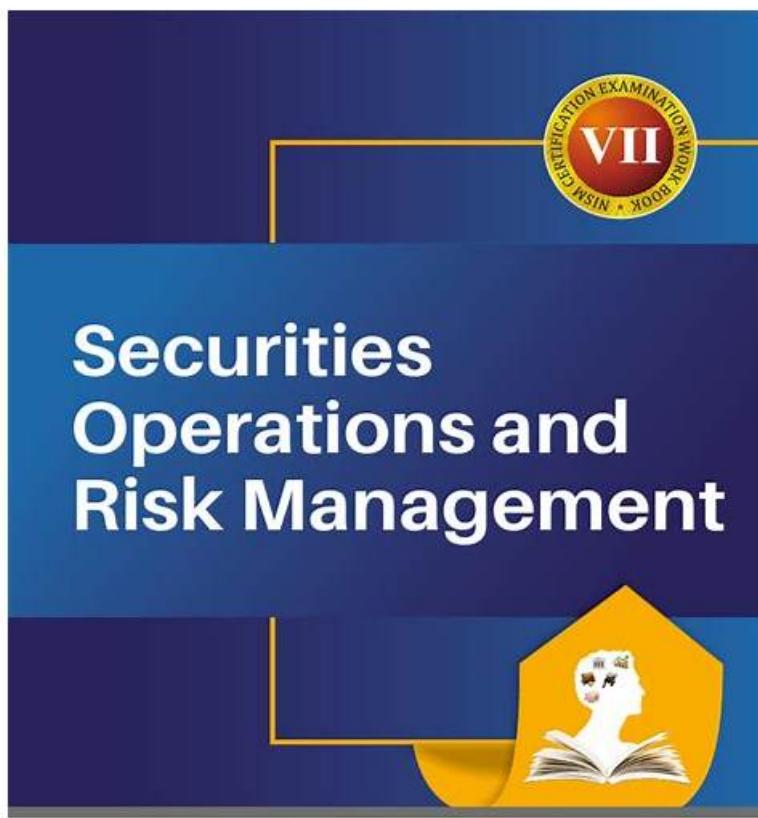


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## **NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q23-Q28):**

### **NEW QUESTION # 23**

To manage firm-level exposure, a broking firm must employ specific procedures. Which of the following activities is primarily associated with the 'Assessment of the Effectiveness of the Strategies, Policies and Procedures' in the risk management function?

- A. Setting trading limits for individual clients based on their income tax returns only.
- B. **Reviewing material changes to methodologies, models, and assumptions of risk management by the governing body.**
- C. Ensuring the front office staff executes orders without intervention from the risk department.
- D. Outlining investment guidelines solely for the purpose of maximizing proprietary trading profits.
- E. Reporting compliance exceptions to the sales team for immediate rectification.

### **Answer: B**

Explanation:

The source states that regarding the assessment of the effectiveness of strategies, policies and procedures: 'Material changes to methodologies, models, and assumptions of risk management and control policies should be reviewed by the governing body.' It also involves considering results of established policies and changes in business activities/markets.

### **NEW QUESTION # 24**

Under the 'Block Mechanism' in demat accounts for sale transactions, what is the specific operational protocol regarding the movement and unblocking of shares if the sale transaction is \*\*not\*\* executed on the trade day (T day)?

- A. Shares remain blocked until the client explicitly submits a cancellation instruction via the depository participant.
- B. Shares are transferred to the Clearing Corporation's settlement pool and returned only after the auction session on T+1 .
- C. Shares are automatically transferred to the Trading Member's pool account and returned to the client on T+1 day.
- D. Shares are debited from the client's account and held in a suspense account by the Depository until the next trading session.
- E. **Shares continue to remain in the client's demat account and will be unblocked at the end of the T day.**

### **Answer: E**

Explanation:

According to the block mechanism framework, if a sale transaction is not executed, the shares shall continue to remain in the client's demat account and will be unblocked at the end of the T day. This eliminates the movement of shares from the client's demat account for early pay- in and back if the trade is not executed.

### **NEW QUESTION # 25**

In the context of the modernization of services provided by brokers, how are research advice and recommendations increasingly being delivered to clients?

- A. Via recorded voice messages on landline telephones only.
- B. Only through the official website of the Stock Exchange.
- C. Strictly through in-person meetings at the broker's branch office.
- D. Exclusively through physical contract notes sent via post.
- E. **Through SMS on to the mobile phone.**

### **Answer: E**

Explanation:

The text states that advice and recommendations can be obtained as on to the mobile phone". It further notes, 'So, it is more online now.'

### NEW QUESTION # 26

Stock brokers bring out regular research reports for their clients. Which of the following is NOT explicitly listed in the NISM workbook as a type of research report typically provided by brokers?

- A. Stock Research
- B. **High-Frequency Arbitrage Reports**
- C. Special Reports to cater to needs of some investors
- D. Daily/weekly/fortnightly/monthly newsletters
- E. Fundamental Research

**Answer: B**

Explanation:

The source explicitly lists the following types of reports: "Fundamental Research, Stock Research, Daily/weekly/fortnightly/monthly newsletters, Special Reports to cater to needs of some investors, and Sector Reports\* \*". 'High-Frequency Arbitrage Reports' is not mentioned in this list.

### NEW QUESTION # 27

A Trading Member executes trades in both T+1 and T+0 settlement cycles for the same security on the same day. Which of the following statements correctly describes the netting of obligations between these two segments?

- A. Sell obligations in T+0 are netted against Buy obligations in T+1 to reduce margin requirements.
- B. **There shall be no netting in pay-in and pay-out obligations between T+1 and T+0 settlement cycle.**
- C. Funds are netted across segments, but securities are settled separately.
- D. Obligations are netted at the client level but not at the member level.
- E. Netting is permitted only if the member opts for the 'Unified Settlement' facility.

**Answer: B**

Explanation:

The operational details for T+0 settlement explicitly state: 'There shall be no netting in pay-in and pay-out obligations between T+1 and T+0 settlement cycle.'

### NEW QUESTION # 28

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