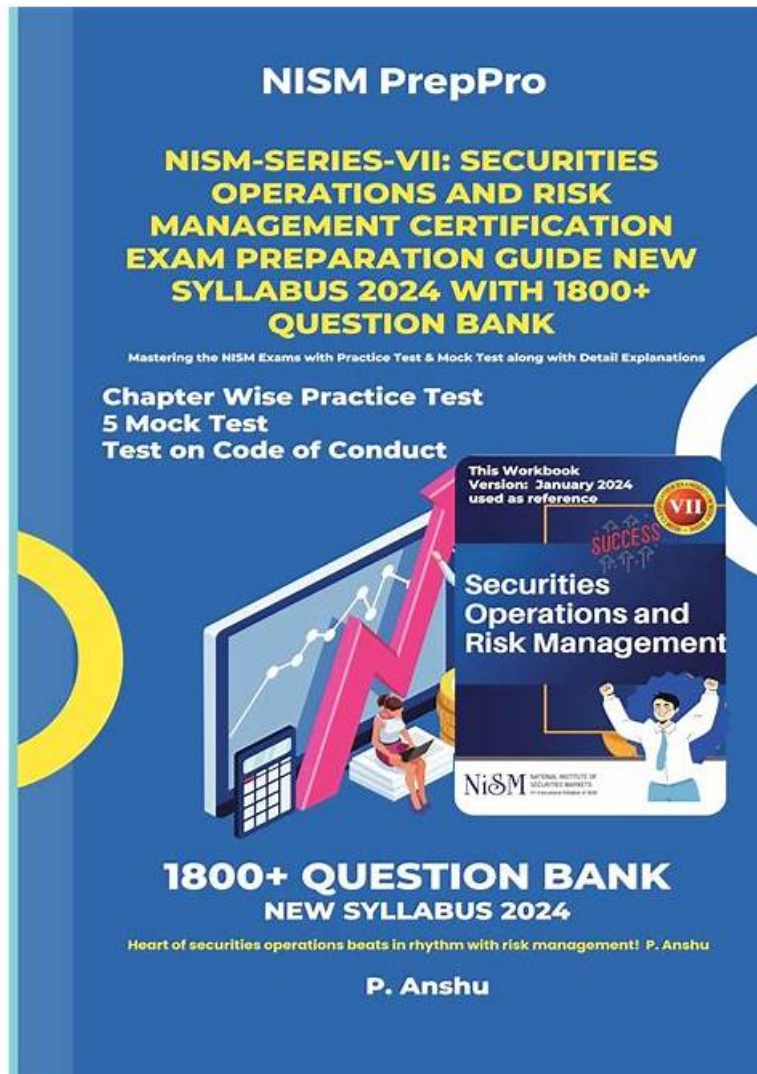


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q32-Q37):

NEW QUESTION # 32

Under the SEBI guidelines regarding the monitoring of unauthenticated news by market intermediaries, what is the mandatory protocol for an employee who receives market-related news via their personal mail or blog?

- A. The employee should forward the news to clients immediately with a disclaimer stating it is unverified.
- B. The employee is strictly prohibited from accessing personal mail or blogs on office premises.
- C. The employee must verify the accuracy of the news with at least two independent sources before forwarding.
- D. The employee must report the sender of the news to the Financial Intelligence Unit (FIUJ) within 24 hours.
- **E. The news should be forwarded only after the same has been seen and approved by the Compliance Officer.**

Answer: E

Explanation:

The guidelines state: 'Employees should be directed that any market related news received by them either in their official mail/personal mail/blog or in any other manner, should be forwarded only after the same has been seen and approved by the Compliance Officer of the concerned Intermediaries.'

NEW QUESTION # 33

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

Answer: C

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 # 34

Since auction sessions are not applicable under the T+0 settlement cycle, how are securities shortages handled by the Clearing Corporation?

- A. Shortages are settled by borrowing securities from the Securities Lending and Borrowing (SLB) segment automatically.
- B. Shortages are deemed as 'bad delivery' and the trade is annulled immediately.
- **C. Shortages are directly closed out at above the highest price of the day across all exchanges for the T+0 market.**
- D. Shortages are directly closed out at a rate of 20% above the official closing price of the T+1 market.
- E. Shortages are carried forward to the T+1 auction session conducted on the next day.

Answer: C

Explanation:

In the T+0 settlement cycle, an auction shall not be conducted in case of securities shortage. Security shortages shall be directly closed out at 10% above the highest price of the day across all exchanges for the T+0 market.

NEW QUESTION # 35

Which of the following statements accurately reflect the nature and regulation of 'Research Reports' provided by stock brokers? (Select all that apply)

- A. Research reports normally educate investors about industry trends and which company scrips to buy, sell, or hold.
- B. Brokerage houses must comply with SEBI (Research Analysts) Regulation, 2014.
- C. Sector reports focus solely on the financial statements of a single company without considering industry policies.
- D. Research advice and recommendations can be delivered online or via SMS.
- E. Brokers are exempt from SEBI regulations when providing research reports if they are also registered as Merchant Bankers.

Answer: A,B,D

Explanation:

Statement A is correct ('educate investors about the industry trends... which company scrips to buy, sell or hold'). Statement C is correct ('comply with... SEBI (Research Analysts) Regulation, 2014'). Statement E is correct ('can be obtained as SMS... more online now'). Statement B is incorrect (strict rules apply). Statement D is incorrect (Sector reports cover how an industry is faring and policies).

NEW QUESTION # 36

To calculate the Adjustment Factor for a **Rights Issue** in the Equity F&O segment, the 'Benefits per share (E)' must first be determined. Which formula correctly represents the calculation of 'E'?

- A.
- B.
- C.
- D.
- E.

Answer: E

Explanation:

In the context of Rights Issue adjustment, Benefits per share (E) is calculated using the formula: $E = (P - S) * A / (A + B)$, where P is the underlying close price on the last cum date, S is the issue price of the rights, A is the Rights Entitlement, and B is the Number of Existing shares.

NEW QUESTION # 37

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