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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q249-Q254):

NEW QUESTION # 249

In certain market segments or scenarios, the Clearing Corporation bypasses the auction mechanism and directly initiates a 'Close Out' for delivery shortages. Which of the following is a specific case where this direct close-out procedure is mandated?

- A. Shortages arising from institutional trades not confirmed by the Custodian.
- B. **Trades executed in the Block Deal window.**
- C. Internal shortages within a broker's firm that could not be resolved via self-auction.
- D. Shortages where the value is less than Rs. 1 Lakh.
- E. Shortages in liquid securities (Group I) where the impact cost is less than 1%.

Answer: B

Explanation:

The source specifies that in certain delivery shortages, the clearing corporation directly does the close-out without conducting an auction. Examples provided include 'Securities under trade for trade category, securities under corporate action, trades done on block deal window etc.'

NEW QUESTION # 250

Under the regulatory framework defined in Section 24 of the Companies Act, 2013, the administration of specific provisions for listed companies (or those proposed to be listed) is delegated to the Securities and Exchange Board of India (SEBI). Which of the following matters is EXCLUSIVELY administered by SEBI under this delegation, while remaining otherwise under the Central Government's administration?

- A. Non-payment of dividend
- B. Incorporation of the company
- C. Conduct of Annual General Meetings
- D. Registration of the company's memorandum of association
- E. Appointment of key managerial personnel

Answer: A

Explanation:

Section 24 of the Companies Act, 2013, delegates the power to regulate the issue and transfer of securities and the non-payment of dividend by listed companies (or those intending to get listed) to SEBI. All other provisions of the Companies Act are administered by the Central Government (Ministry of Corporate Affairs).

NEW QUESTION # 251

Select the correct combination of statements regarding the expiry cycle and settlement of Long Dated Index Options and Equity Index Futures in the Indian Securities Market.

- A. Statement I: All Index Futures are cash settled. Statement II: Long dated options are available up to a 5-year expiry cycle with quarterly and half-yearly expiries.
- B. Statement I: Index Futures expire on the last Friday of the month. Statement II: Long dated options follow only a monthly expiry cycle.
- C. Statement I: Index Futures are cash settled. Statement II: Long dated options have a maximum expiry of 12 months.
- D. Statement I: Index Futures are physically settled. Statement II: Long dated options have a 3-year expiry cycle.
- E. Statement I: All Index Futures are physically settled. Statement II: Long dated options expire on the first Thursday of the quarter.

Answer: A

Explanation:

The source states: 'All Index future and option contracts are cash settled.' Regarding expiry cycles: 'Monthly index contracts generally have 3-month expiry cycle except for the long dated options contracts which are available up to 5-year expiry cycle with quarterly expiries (March, June, Sept & Dec cycle) and half yearly expiries (Jun, Dec cycle).'

NEW QUESTION # 252

Periodic settlement of running accounts is mandatory for most clients. However, under which of the following specific circumstances is the periodic settlement of funds **NOT** necessary to the extent of funds involved?

- A. For clients trading in the derivatives segment with open positions, even if they have excess free cash.
- B. For Non-Resident Indian (NRI) clients dealing through the Portfolio Investment Scheme (PIS).
- C. For clients availing Margin Trading Facility (MTF), to the extent of funds/securities relating to MTF used by the client.
- D. For High Net Worth Individuals (HNIs) who have provided a 'Do Not Settle' instruction.
- E. For clients who have a credit balance of less than Rs. 10,000.

Answer: C

Explanation:

Such periodic settlement of running account may not be necessary for clients availing margin trading facility (MTF) as per SEBI circular, to the extent of funds/securities relating to MTF used by client. It is also not necessary for funds received in the form of BG/FDR or for institutional clients settling trades through custodians.

NEW QUESTION # 253

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

Answer: E

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 # 254

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