

NISM-Series-VII High Passing Score - Exam NISM-Series-VII Revision Plan



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>> **NISM-Series-VII High Passing Score <<**

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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q76-Q81):

NEW QUESTION # 76

In the General Clearing Process for the Cash Segment under the T+1 rolling settlement cycle, by what specific time must the custodial confirmation of trades be completed on the T+1 day?

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

Answer: B

Explanation:

According to the General Clearing process in Cash Segment for T+1 rolling settlement, the clearing members/custodians must confirm back institutional/Custodian Participant trades by 7:30 a.m. on T+1 day. Subsequently, the final obligations are downloaded

by 9:00 a.m.

NEW QUESTION # 77

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

Answer: C

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 # 78

In the context of the Securities Trade Life Cycle, specific activities are categorized into Front Office, Middle Office, and Back Office operations. Based on the NISM workbook, which of the following combinations correctly maps these activities to their respective offices?

- A. Front Office: Risk Management; Middle Office: Order Matching; Back Office: Clearing and Settlement
- B. Front Office: Settlement; Middle Office: Order Matching; Back Office: Risk Management
- C. Front Office: Clearing; Middle Office: Risk Management; Back Office: Placing of Order
- D. Front Office: Routing of order; Middle Office: Risk Management; Back Office: Confirmation of trades
- E. Front Office: Trade Confirmation; Middle Office: Routing of order; Back Office: Order Matching

Answer: D

Explanation:

According to the source, the steps in a trade's life cycle are categorized as follows: 'Placing of an order by the investor / client / broker, matching of order and its conversion into trade and routing of order through the trading platform are generally the front office functions; Risk management is the middle office function; Confirmation of trades and Clearing and Settlement of trades are the back office functions.'

NEW QUESTION # 79

When a company announces a Bonus Issue in the ratio of A:B, specific adjustments are made to the Strike Price, Market Lot, and Position of Equity F&O contracts. Which of the following formulas correctly represents the Adjustment Factor used for these calculations?

- A. (A + B) / B
- B. B / (A + B)
- C. (A * B) / (A + B)
- D. A / (A + B)
- E. (A - B) / B

Answer: A

Explanation:

For a Bonus Issue with ratio A:B, the Adjustment factor is calculated as (A+B)/B. For example, for a 1:1 bonus, A= 1, B=1, Factor = (1+1)/1 = 2. This factor is then used to divide the old strike price and multiply the old market lot/position.

NEW QUESTION # 80

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

Answer: A,C,E

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 # 81

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