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## **NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q102-Q107):**

### **NEW QUESTION # 102**

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

**Answer: B**

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 # 103**

To manage firm-level exposure, a broking firm must employ specific procedures. Which of the following activities is primarily associated with the 'Assessment of the Effectiveness of the Strategies, Policies and Procedures' in the risk management function?

- A. Setting trading limits for individual clients based on their income tax returns only.
- **B. Reviewing material changes to methodologies, models, and assumptions of risk management by the governing body.**
- C. Reporting compliance exceptions to the sales team for immediate rectification.
- D. Outlining investment guidelines solely for the purpose of maximizing proprietary trading profits.
- E. Ensuring the front office staff executes orders without intervention from the risk department.

**Answer: B**

Explanation:

The source states that regarding the assessment of the effectiveness of strategies, policies and procedures: 'Material changes to methodologies, models, and assumptions of risk management and control policies should be reviewed by the governing body.' It also involves considering results of established policies and changes in business activities/markets.

### **NEW QUESTION # 104**

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

**Answer: E**

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 # 105

A Trading Member (TM) has the following positions in a specific stock futures contract at the end of a trading day:

Proprietary Account: Buy 2000, Sell 1500

Client A: Buy 1000, Sell 1200

Client B: Buy 500, Sell 100

Based on the methodology for determining the open positions of clearing members in the derivatives segment, what is the TM's 'Open Position' for this contract?

- A. 700 contracts (Net Proprietary + Net Client Position)
- B. 6300 contracts (Gross Buy + Gross Sell of all accounts)
- **C. 1100 contracts (Net Proprietary + Absolute Net Client Long + Absolute Net Client Short)**
- D. 900 contracts (Gross Proprietary + Net Client Position)
- E. 500 contracts (Net Proprietary Position only)

**Answer: C**

Explanation:

A trading member's open position is arrived at by summing up his proprietary and client's open positions. Proprietary positions are calculated on a net basis (Buy - Sell). Client positions are netted at the client level (contract level) and then added up across clients (without netting between clients).

Proprietary Net: 2000 - 1500 = +500 (Long).

ClientA Net: 1000 - 1200 = -200 (Short).

Client B Net: 500 - 100 = +400 (Long).

TM Open Position = Proprietary Open Position (500) + Client Open Long (400) + Client Open Short (200) = 1100 contracts.

### NEW QUESTION # 106

Stock Exchanges are required to maintain Investor Service Centres (ISCs) to assist investors. Which of the following facilities is mandatorily required to be provided at all ISCS according to SEBI guidelines?

- A. A direct hotline to the Ministry of Finance.
- B. A banking counter for immediate disbursement of Investor Protection Fund claims.
- C. A library containing all annual reports of listed companies for the last 10 years.
- **D. Arbitration and appellate arbitration facility including video-calling facility.**
- E. A dedicated legal aid clinic with free lawyers for filing civil suits.

**Answer: D**

Explanation:

SEBI has advised Exchanges to provide certain minimum facilities in ISCs, which includes arbitration and appellate arbitration facility at all ISCS including video-calling facility to investors for attending their online arbitration or Grievance Redressal meetings.

### NEW QUESTION # 107

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