

NISM-Series-VII受験準備 & NISM-Series-VIIトレーニング



さらに、Topexam NISM-Series-VIIダンプの一部が現在無料で提供されています: <https://drive.google.com/open?id=1aeVEHa9IK28P46fmWvzNp0FYudaHg9-A>

NISM-Series-VII試験の教材は、激しい競争で際立つのに役立ちます。NISM-Series-VII試験問題を使用した後、NISM-Series-VII認定に合格する可能性が高くなります。これにより、ソフトパワーが大幅に向上し、体力が向上します。NISM-Series-VIIトレーニングガイドはあなたに何かをもたらすことができます。私たちのNISM-Series-VII学習ブレンダンプを使用した後、あなたは確かにあなた自身の経験を持つでしょう。ここで、選択する価値のある製品がNISM-Series-VIIの実際の試験である理由を見てみましょう。

NISM NISM-Series-VII Exam Syllabus Topics:

Section	Weight	Objectives
Topic 1: Technology in Securities Markets	8%	- Systems for trading, clearing and settlement - Data security and business continuity - Emerging technologies and their impact
Topic 2: Investor Protection	7%	- Investor rights and grievances redressal - Mechanisms for dispute resolution - Investor education and awareness initiatives
Topic 3: Securities Market Overview	10%	- Market participants and their roles - Types of securities and products - Structure and segments of Indian securities market
Topic 4: Risk Management and Margining	18%	- Margining systems and methodologies - Risk monitoring and control measures - Types of risks in securities operations

Topic 5: Trading Operations	15%	- Client onboarding and KYC norms - Front office functions and processes - Order management and trade execution
Topic 6: Market Microstructure	12%	- Price discovery and market efficiency - Market indices and their calculation - Trading mechanisms and order types
Topic 7: Clearing and Settlement	15%	- Settlement cycle and mechanisms - Clearing process and roles of clearing corporations - Delivery versus payment and settlement guarantee
Topic 8: Regulatory Framework	15%	- SEBI Act, Rules and Regulations - Compliance requirements for intermediaries - Code of conduct and ethical practices

>> NISM-Series-VII受験準備 <<

NISM-Series-VII試験の準備方法 | 権威のあるNISM-Series-VII受験準備試験 | 効率的なNISM Series VII - Securities Operations and Risk Management Certificationトレーニング

我々社のNISM NISM-Series-VII問題集を購入するかどうかと疑問があると、弊社TopexamのNISM-Series-VII問題集のサンプルをしてみるのもいいことです。試用した後、我々のNISM-Series-VII問題集はあなたを試験に順調に合格させると信じられます。なぜと言うのは、我々社の専門家は改革に応じて問題の更新と改善を続けているのは出発点から勝つからです。

NISM Series VII - Securities Operations and Risk Management Certification 認定 NISM-Series-VII 試験問題 (Q97-Q102):

質問 # 97

Under the SEBI (Foreign Portfolio Investors) Regulations, 2019, which of the following entities are classified as Category I Foreign Portfolio Investors? (Select all that apply)

- A. Government and Government related investors such as central banks and sovereign wealth funds
- B. Pension funds and university funds
- C. Corporate bodies and Family offices
- D. Unregulated funds in the form of limited partnerships
- E. Appropriately regulated entities such as insurance entities from FATF member countries

正解: A、B、E

解説:

Category I FPIs include Government and Government related investors (central banks, sovereign wealth funds), Pension funds, university funds, and Appropriately Regulated entities like insurance/reinsurance entities, banks, and asset management companies from FATF member countries. Corporate bodies, family offices, and unregulated funds fall under Category II.

質問 # 98

In the context of facilitating Initial Public Offerings (IPO), how does the electronic trading infrastructure of broking firms specifically assist investors and the process?

- A. Brokers provide a guarantee of allotment to their registered clients for every IPO application.
- B. Brokers' systems are connected with the Stock Exchanges' main IPO system, allowing for the online uploading of application forms.
- C. Brokers physically collect all applications and manually courier them to the Registrar, bypassing the electronic system.
- D. Brokers fund the entire IPO application amount for the investor interest-free.
- E. Brokers determine the IPO issue price through an internal book-building process independent of the exchange.

正解: B

解説:

The text explains that 'The IPO process is facilitated by brokers as their system is connected with the stock Exchanges main IPO system and online uploading of forms is carried out. Thus, at any given time, the online status is available on the stock Exchanges.'

質問 # 99

According to the SEBI circular dated April 05, 2022, regarding the use of Unified Payment Interface (UPI) in public issues of equity shares, which specific category of investors is mandated to use UPI and provide their UPI ID in the bid-cum-application form?

- A. Anchor Investors applying during the anchor book period.
- **B. All Individual Investors applying in Public issues where the application amount is up to 5 Lakhs.**
- C. All Retail Individual Investors applying for any amount.
- D. Qualified Institutional Buyers (QIBs) applying up to Rs. 2 Lakhs.
- E. Non-Institutional Investors (NIIs) applying above Rs. 2 Lakhs.

正解: B

解説:

SEBI vide circular dated April 05, 2022, decided that 'all Individual Investors applying in Public issues where the application amount is upto 5 Lakhs shall use UPI and shall also provide their UPI ID in the bid-cum-application form'.

質問 # 100

SEBI vide circular dated September 24, 2024, mandated the use of UPI for blocking funds for individual investors applying in public issues of debt securities up to Rs. 5 Lakh. However, a subsequent clarification dated October 18, 2024, permitted a specific alternative online submission method. What is this permitted alternative?

- A. Submission via the dedicated mobile application of the Registrar and Transfer Agent.
- B. Submission via physical ASBA forms at designated Self Certified Syndicate Banks (SCSBs).
- C. Direct transfer of funds to the issuer's escrow account via NEFT/RTGS.
- **D. Submission using the facility of linked online trading, demat, and bank account (3-in-1 type accounts).**
- E. Submission through the General Ledger account of the Stock Broker.

正解: D

解説:

The text states that 'investors may continue to submit the bid-cum application form online using the facility of linked online trading, demat and bank account (3-in-1 type accounts) for making application in public issue of debt securities, non-convertible redeemable preference shares, municipal debt securities and securitised debt instruments.'

質問 # 101

Under the 'Segregation and Monitoring of Collateral at Client Level' norms, how is the collateral allocated to a client utilized by the Clearing Corporation?

- **A. It is used to cover the margin obligation of that specific client only.**
- B. It is used to provide exposure limits to the Clearing Member's other Trading Members.
- C. It is primarily used for the client but can be used for the TM's proprietary obligations in case of a shortfall.
- D. It is transferred to the Core Settlement Guarantee Fund immediately upon receipt.
- E. It is pooled with other clients' collateral to cover the aggregate margin requirement of the Trading Member.

正解: A

解説:

The CCs provide a facility for upfront segment-wise allocation of collateral. The CCs use such collateral allocation information to ensure that the collateral allocated to a client is used towards the margin obligation of that client only.

質問 # 102

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NISM-Series-VIIガイド資料は、ユーザーの関心を本当に重視しています。開発プロセスでは、ユーザーのさまざまなニーズも常に考慮します。お客様の状況に応じて、当社のNISM-Series-VII学習資料は、さまざまな資料をお客様に合わせて調整します。あなたに最適なNISM-Series-VII練習問題は、間違いなく短時間でより効果的に感じられるようにします。NISM-Series-VII学習教材を選択することは間違いなくあなたの正しい決断です。もちろん、試用版を使用した後に決定することもできます。NISM-Series-VIIの実際の試験で、あなたの参加を楽しみにしています。

NISM-Series-VIIトレーニング : https://www.topexam.jp/NISM-Series-VII_shiken.html

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