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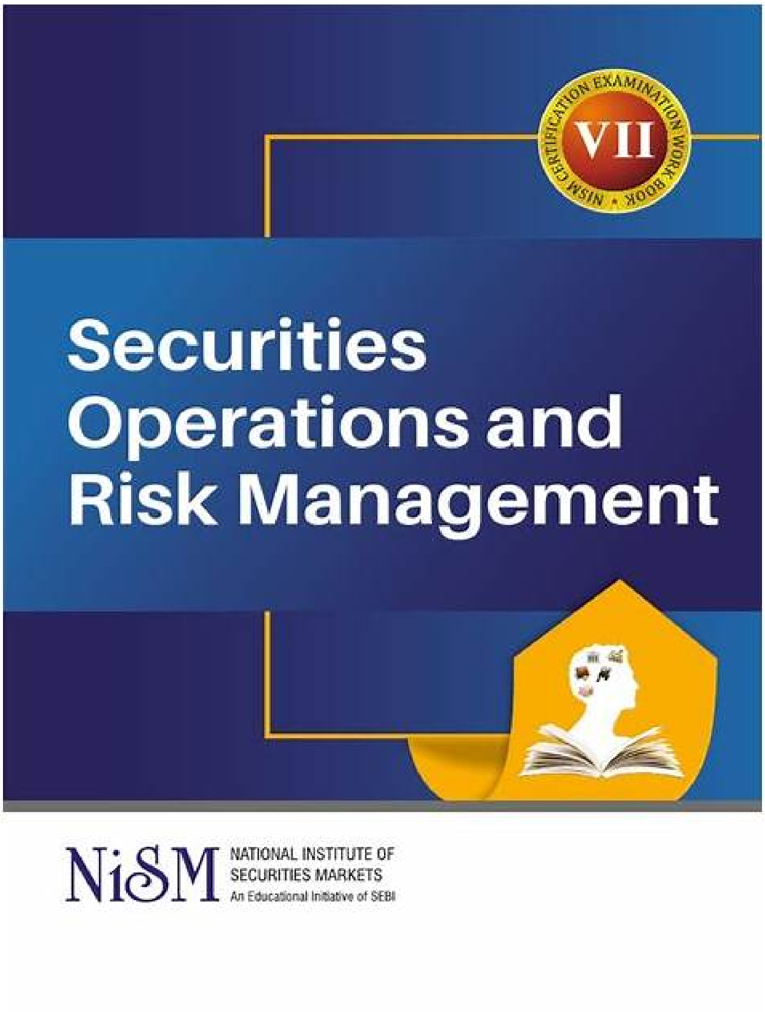

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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q267-Q272):

NEW QUESTION # 267
Stock Exchanges are required to maintain an Investor Services Fund (ISF) distinct from the Investor Protection Fund (IPF). What is the specific contribution requirement from the Stock Exchange towards the ISF?

- A. At least 20% of the listing fees received.
- B. 5% of the transaction charges collected from members.
- C. 100% of the interest earned on the 1% security deposit of issuer companies.
- D. The penalty collected for client code modification.
- E. 1% of the listing fees received, on a quarterly basis.

Answer: A

Explanation:
For the Investor Services Fund (ISF), the text states: 'The stock exchange shall set aside at least 20% of the listing fees received for ISF for providing services to the investing public.' Note that 1% of listing fees goes to the IPF, while 20% goes to the ISF.,

NEW QUESTION # 268
Which of the following statements accurately reflect the operational rules and fee structures of the Online Dispute Resolution (ODR) mechanism? (Select all that apply)

- A. For claims of Rs 1 or below, the Sole Arbitrator shall conduct a document-only arbitration process unless a hearing is specifically granted.
- B. If a Market Participant initiates the dispute resolution process, the fees shall be borne by the MIIs and not the Market Participant.
- C. Initiation of the conciliation process after six months from the date of the dispute requires payment of a late fee of Rs 1 ,000 by the initiator.
- D. The Market Participant is strictly prohibited from shifting the incidence of fees and charges to the investor/client.
- E. The ODR Portal allocates disputes to ODR Institutions based on a competitive bidding system for fees.

Answer: A,C,D

Explanation:
Option A is correct: 'The Market Participant shall not shift the incidence of such fees to the investor/client at any time'. Option B is correct: 'Initiation of conciliation process after six months... will require payment of Rs 1000/- by the initiator'. Option C is correct: When the value of claim... is Rs 1 or below... Sole Arbitrator shall conduct a document-only arbitration process'. Option D is incorrect as allocation is via a 'round-robin system'. Option E is incorrect as fees are borne directly by the Market Participant if it is initiating the process.

NEW QUESTION # 269
According to the SEBI (Prohibition of Insider Trading) Regulations, 2015, certain categories of persons are 'deemed to be connected persons' unless the contrary is established. Which of the following entities fall under this 'deemed' category?

- A. An official of a stock exchange or clearing corporation.
- B. A person who has been associated with the company in any capacity 8 months prior to the trade.
- C. A concern, firm, or HUF wherein a director of the company has more than 10% of the holding of interest.
- D. A holding company or subsidiary company of the listed entity.
- E. A banker of the company.

Answer: A,C,D,E

Explanation:
The regulations list several categories of 'deemed connected persons' including holding/subsidiary companies, bankers, officials of stock exchanges/clearing corporations, and concerns where a director has >10% interest. Option E is incorrect because the

definition of a connected person includes association during the six months prior to the concerned act, not eight months,.

NEW QUESTION # 270

SEBI has introduced the mechanism of Net Settlement of cash segment and F&O segment upon expiry of stock derivatives. Which of the following scenarios specifically qualifies for this benefit of netting (merged settlements)?

- A. An investor trading through different Trading Members who use different Clearing Members.
- B. An institutional investor trading through a Custodian in Cash and a Professional Clearing Member in F&O.
- C. All institutional investors including Foreign Portfolio Investors (FPIs).
- D. Portfolio Managers (PMS) who are mandatorily directed to enter into delivery backed transactions.
- E. An investor whose Trading Member clears trades in F&O segment and cash segment through the same Clearing Member (CM).

Answer: E

Explanation:
The benefit of netting (merged settlements) shall be available to investors whose trading member (TM) clears trades in F&O segment and cash segment through the same clearing member (CM). It is explicitly stated that this is not available for institutional investors or PMS directed to enter into delivery backed transactions.

NEW QUESTION # 271

Which of the following statements accurately describe the principles and methodology for Corporate Actions Adjustment in the Equity F&O segment? (Select all that apply)

- A. The basis for adjustment is that the value of the position on the cum-date and ex-date shall continue to remain the same as far as possible.
- B. Adjustments for corporate actions are carried out only on positions that are In-The-Money (ITM); OTM positions are left unadjusted.
- C. For Bonus issues, the new strike price is arrived at by multiplying the old strike price by the adjustment factor.
- D. The adjustments for corporate actions would be carried out on all open positions.
- E. Adjustments may entail modifications to Strike Price, Position, and Market Lot I Multiplier.

Answer: A,D,E

Explanation:
Statement A is correct regarding the basic premise of value continuity. Statement C is correct regarding the variables adjusted. Statement E is correct that it applies to open positions. Statement B is incorrect because adjustments apply to all positions, not just ITM. Statement D is incorrect because for Bonus issues, the new strike price is arrived at by *dividing* (not multiplying) the old strike price by the adjustment factor.

NEW QUESTION # 272

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