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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q112-Q117):

NEW QUESTION # 112

In the context of the clearing and settlement ecosystem, the Clearing Corporation assumes the role of a legal counterparty to all trades executed on the Stock Exchange. What is the specific legal term for this process where the original contract between the buyer and seller is replaced by two new contracts with the Clearing Corporation?

- A. Subrogation
- B. Indemnification
- C. Adjudication
- D. Arbitration
- E. Novation

Answer: E

Explanation:

The process is called novation. Through novation, the Clearing Corporation becomes the buyer to every seller and the seller to every buyer, thereby acting as a legal counterparty to all trades. This ensures that if there is a default by either party, the Clearing Corporation is responsible for ensuring settlement.

NEW QUESTION # 113

Select the correct statements regarding the 'Settlement of Funds' and 'Mode of Payment' compliance requirements for stock brokers.

(Select all that apply)

- A. Authorization for maintaining a running account can be signed by the client's Power of Attorney (POA) holder.
- B. Brokers are permitted to accept cash from clients for margin purposes up to Rs. 20,000.
- C. All payments from/to clients must be strictly by account payee crossed cheques/demand drafts or direct credit into the bank account.
- D. Brokers must maintain an audit trail of funds received through electronic fund transfers to ensure they are from the client's own account.
- E. For clients with outstanding obligations on the settlement date, the broker may retain the requisite funds towards such obligations.

Answer: C,D,E

Explanation:

Statement A is incorrect; Brokers should 'not accept cash'. Statement B is correct. Statement C is incorrect; authorization must be signed 'by the client only and not by any... holder of the Power of Attorney'. Statement D is correct. Statement E is correct.

NEW QUESTION # 114

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

Answer: D

Explanation:

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.

NEW QUESTION # 115

Which of the following statements are TRUE regarding the management, accruals, and usage of the Core Settlement Guarantee Fund (Core SGF)? (Select all that apply)

- A. Any penalties levied by the Clearing Corporation shall be credited to the Core SGF corpus.
- B. The Regulatory Oversight Committee (ROC) of the Clearing Corporation manages the Core SGF.
- C. Interest on cash contribution to Core SGF accrues to the Clearing Corporation as management fees.
- D. Stock Exchanges are allowed to transfer excess contribution made by them from the Core SGF of one CC to the Core SGF of another CC in an inter-operable scenario.
- E. CC contribution to Core SGF is treated as a liability and excluded from its net worth.

Answer: A,B,D

Explanation:

According to the source: Penalties levied by CC shall be credited to Core SGF corpus (Option A is True). Interest on cash

contribution shall accrue to the Core SGF and be attributed pro-rata (Option B is False). The ROC of the CC shall manage the Core SGF (Option C is True). SEs are allowed to transfer excess contribution in inter-operable scenarios (Option D is True). CC contribution to core SGF shall be considered as part of its net worth (Option E is False).

NEW QUESTION # 116

According to the 'Default Waterfall' mechanism for the Core Settlement Guarantee Fund (Core SGF), if a member defaults, which resource is utilized immediately ****after**** the defaulting member's monies (and insurance) are exhausted, but ****before**** the Core SGF corpus is accessed?

- A. Stock Exchange contribution to Core SGF.
- **B. Clearing Corporation resources equal to 5% of the segment MRC.**
- C. Penalties credited to Core SGF.
- D. Clearing Member Primary Contribution.
- E. Capped additional contribution by non-defaulting members.

Answer: B

Explanation:

The utilization of the Settlement Guarantee Fund is generally in the following order: 1. Monies of defaulting member. 2. Insurance, if any. 3. resources (equal to 5% of the segment 4. Core SGF of the segment.

NEW QUESTION # 117

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