend amount is reduced from strike prices. Statement D is correct: If AGM changes the rate, the reference is the closing price previous to the date of the AGM. Statement C is incorrect because revised prices are applicable from the ex.dividend date. Statement E is incorrect as adjustments apply to strike prices of options as well.

問題 #79

Stock brokers are required to report specific transactions to the Financial Intelligence Unit - India (FIU-IND) under the Prevention of Money Laundering Act. Which of the following combinations correctly specifies the submission timelines for the Cash Transaction Report (CTR), Suspicious Transaction Report (STR), and Non-Profit Organization Transaction Report (NTR)?

- A. CTR: By 15th of succeeding month; STR: Within 24 hours of conclusion; NTR: By 30th of succeeding month.
- B. CTR: By end of the quarter; STR: Within 15 days of conclusion; NTR: By end of the quarter.
- C. CTR: By 7th of succeeding month; STR: Within 3 days of conclusion; NTR: By 7th of succeeding month.
- **D. CTR: By 15th of succeeding month; STR: Within 7 days of arriving at a conclusion; NTR: By 15th of succeeding month.**
- E. CTR: By 10th of succeeding month; STR: Within 7 days of occurrence; NTR: By 10th of succeeding month.

答案: **D**

解題說明:

The Cash Transaction Report (CTR) for each month shall be submitted to FIU-IND by the 15th of the succeeding month. The Suspicious Transaction Report (STR) shall be submitted within 7 days of arriving at a conclusion that any transaction is of suspicious nature. The Non-Profit Organization Transaction Reports (NTRs) for each month shall be submitted to FIU-IND by the 15th of the succeeding month.

問題 #80

An investor wishes to lodge a complaint against a registered intermediary on the SCORES platform. Under the current limitation period guidelines, which of the following scenarios would likely lead to SEBI reserving the right to reject the complaint?

- **A. The date of the cause of action is more than one year old.**
- B. The investor has approached the intermediary, but received no communication, and the cause of action is 8 months old.
- C. The complaint is lodged within 6 months from the date the intermediary rejected the initial grievance.
- D. The investor has already initiated arbitration proceedings for the same matter.
- E. The complaint is lodged immediately after the intermediary provided an unsatisfactory reply.

答案: **A**

解題說明:

According to the guidelines for SCORES, the investor may lodge a complaint within one year from the date of cause of action. SEBI

reserves its right to reject a complaint lodged on SCORES if the date of cause of action is more than one-year-old and/or the complainant has not taken up the complaint with the concerned entity prior to the said date.,

問題 #81

A stock broker executes multiple trades for a client throughout the day in various securities. According to the clearing process regarding the balancing of client accounts within the broker's firm, how is the final obligation handled?

- A. Every trade is settled gross with the clearing corporation, and netting is strictly prohibited within the broker's books.
- B. Client accounts are balanced weekly to determine the net obligation for the settlement cycle.
- **C. At the end of the day, the position of each client is netted against all his transactions and the final pay-in/pay-out is carried out.**
- D. Netting is allowed only for institutional clients, while retail client accounts must be settled on a trade-to-trade basis.
- E. The broker must segregate buy and sell transactions and settle them separately without offsetting.

答案：C

解題說明：

The source states: 'The stock brokers are allowed to net the clients account within the firm. At the end of the day, the position of each client is netted against all his transactions and the final pay-in/pay-out of securities/funds is carried out through clearing banks and depository participants.'

問題 #82

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