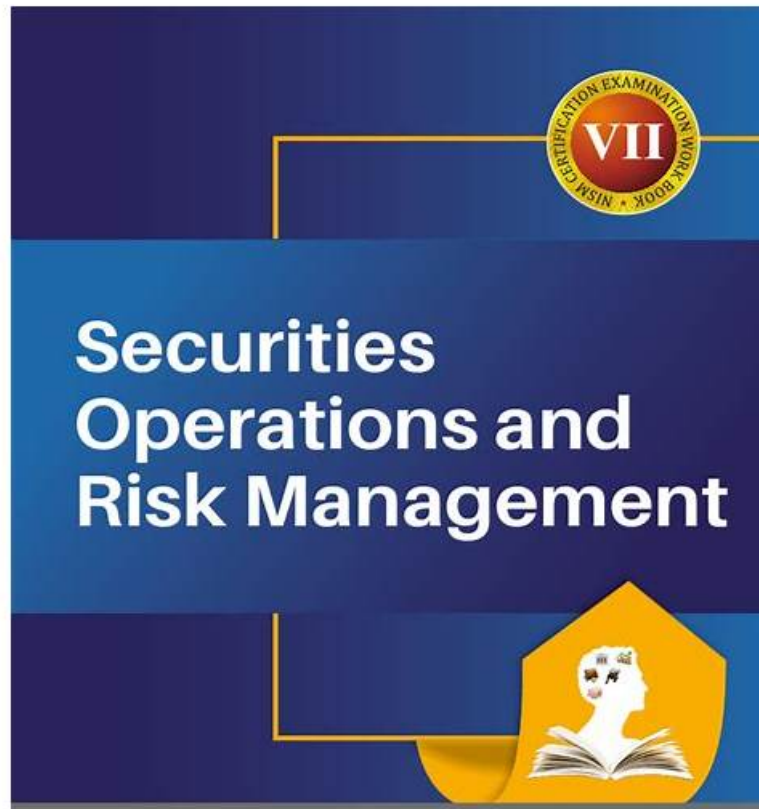


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## **NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q141-Q146):**

### **NEW QUESTION # 141**

In the event of a default by a clearing member, the 'Default Waterfall' prescribes the specific order in which resources are utilized. Which of the following resources is utilized immediately after the monies of the defaulting member and Insurance (if any) are exhausted, but before the Core SGF is accessed?

- A. Stock Exchange contribution to the Core SGF.
- B. Penalties credited to the Core SGF.
- C. Capped additional contribution by non-defaulting members.
- **D. Clearing Corporation resources equal to 5% of the segment MRC.**
- E. The entire Core SGF corpus on a pro-rata basis.

**Answer: D**

Explanation:

According to the Default Waterfall specified in the source, the order is: 1. Monies of defaulting member, 2. Insurance, if any, 3. CC resources (equal to 5% of the segment MRC), and then 4. Core SGF of the segment (starting with Penalties, then CC contribution of at least 25%, etc.).

### **NEW QUESTION # 142**

Which of the following statements accurately reflect the roles and functions of a Clearing Corporation as a central counterparty (COP)?

(Select all that apply)

- **A. It guarantees settlement of trades through the process of novation.**
- **B. It calculates and controls the margining mechanism.**
- **C. It reduces the number of payments due by netting transactions.**
- D. It executes client orders on the stock exchange platform on behalf of the trading members.
- **E. It provides independent legal enforcement of contracts, reducing the need for buyers and sellers to take legal action against one another.**

**Answer: A,B,C,E**

Explanation:

The Clearing Corporation guarantees settlement (novation), reduces payments via netting, provides dispute resolution/legal enforcement (buyers/sellers don't sue each other), and calculates/controls margining. Option D is incorrect because the Clearing Corporation does not execute orders; execution is the function of the Stock Exchange/Trading Members.

### **NEW QUESTION # 143**

If a client submits a transfer instruction where the quantity is \*less\* than the net delivery obligation provided by the Clearing Corporation, what is the outcome of the validation process by the Depositories?

- A. The instruction is rejected because it does not fully meet the obligation.
- B. The instruction is held in abeyance until a supplementary instruction for the balance quantity is received.
- **C. The instruction is carried out by the depositories.**
- D. The instruction is routed to the Clearing Member for manual approval before processing.
- E. The instruction is processed, but a penalty is automatically levied on the client for short delivery.

**Answer: C**

Explanation:

As per the validation logic: 'If the quantity in instruction is less than the obligation provided by CC, then the instruction will be carried out by the depositories.'

#### NEW QUESTION # 144

Under the framework where Unified Payment Interface (UPI) is used as a payment mechanism with ASBA for public issues, individual investors can submit their bid-cum-application forms with UPI IDs to which of the following entities? (Select all that apply)

- A. A Stock Broker registered with a recognised stock exchange (eligible for this activity)
- B. The Reserve Bank of India designated cell
- C. A Depository Participant (eligible for this activity)
- D. A Syndicate Member
- E. A Registrar to an issue and share transfer agent (eligible for this activity)

**Answer: A,C,D,E**

Explanation:

The text lists the entities to whom the bid-cum-application form with UPI ID can be submitted: 'a syndicate member; a stock broker registered with a recognised stock exchange...; a depository participant...; a registrar to an issue and share transfer agent...'. RBI is not an entity for submission of forms.

#### NEW QUESTION # 145

Regarding the operational obligations of a Portfolio Manager, which of the following statements regarding the maintenance of books, audit, and reporting to clients is legally accurate?

- A. Books of account must be preserved for 3 years, and reports furnished to clients annually.
- B. Books of account must be audited every quarter, and reports furnished to clients every month.
- C. Audit of books is optional for non-discretionary portfolio managers.
- D. Books of account must be audited yearly, and a report furnished to the client not exceeding a period of three months.
- E. The portfolio manager is not required to appoint a custodian if they provide discretionary services.

**Answer: D**

Explanation:

The portfolio manager shall furnish periodically a report to the client, as agreed in the contract, but not exceeding a period of three months. The books of account will be audited yearly by a qualified auditor. Books must be maintained for 5 years.

#### NEW QUESTION # 146

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