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NISM NISM-Series-VII Exam Syllabus Topics:

Section	Objectives
	- Role of the Securities and Exchange Board of India (SEBI)
Topic 1: Regulatory Framework	1. Investor protection 2. Regulatory oversight
	- Process of investor grievances redressal
Topic 2: Investor Grievance Redressal	1. Procedures for handling complaints 2. Regulatory requirements
	- Steps and participants involved in the trade life cycle
Topic 3: Trade Life Cycle	1. Role of the back office in a securities broking firm 2. Clearing and settlement process
	- Overview of the Indian securities market
Topic 4: Indian Securities Market	1. Different products traded 2. Various market participants and their roles
	- Front Office, Middle Office and Back Office functions in a Securities Broking Firm
Topic 5: Securities Broking Operations	1. Trade execution 2. Risk management 3. Settlement processing
	- Risk management in a securities broking firm
Topic 6: Risk Management	1. Identifying and mitigating risks 2. Compliance and control measures

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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q325-Q330):

NEW QUESTION # 325

If an auction seller, who participated to fulfill a short delivery, fails to deliver the securities on the auction pay-in day, the deal is closed out. What is the specific pricing formula used to charge the defaulting auction seller in this instance?

- A. Official closing price on the close out day plus the auction premium.
- B. The price at which the auction offer was originally accepted plus a 5% penalty.
- C. Highest price from trade day to close out day OR 20% over official closing price on the close out day, whichever is higher.
- D. The maximum price of the security recorded during the entire settlement cycle.
- E. Highest price prevailing on the Exchange on the auction day only.

Answer: C

Explanation:

When the auction seller fails to deliver the securities on the auction pay-in day, the deal will be closed out at the highest price prevailing across the Exchange from the day on which the trade was originally executed till the day of closing out or 20 percent over the official closing price on the close out day whichever is higher.

NEW QUESTION # 326

In the context of a stock broker's Middle Office operations, which of the following scenarios best illustrates the manifestation of Credit Risk as defined in the risk management framework?

- A. The possibility that a counterparty contract cannot be enforced due to lack of proper authority.
- B. Loss arising from the concentration of client collateral in a specific sector that experiences a sharp price decline.
- C. Loss resulting from the breakdown of internal controls leading to unauthorized trading.
- D. Disruption in settlement systems causing a crisis of confidence among investors.
- E. Risk arising from loans extended to group companies or debit balances of clients.

Answer: E

Explanation:

According to the source, Credit risk is the risk of default on a debt. For a broker, credit risk can arise on account of 'Loans to Group Companies/ Related Parties, debit balance of clients, funding of clients, short collection of margins, Non-confirmation of DVP trade by custodian etc.' Option A describes Operational Risk. Option B describes Market Risk. Option D describes Legal Risk. Option E describes Systemic Risk.

NEW QUESTION # 327

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. ISIN of the Demat Account
- B. Client Beneficiary ID
- C. UCC Mapping Code
- D. Folio Number

- E. Depository Participant ID

Answer: D

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 # 328

To ensure compliance while providing research-based advisory services, brokerage houses must adhere to specific regulations and circulars. According to the NISM workbook, which of the following represents the governing framework for Research Reports?

- A. SEBI (Portfolio Managers) Regulations, 2020 and Master Circular dated March 20, 2023
- **B. SEBI (Research Analysts) Regulation, 2014 and Master Circular for Research Analyst dated May 21, 2024**
- C. Securities Contracts (Regulation) Rules, 1957 and SEBI (Prohibition of Insider Trading) Regulations, 2015
- D. SEBI (Stock Brokers) Regulations, 1992 and Master Circular dated May 21, 2024
- E. SEBI (Investment Advisers) Regulations, 2013 and Master Circular dated December 16, 2020

Answer: B

Explanation:

Brokerage houses providing research-based advisory services must comply with the relevant guidelines provided under (Research Analysts) Regulation, 2014" and "Master Circular for Research Analyst' dated May 21, 2024**.

NEW QUESTION # 329

Since auction sessions are not applicable under the T+0 settlement cycle, how are securities shortages handled by the Clearing Corporation?

- A. Shortages are deemed as 'bad delivery' and the trade is annulled immediately.
- B. Shortages are settled by borrowing securities from the Securities Lending and Borrowing (SLB) segment automatically.
- C. Shortages are directly closed out at a rate of 20% above the official closing price of the T+1 market.
- D. Shortages are carried forward to the T+1 auction session conducted on the next day.
- **E. Shortages are directly closed out at above the highest price of the day across all exchanges for the T+0 market.**

Answer: E

Explanation:

In the T+0 settlement cycle, an auction shall not be conducted in case of securities shortage. Security shortages shall be directly closed out at 10% above the highest price of the day across all exchanges for the T+0 market.

NEW QUESTION # 330

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