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Study Notes for NISM Series VII : Securities Operations & Risk Management (SORM)

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Prepared By

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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q256-Q261):

NEW QUESTION # 256

In the context of the Cash Market segment, how is the role of a 'Custodian' distinct from that of a standard Trading Member regarding the settlement of trades?

- A. Custodians execute trades on the exchange floor but outsource the clearing function to Professional Clearing Members.
- B. Custodians settle trades only for retail clients who do not have a valid PAN.
- C. Custodians automatically guarantee all trades executed by any Trading Member without the need for trade confirmation.
- **D. Custodians act as Clearing Members but not Trading Members; they settle trades on behalf of institutional clients executed through other Trading Members.**
- E. Custodians are primarily responsible for the proprietary trading of the Clearing Corporation.

Answer: D

Explanation:

The text defines Custodians as: 'Custodians are also clearing members like PCMs but not trading members. They settle trades on behalf of the clients of the trading members, when a particular trade is assigned to them for settlement.' This specifically applies to institutional clients.

NEW QUESTION # 257

In the context of the T+1 Rolling Settlement schedule for the Cash Market, which of the following specific deadlines is mandated for the completion of custodial confirmation of trades to the Clearing Corporation?

- A. By 11:00 AM on T+1 day
- **B. By 7:30 AM on T+1 day**
- C. By 4:15 PM on T day
- D. By 9:00 AM on T+1 day
- E. By 8:30 AM on T+1 day

Answer: B

Explanation:

According to the typical activity schedule for T+1 Rolling Settlement in the Cash Market, the completion of custodial confirmation of trades to the Clearing Corporation/Clearing House must occur by 7:30 AM on the T+1 day. The download of obligation files happens subsequently by 9:00 AM.

NEW QUESTION # 258

Apart from the primary clearing account, a Clearing Member is permitted to maintain an 'additional clearing account' with a designated clearing bank. For what specific operational purposes is this additional account utilized?

- **A. For the purpose of enhancement of collateral in the form of cash and providing early pay-in of funds.**
- B. For settlement of commodities derivatives trades only.
- C. For collecting brokerage and statutory levies from clients.
- D. For separating proprietary trading funds from client funds.
- E. For receiving dividend payments from listed companies on behalf of clients.

Answer: A

Explanation:

The regulations specify that a Clearing Member can maintain and operate an additional clearing account with a designated clearing bank specifically for the purpose of enhancement of collateral in the form of cash and providing early pay-in of funds.

NEW QUESTION # 259

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

Answer: D

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 # 260

In the context of the Indian Money Market, issuers must adhere to specific credit rating requirements to issue Commercial Paper (CP).

What is the minimum credit rating required from a Credit Rating Agency (CRA) for the issuance of CPs?

- **A. A3**
- B. A1
- C. A2
- D. AAA
- E. BBB

Answer: A

Explanation:

A Commercial Paper (CP) is used by Indian corporates to raise short-term unsecured funds. According to RBI regulations, the minimum credit rating assigned by a Credit Rating Agency (CRA) for the issuance of CPs shall be 'A3' as per the rating symbol and definition prescribed by SEBI.

NEW QUESTION # 261

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