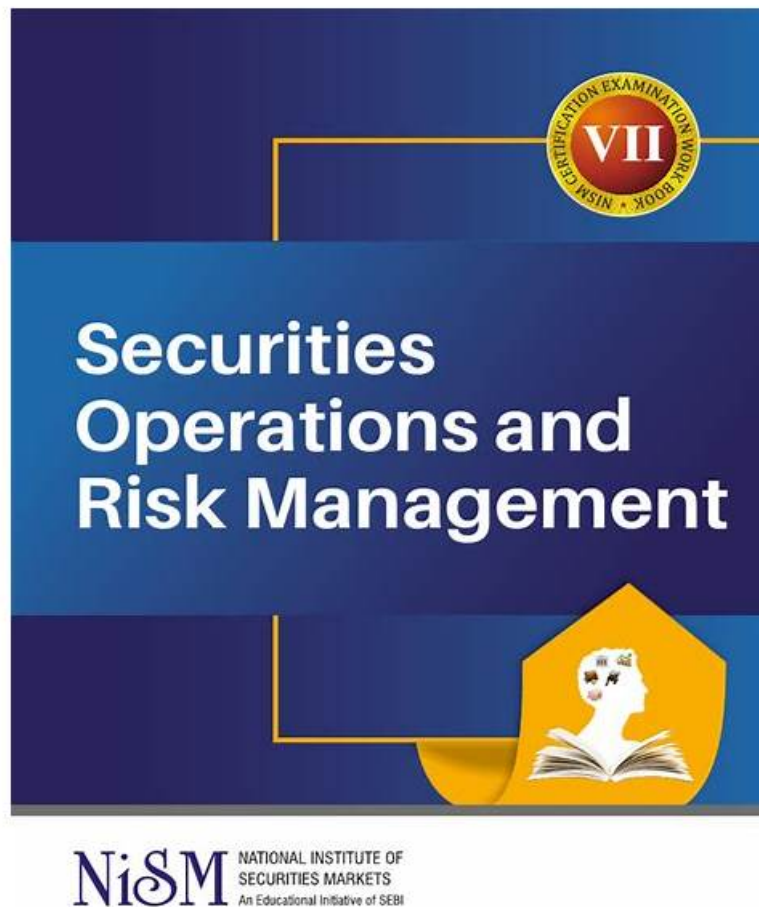


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NISM Series VII - Securities Operations and Risk Management Certification

Sample Questions (Q93-Q98):

NEW QUESTION # 93

Regarding the contributions to the Core Settlement Guarantee Fund (Core SGF), which of the following statements accurately reflects the regulatory requirements for Clearing Members (CMS) and the Clearing Corporation (CC)?

- A. CMS are required to contribute 100% of the MRC in the form of bank guarantees, while CC manages the fund without financial contribution.
- B. Stock Exchanges must contribute 50% of the MRC, while CC and CMS share the remaining 50% equally.
- C. CC contribution must be at least 25% of the MRC, and CM contribution is voluntary based on trading volume.
- **D. CC contribution shall be at least 50% of the MRC from its own funds, and CM primary contribution shall not exceed 25% of the MRC, with no exposure granted on such contribution.**
- E. CMS must contribute at least 50% of the MRC, and this contribution is eligible for margin exposure limits.

Answer: D

Explanation:

The source states: 'CC contribution to Core SGF shall be at least 50 percent of the MRC which should be from its own funds.' And 'The total contribution from members to core SGF for each segment will not be more than 25% of MRC... No exposure shall be available to CMS on their contribution to core SGF.'

NEW QUESTION # 94

Under the framework for 'Upstreaming of clients' funds', how should a Trading Member (TM) handle the funds received from clients whose running accounts have been settled?

- A. The funds can be used to settle the running accounts of other clients to ensure liquidity.
- **B. The funds must remain in the 'Up Streaming Client Nodal Bank Account' and cannot be used for settlement of running accounts of other clients.**
- C. The funds should be invested in equity mutual funds to generate returns for the client.
- D. The funds must be immediately transferred to the TM's proprietary account.
- E. The funds can be used for the TM's operational expenses provided they are replaced within 24 hours.

Answer: B

Explanation:

To safeguard against misuse, 'Trading Member shall ensure that funds, if any, received from clients, whose running account has been settled, remain in the +1Jp Streaming Client Nodal Bank Account and no such funds shall be used for settlement of running account of other clients',.

NEW QUESTION # 95

What is the primary benefit of 'Interoperability' among Clearing Corporations for a Clearing Member (CM)?

- A. It mandates the CM to maintain separate settlement accounts for each Exchange, thereby segregating risk.
- **B. It enables the CM to select a single Clearing Corporation to clear and settle trades executed on multiple stock exchanges.**
- C. It allows the CM to execute trades on the Exchange without maintaining a Base Minimum Capital.
- D. It allows the CM to act as a Custodian for institutional clients without separate registration.
- E. It guarantees that the CM will receive interest on the cash component of the Core Settlement Guarantee Fund.

Answer: B

Explanation:

Inter-operability among Clearing Corporations enables a Clearing Member to select the Clearing Corporation of its choice to clear and settle trades executed in multiple exchanges. This allows market participants to consolidate their clearing and settlement functions at a single Clearing Corporation.

NEW QUESTION # 96

Which of the following statements accurately describe the process and components of 'Delivery Settlement' in the equity F&O segment?

(Select all that apply)

- A. It considers all open futures positions after the close of trading on the expiry day.
- B. It applies to Index Futures and Index Options.
- C. It considers all in-the-money option contracts which are exercised and assigned.
- D. The final deliverable/receivable positions at a clearing member are arrived at after netting the obligations of all clients/constituents clearing through them.
- E. Delivery settlement is optional and can be cash settled if the client chooses.

Answer: A,C,D

Explanation:

Delivery Settlement applies to individual stock derivatives (not Index, which are cash settled). It considers all open futures positions after close of trading on expiry day and all in-the-money option contracts which are exercised and assigned. The final position at a clearing member is arrived at after netting the obligations of all clients/constituents/trading members clearing through the respective clearing member.

NEW QUESTION # 97

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

Answer: B

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 # 98

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