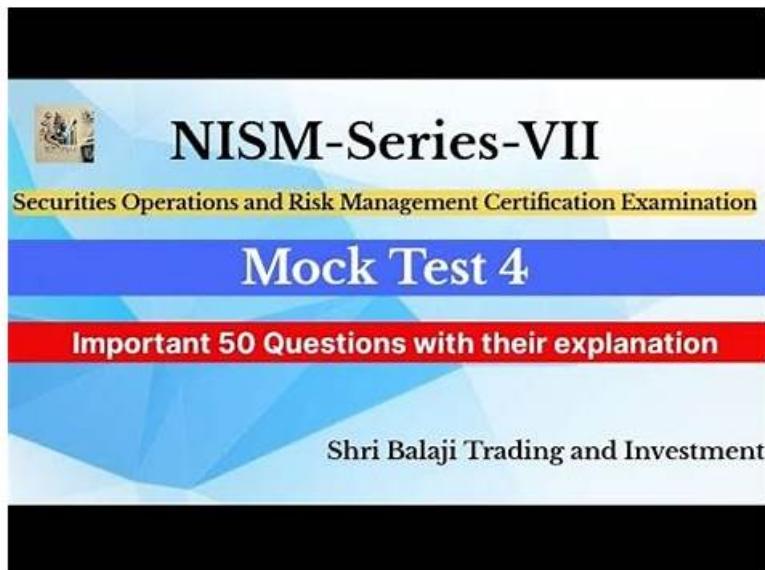


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q248-Q253):

NEW QUESTION # 248

Which of the following statements correctly describe the logic for blocking margins from collateral for different types of trades under the client collateral segregation framework? (Select all that apply)

- A. For a trade from a client account, if client collateral is insufficient, the residual margin is blocked from the TM proprietary collateral.
- B. Margins based on trades from the proprietary account of the CM are blocked from the proprietary collateral of the CM only.
- C. For a trade from the proprietary account of a TM, margin is first blocked from the TM proprietary collateral, and if insufficient, from the CM proprietary collateral.

- D. If a CM's proprietary collateral is insufficient for a TM's proprietary trade, the CC utilizes the Core SGF immediately.
- E. For a client trade, if TM proprietary collateral is insufficient, the residual margin is blocked from the collateral of other clients of the same TM.

Answer: A,B,C

Explanation:

Statement A is correct: Client trade margin logic is Client Collateral -> TM Prop -> CM Prop. Statement B is correct: TM Prop trade margin logic is TM Prop CM Prop. Statement C is correct: CM Prop trade margin logic is CM Prop only. Statement D is incorrect because client collateral is segregated and cannot be used for other clients or prop trades. Statement E is incorrect as it refers to the default waterfall, not the initial blocking logic.

NEW QUESTION # 249

In the context of clearing membership on a Stock Exchange, identify the member category that possesses only clearing rights (no trading rights) and is authorized to clear and settle trades executed by both trading members and custodian participants.

- A. Trading cum Self-clearing Member (SCM)
- B. Trading Member (TM)
- **C. Professional Clearing Member (PCM)**
- D. Trading Member-cum-Clearing Member (TCM)
- E. Authorized Person (AP)

Answer: C

Explanation:

A Professional Clearing Member (PCM) has only clearing rights and does not have trading rights. They clear and settle trades executed by trading members and custodian participants. A TCM has both trading and clearing rights. An SCM clears only their own trades. A TM has no clearing rights.

NEW QUESTION # 250

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

Answer: A

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 # 251

In the context of the settlement of securities for sale transactions, specifically regarding the 'Demat Debit and Pledge Instruction' (DDPI), which of the following statements accurately defines the scope of authorization given by the client to the stock broker?

- A. It allows the broker to pledge the client's securities with a Non-Banking Financial Company (NBFC) to raise working capital for the brokerage firm
- B. It grants full power of attorney to the broker to buy and sell securities without specific trade instructions from the client.
- **C. It explicitly authorizes the broker to access the client's beneficial owner account for the limited purpose of transferring securities to the broker's pool account to meet pay-in obligations.**
- D. It is a mandatory requirement for opening a demat account and cannot be revoked by the client under any circumstances.
- E. It authorizes the broker to transfer securities for off-market trades between unrelated parties to settle personal debts of the

client.

Answer: C

Explanation:

Clients can give 'Demat Debit and Pledge Instruction' (DDPI) under which they explicitly agree to authorize the stock broker/stock broker and depository participant to access their BO account for the limited purpose for transferring securities from their individual demat account to brokers pool account for the purpose of meeting their pay-in obligation. This serves to mitigate the misuse associated with the broader Power of Attorney (PoA)..

NEW QUESTION # 252

Under which of the following circumstances does the Clearing Corporation directly 'Close Out' the shortage WITHOUT conducting an auction session? (Select all that apply)

- A. Shortage arising from trades executed in the normal rolling settlement cycle (T+1) for Group I liquid securities.
- B. Shortage in delivery of securities under corporate action (e.g., undergoing stock split/bonus).
- C. Shortage arising from trades executed in the Block Deal window.
- D. Shortage arising from trades in the T+0 rolling settlement cycle.
- E. Shortage in securities under the Trade for Trade Surveillance (TFTS) category.

Answer: B,C,D,E

Explanation:

The source specifies that for certain delivery shortages, CC directly does the close-out without conducting an auction. Examples include: Securities under trade for trade category, securities under corporate action, trades done on block deal window (Section 6.5.2). Additionally, regarding the T+0 rolling settlement cycle, it is stated that 'Auction shall not be conducted in case of securities shortage. Security shortages shall be directly closed out' (Section 3.4.3 / 5.7). Option C is incorrect because normal rolling settlement shortages are handled via auction.

NEW QUESTION # 253

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