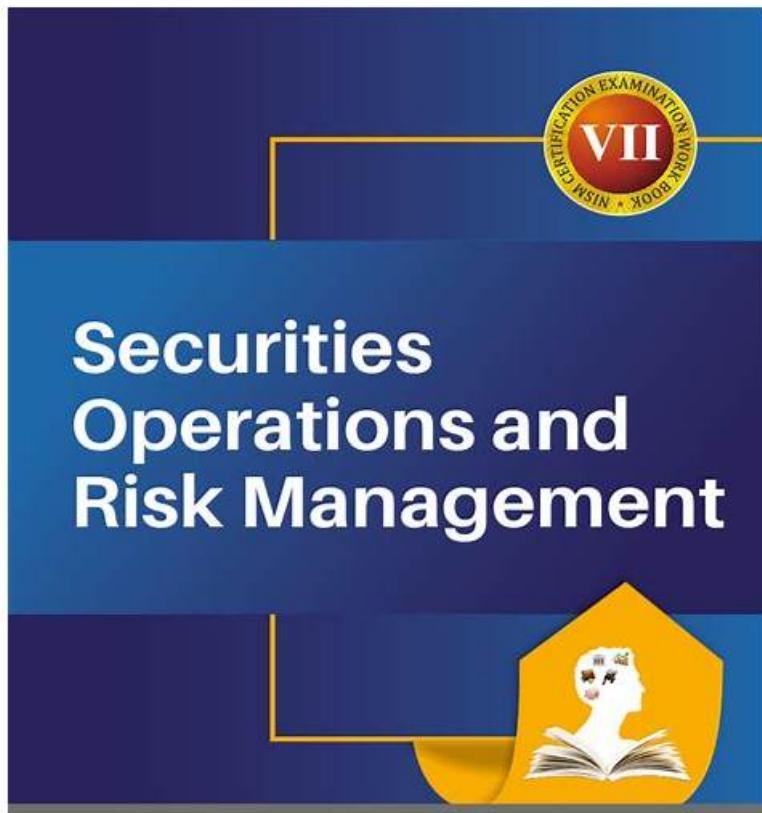


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q249-Q254):

NEW QUESTION # 249

While institutional trades generally do not attract upfront margins, specific categories of institutional investors are subject to upfront margining similar to non-institutional trades. Identify the category from the list below.

- A. Category I Foreign Portfolio Investors (Sovereign Wealth Funds)
- B. Public Financial Institutions defined under the Companies Act
- C. Insurance Companies registered with IRDAI
- D. Category II FPIs who are corporate bodies, individuals, or family offices
- E. Mutual Funds registered with SEBI

Answer: D

Explanation:

Trades of Category II FPIs who are corporate bodies, individuals, or family offices and domestic entities who may choose to settle trades through a Custodian shall be margined on an upfront basis as per the margining framework of non-institutional trades. Other institutional trades are margined on T+1 day subsequent to confirmation.

NEW QUESTION # 250

In the context of adjustments for corporate actions such as Bonus, Rights, or Mergers in the Equity F&O segment, at what specific point in time is the adjustment carried out?

- A. On the last day on which a security is traded on a 'cum' basis in the underlying equities market after the close of trading hours.
- B. On the date of the Board Meeting where the corporate action was announced.
- C. On the Ex-Date of the corporate action before the start of market hours.
- D. On the payout date of the relevant settlement cycle.
- E. On the Record Date fixed by the company for the corporate action.

Answer: A

Explanation:

The regulations specify that any adjustment for corporate actions would be carried out on the last day on which a security is traded on a cum basis in the underlying equities market after the close of trading hours.

NEW QUESTION # 251

In the context of the securities market structure, identifying the correct classification of an issue is critical for regulatory compliance. If an issuer raises resources by issuing shares to a select group of persons rather than the general public, how is this issuance technically classified?

- A. Private Placement
- B. Initial Public Offer (IPO)
- C. Bonus Issue
- D. Follow on Public Offer (FPO)
- E. Rights Issue

Answer: A

Explanation:

According to the source, resources in the primary market can be raised through a public issue or private placement. If the issue is made to a select group of people, it is termed as a Private Placement. A public issue is when anybody and everybody can subscribe. A Rights Issue is for existing shareholders, and a Bonus issue is without cost involved.

NEW QUESTION # 252

When a stock broker places an order for an additional subscription of mutual fund units in physical mode through the Exchange system, which of the following data fields is mandatory to ensure the transaction is processed correctly?

- A. Client Beneficiary ID
- **B. Folio Number**
- C. Depository Participant ID
- D. UCC Mapping Code
- E. ISIN of the Demat Account

Answer: B

Explanation:

The stock broker can request for fresh or additional subscription. For additional subscription in physical mode the folio number would be mandatory. If the DP Settlement is in depository mode, it is mandatory for the stock broker to enter depository details (Depository ID and Client Beneficiary ID).

NEW QUESTION # 253

Based on the 'Cyber Security and Cyber Resilience Framework (CSCRF)' for Stock Brokers, which of the following correctly match the 'Cyber Resiliency Goals' with their definitions? (Select all that apply)

- A. Withstand: Restore business functions to the maximum extent subsequent to adversary attacks.
- **B. Evolve: To change business functions and its supporting cyber capabilities to minimize adverse impacts of adversary attacks.**
- C. Contain: Localise containment of crisis and isolate trusted functions from untrusted ones to continue business operations.
- **D. Anticipate: Maintain a state of informed preparedness from adversary attacks.**
- E. Recover: Continue essential business functions at times of adversary attacks.

Answer: B,C,D

Explanation:

The CSCRF defines the goals as follows: 'Anticipate' is maintaining informed preparedness. 'Withstand' is continuing essential business functions during attacks (Option B is incorrect as it describes Recover). 'Contain' is localizing the crisis. 'Recover' is restoring business functions (Option D is incorrect as it describes Withstand). 'Evolve' is changing functions to minimize adverse impacts.

NEW QUESTION # 254

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