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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q122-Q127):

NEW QUESTION # 122

A Trading Member appointed as a syndicate member participates in the book building process for an IPO. Regarding the lifecycle and management of offers (bids) entered into the Stock Exchange system, which of the following statements accurately describes the operational parameters?

- A. Offers are batched and uploaded at the end of the day, receiving a collective time stamp for the batch.
- B. Once entered and numbered, offers cannot be modified by the Trading Member; they must be cancelled and re-entered.
- C. Offers placed in the system are automatically purged at the end of each trading session if not confirmed by the Registrar.
- D. The system accepts offers only during the pre-open session of the Exchange on the issue open days.
- E. Trading Members can modify or cancel all offers placed in the system from the start till the last day of the book-building process.

Answer: E

Explanation:

As per the study material, 'All the offers placed in the system will remain outstanding till the last day of the book building process. Trading Members can modify/cancel all the offers placed in the system from the start till the last day of the book-building process.' Offers are individually numbered and time-stamped as and when received.

NEW QUESTION # 123

Regarding the payment of upfront margin by a clearing member to the Clearing Corporation, which of the following statements accurately describes the timing and method of collection?

- A. Margins are collected on T+1 day before the pay-in of funds.
- **B. Margins are adjusted from the liquid assets of a clearing member on a real-time basis.**
- C. Margins are collected at the end of the trading day via a debit to the settlement account.
- D. Margins are collected only in the form of cash equivalents deposited with the Clearing Bank.
- E. Margins are calculated weekly and adjusted against the Base Minimum Capital.

Answer: B

Explanation:

The source states that the clearing member is required to pay upfront margin to the clearing corporation. The margins shall be collected/adjusted from the liquid assets of a clearing member on a real-time basis.

NEW QUESTION # 124

When implementing the recommended Web Interfaces and Protocols between a Trading Web Server and Trading Client Terminals for IBT, which technical standards are suggested for adoption?

- A. WAP 1.0 and WML only
- B. FTP Ver 2 or above and SMTP
- C. POP3 and IMAP protocols
- **D. HTTP Ver 4 or above and HTML Ver 4/XML**
- E. Telnet and Gopher protocols

Answer: D

Explanation:

Between a Trading Web Server and Trading Client Terminals, Interfaces Standards as per recommendations of IETF (Internet Engineering Task Force) and W3C (World Wide Web Consortium) may be adopted. E.g.: HTTP Ver 4 or above HTML Ver 4/XML.

NEW QUESTION # 125

In the Capital Market / Equity Segment, how is the **Mark to Market (MTM)** margin collected from a clearing member regarding their proprietary and client positions?

- A. Netted at the security level across all clients and proprietary account combined.
- B. Netted across all clients; if the Broker has a net profit across all clients, no margin is collected.
- C. Gross of all open positions; however, proprietary positions can be netted against client positions.
- D. Collected only if the MTM loss exceeds 10% of the VaR margin collected.
- **E. Gross of all net positions across all clients; no set-off of loss of one client with the profit of another client.**

Answer: E

Explanation:

MTM margin is collected on the * *gross open position* * of the member. The gross open position means the gross of all net positions across all the clients of a member including his proprietary position. For this purpose, the position of a client would be netted for each of its various securities, but * *the positions of all the clients of a broker would be grossed* * (i.e., only losses are added up, no setoff of loss of one client with profit of another).

NEW QUESTION # 126

A financial services firm applies for registration as a Portfolio Manager. They nominate Mr. X as the Principal Officer. Mr. X holds a professional qualification in finance from a recognized university. Regarding his experience, which of the following conditions MUST he satisfy to meet the eligibility criteria?

- A. Experience of at least 3 years in related activities in the securities market, with at least 1 year in portfolio management.
- B. Experience of at least 5 years strictly as a stock broker or dealer in the equity derivatives segment.
- C. Experience of at least 2 years in related activities in the securities market if he holds a CFA charter.
- **D. Experience of at least 5 years in related activities in the securities market, including at least 2 years in portfolio management or investment advisory services or fund management.**
- E. Experience of at least 7 years in related activities in the securities market, with no specific requirement for portfolio management experience.

Answer: D

Explanation:

The Principal Officer must have a professional qualification and experience of at least five years in related activities in the securities market including in a portfolio manager, stock broker, investment advisor, research analyst or as a fund manager. Provided that at least 2 years of relevant experience is in portfolio management or investment advisory services or in the areas related to fund management.

NEW QUESTION # 127

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