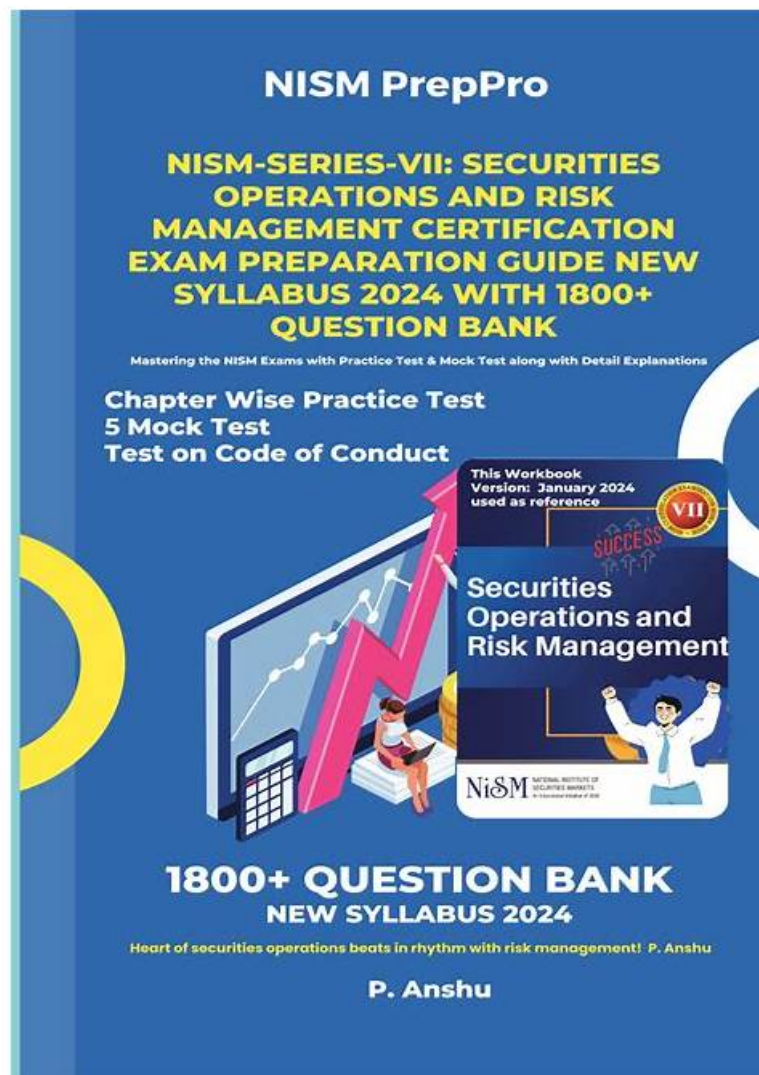


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q196-Q201):

NEW QUESTION # 196

For which specific category of clients is the 'Block Mechanism' in the demat account for sale transactions explicitly applicable?

- A. High Net Worth Individuals (HNIs) trading in the F&O segment.
- B. Retail investors using the Application Supported by Blocked Amount (ASBA) facility.
- C. Corporate clients trading through a proprietary account of the Trading Member.
- **D. Clients having arrangements with custodians registered with SEBI for clearing and settlement of trades.**
- E. Non-Resident Indians (NRIs) dealing through a Portfolio Investment Scheme (PIS).

Answer: D

Explanation:

The source explicitly states that the block mechanism shall not be applicable to clients having arrangements with custodians registered with SEBI for clearing and settlement of trades.

NEW QUESTION # 197

In the context of the modernization of services provided by brokers, how are research advice and recommendations increasingly being delivered to clients?

- A. Via recorded voice messages on landline telephones only.
- B. Strictly through in-person meetings at the broker's branch office.
- C. Exclusively through physical contract notes sent via post.
- **D. Through SMS on to the mobile phone.**
- E. Only through the official website of the Stock Exchange.

Answer: D

Explanation:

The text states that advice and recommendations can be obtained as on to the mobile phone". It further notes, 'So, it is more online now.'

NEW QUESTION # 198

The relationship between a Depository Participant (DP) and a Depository is governed by an agreement. According to the regulatory norms, where is the form of this agreement specified?

- A. In the Master Circular for Depositories issued by RBI
- B. In the Securities Contracts (Regulation) Rules, 1957
- C. In the SEBI (Stock Brokers) Regulations, 1992
- D. In the Articles of Association of the Depository Participant
- **E. In the bye-laws of the Depository**

Answer: E

Explanation:

The relationship between the DPs and the depositories is governed by an agreement made between the two under the Depositories Act. The form of the agreement is specified in the bye-laws of the depository.

NEW QUESTION # 199

Which of the following statements correctly describe the logic for blocking margins from collateral for different types of trades under the client collateral segregation framework? (Select all that apply)

- **A. For a trade from a client account, if client collateral is insufficient, the residual margin is blocked from the TM proprietary collateral.**
- B. If a CM'S proprietary collateral is insufficient for a TM's proprietary trade, the CC utilizes the Core SGF immediately.

- C. For a client trade, if TM proprietary collateral is insufficient, the residual margin is blocked from the collateral of other clients of the same TM.
- D. For a trade from the proprietary account of a TM, margin is first blocked from the TM proprietary collateral, and if insufficient, from the CM proprietary collateral.
- E. Margins based on trades from the proprietary account of the CM are blocked from the proprietary collateral of the CM only.

Answer: A,D,E

Explanation:

Statement A is correct: Client trade margin logic is Client Collateral -> TM Prop -> CM Prop. Statement B is correct: TM Prop trade margin logic is TM Prop CM Prop. Statement C is correct: CM Prop trade margin logic is CM Prop only. Statement D is incorrect because client collateral is segregated and cannot be used for other clients or prop trades. Statement E is incorrect as it refers to the default waterfall, not the initial blocking logic.

NEW QUESTION # 200

In the T+1 rolling settlement process for the Cash Market, how is the 'Pay-in of Funds' executed between the Clearing Member and the Clearing Corporation?

- A. The Clearing Member issues a physical cheque to the Clearing Corporation by 11 AM.
- B. The Clearing Member transfers funds via RTGS to the Exchange's Investor Protection Fund.
- C. The Clearing Corporation advises the Clearing Bank to debit the Clearing Member's account and credit the Clearing Corporation's account.
- D. The Clearing Corporation pulls funds directly from the client's bank account via the UPI block mechanism.
- E. The Clearing Bank automatically debits the member's account based on the trade data received directly from the Stock Exchange.

Answer: C

Explanation:

During the pay-in of funds, the Clearing Corporation advises the Clearing Banks to debit the account of Custodians/Clearing members and credit its (Clearing Corporation's) account. The Clearing Bank executes this based on the instruction.

NEW QUESTION # 201

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