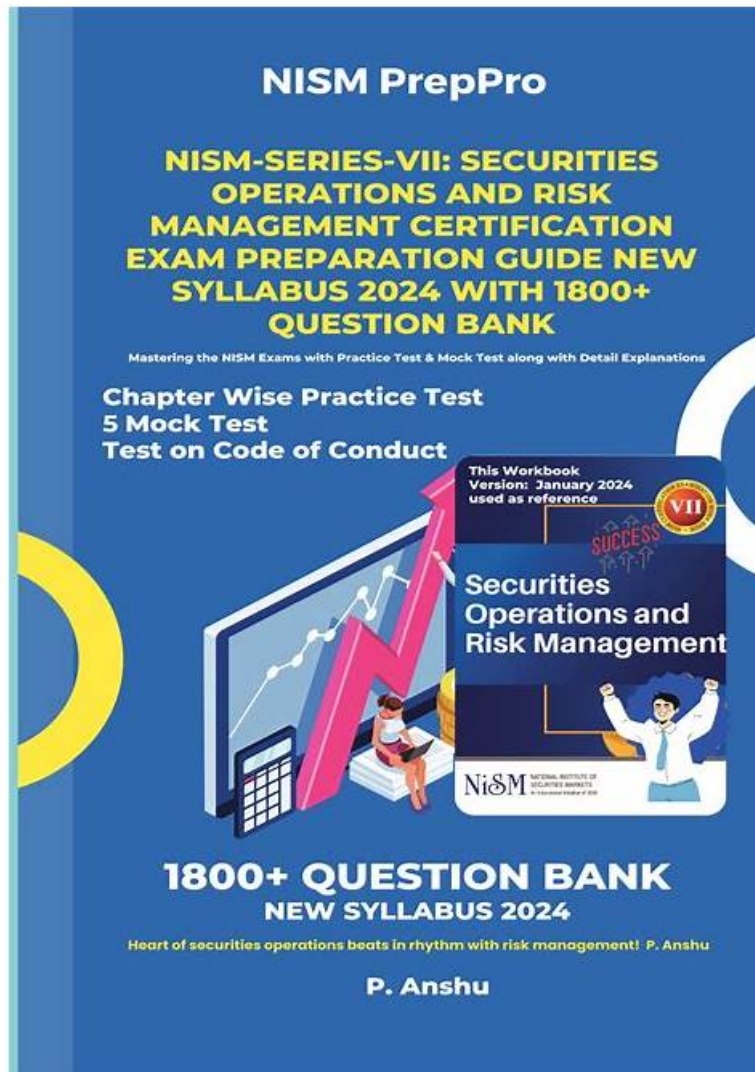


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q151-Q156):

NEW QUESTION # 151

Every Depository Participant (DP) is required to abide by a specific Code of Conduct. Which regulation explicitly specifies this Code of Conduct in its Third Schedule?

- A. SEBI (Intermediaries) Regulations, 2008
- **B. SEBI (Depository & Participants) Regulations, 2018**
- C. Depositories Act, 1996
- D. SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015
- E. SEBI (Prohibition of Insider Trading) Regulations, 2015

Answer: B

Explanation:

Every DP shall abide by the Code of Conduct as specified in Part A of Third Schedule of SEBI (Depository Participant) Regulation, 2018 and other guidelines specified by SEBI/Depository from time to time.

NEW QUESTION # 152

In the T+1 rolling settlement cycle for institutional trades involving a Custodian, what is the specific deadline for the 'Obligation Transfer Request (OTR)' for trades where the 'INST' code was used?

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

Answer: C

Explanation:

The general timeline for custodian-settled trades for institutional clients in T+1 rolling settlement specifies that the Obligation Transfer Request (OTR) for INST trades must be completed on T day up to 8:00 PM.

NEW QUESTION # 153

Which of the following statements accurately reflect the 'Additional Requirements' and operational controls mandated for Internet Based Trading (IBT) and Securities Trading Using Wireless Technology (STWT)? (Select all that apply)

- A. Brokers using Internet based systems are permitted to cross trades of their clients with each other internally to save transaction costs.
- **B. The broker shall capture the IP (Internet Protocol) address from where the orders are originating.**
- C. Encryption levels for communication are governed solely by the Stock Exchange's internal policy, independent of DOT regulations.
- **D. In case of no activity by the client, the system should provide for automatic trading session logout.**
- **E. The broker system should have on-site as well as remote site back-up capabilities.**

Answer: B,D,E

Explanation:

Option A is incorrect: 'Brokers using Internet based systems for routing client orders will not be allowed to cross trades of their clients with each other. All orders must be offered to the market for matching.' Option E is incorrect: 'DOT policy and regulation shall govern the level of encryption.' Options B, C, and D are correct based on the 'Additional Requirements' section: Capture IP address, Automatic trading session logout, and On-site as well as remote site back-up capabilities.

NEW QUESTION # 154

In the context of the 'Trade to trade' or 'Gross obligations' method for determining settlement obligations, how are a member's funds obligations calculated?

- A. Funds pay-in is equivalent to the cumulative value of buy transactions, and funds pay-out is equivalent to the cumulative sell value.
- B. Funds pay-in is the cumulative buy value minus 20% margin, and pay-out is the cumulative sell value.
- C. Funds pay-in and pay-out are both calculated on a netted basis across all clients.
- D. Funds obligations are determined solely based on the netted quantity of securities delivered.
- E. Funds pay-in is the net of cumulative buy and sell values, while funds pay-out is zero.

Answer: A

Explanation:

Under 'Trade to trade or Gross obligations', transactions will not be netted. A member's funds pay-in will be equivalent to cumulative value of buy transactions and funds pay-out will be equivalent to cumulative sell value.

NEW QUESTION # 155

Large stock brokers have evolved from pure trading intermediaries into comprehensive 'Financial Services Companies'. In this capacity, which specific service is highlighted as being offered primarily to High Net Worth Individuals (HNIs)?

- A. Public Provident Fund (PPF) management
- B. Direct Benefit Transfer (DBT) facilitation
- C. Wealth management services
- D. Basic savings bank account services
- E. Micro-credit facilities

Answer: C

Explanation:

The text states: 'They also offer wealth management services for high net worth individuals (HNIs).' This is a distinct service offered by big stock brokers who have converted into financial services companies.

NEW QUESTION # 156

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