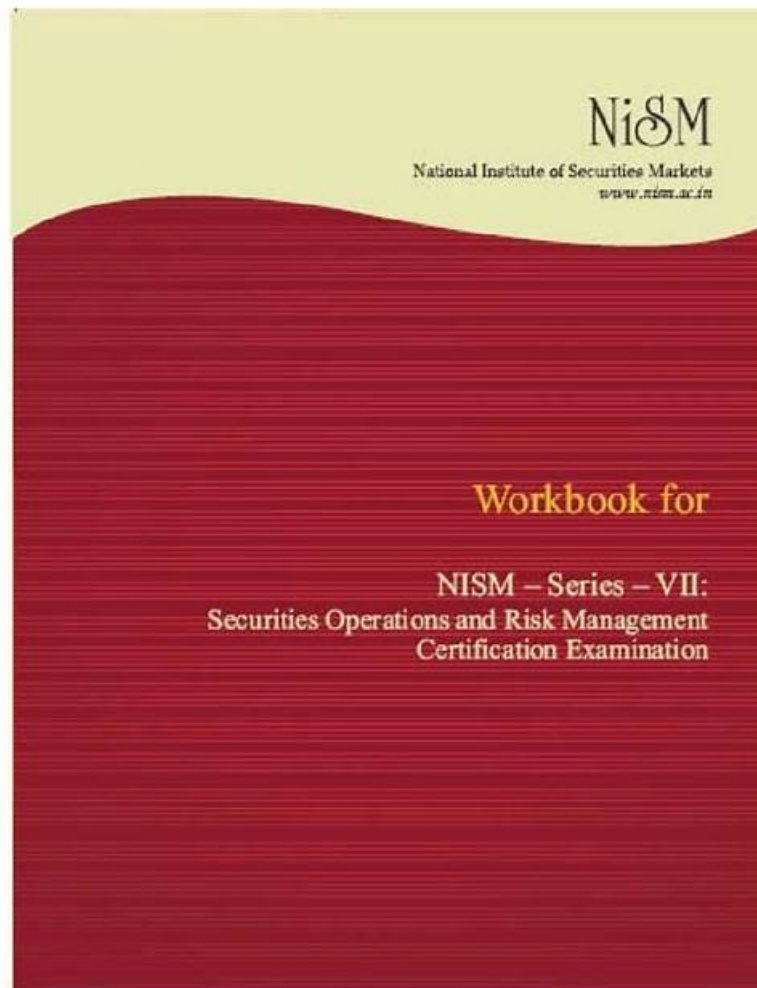


完美的NISM NISM-Series-VII新版題庫上線是行業領先材料&值得信賴的NISM-Series-VII考題免費下載



此外，這些KaoGuTi NISM-Series-VII考試題庫的部分內容現在是免費的：<https://drive.google.com/open?id=1WymBrwd75ySVXWG44M3yriOIF37pDonV>

我們會在互聯網上免費提供部分關於NISM NISM-Series-VII 認證考試的練習題讓嘗試，您會發現KaoGuTi的練習題是最全面的，是你最想要的。

當你被失敗擁抱時，也許成功正在一邊等著你。NISM-Series-VII 考古題含蓋最新的 NISM 考試指南，由專業的 NISM 認證專家進行編訂適合全球考生適用的題庫版本，保證考生都可以通過考試。讓考生遠離考試失敗的憂慮。如果考生沒有把握通過考試，本文將力薦 NISM NISM-Series-VII 考古題，含蓋最新的考試指南，確保考生順利通過 NISM-Series-VII 考試。

>> NISM-Series-VII新版題庫上線 <<

NISM-Series-VII考題免費下載 & 最新NISM-Series-VII考證

在人才濟濟的二十一世紀，專業NISM人才卻不是很多，社會需要大量的在專業NISM人才。如今檢驗人才能力的辦法之一就是NISM-Series-VII認證考試，但是NISM-Series-VII認證考試不是很容易通過的。一般參加認證考試的人都會選擇針對性的培訓課程，所以選擇一個好的培訓課程就是成功的保障。KaoGuTi的培訓課程有很高的品質。KaoGuTi的練習和真實考試試題有95%的很相似性。如果你使用了KaoGuTi提供的練習題做測試，你可以100%通過你第一次參加的NISM-Series-VII認證考試。

最新的 National Institute of Securities Markets NISM-Series-VII 免費考試真題 (Q172-Q177):

問題 #172

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

答案： E

解題說明：

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.

問題 #173

The interoperability framework among Clearing Corporations (CCs) allows Clearing Members to select the CC of their choice. Which of the following products or schemes is explicitly excluded from this interoperability framework?

- A. Equity Cash Segment
- B. Equity Derivatives
- C. Interest Rate Derivatives
- D. Currency Derivatives
- E. Securities Lending and Borrowing Scheme (SLB)

答案： E

解題說明：

The interoperability framework is applicable to all recognized clearing corporations excluding those in IFSC. However, specific schemes are excluded: The Securities Lending and Borrowing Scheme (SLB), Commodity Derivatives, Tri-party repo, Offer for Sale, etc., are kept outside Inter-operability.

問題 #174

Once a conciliator is appointed by the ODR Institution, what is the prescribed timeline for the disputing parties to reach an amicable resolution, and under what condition can this period be extended?

- A. 30 calendar days, extendable by 15 days upon approval by the MI.
- B. 45 calendar days, with no provision for extension to ensure speedy disposal.
- C. 15 calendar days, extendable by 7 days if the conciliator deems it necessary.
- D. 21 calendar days, extendable for a maximum period of 10 calendar days by consent of the disputing parties.
- E. 10 calendar days, extendable by 10 calendar days upon payment of late fees.

答案： D

解題說明：

The source states: 'Such conciliator shall conduct one or more meeting/s for the disputing parties to reach an amicable and consensual resolution within 21 calendar days (unless extended for a maximum period of 10 calendar days by consent of the disputing parties to be recorded in writing/electronically)'.

問題 #175

In the context of the 'Application Supported by Blocked Amount' (ASBA) facility processed by intermediaries in public issues, what

is the critical pre-condition explicitly mandated by SEBI before the ASBA applications can be processed?

- A. The application must be uploaded to the Exchange bidding platform.
- B. The syndicate member must issue a physical acknowledgement slip.
- C. The General Index Register (GIR) number must be verified.
- D. The physical form must be received by the Registrar.
- **E. The application monies must be blocked in the investor's bank account.**

答案： E

解題說明：

SEBI advised that 'the ASBA applications in public issues shall be processed only after the application monies are blocked in the investor's bank account.' Intermediaries are advised to ensure appropriate systemic and procedural arrangements for this.

問題 #176

In the context of the validation process for Pay-In of securities from a client's demat account to the Member Pool Account, how do Depositories handle a specific transfer instruction where the quantity specified in the instruction exceeds the client-wise net delivery obligation provided by the Clearing Corporation?

- A. The instruction is kept pending until the Clearing Corporation updates the obligation to match the instruction.
- **B. The instruction is partially processed by the depositories up to the matching obligation quantity.**
- C. The instruction is rejected in its entirety due to the discrepancy in quantity.
- D. The instruction is processed fully, but the excess securities are immediately returned to the client's account by the Clearing Member.
- E. The instruction is processed fully, creating an excess balance in the Member Pool Account which is flagged for audit.

答案： B

解題說明：

According to the validation process rules: 'If the quantity in instruction is more than the obligation provided by CC, then the instruction will be partially processed by the depositories (i.e., upto the matching obligation quantity).'

問題 #177

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