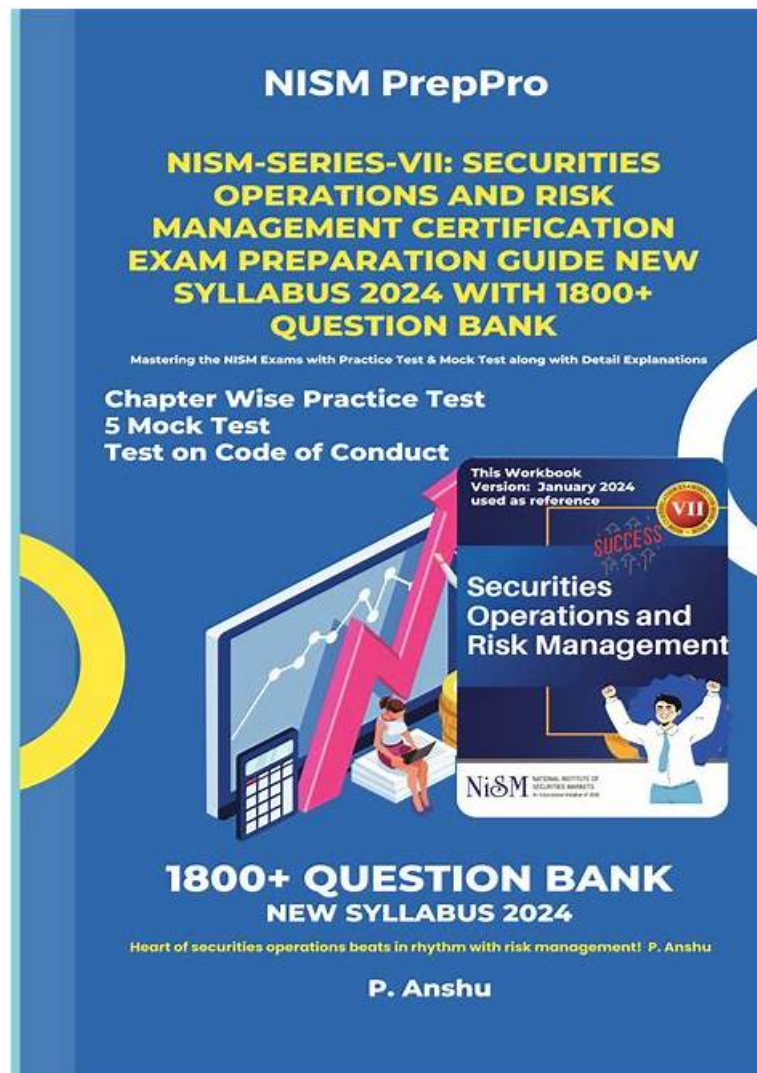


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q203-Q208):

NEW QUESTION # 203

SEBI introduced Chapter IVA in the SEBI (Stock Brokers) Regulations, 1992, to mandate an 'Institutional Mechanism for Prevention and Detection of Fraud or Market Abuse'. Which of the following is NOT explicitly listed as a required component of this mechanism?

- A. Escalation and reporting mechanisms
- B. Systems for surveillance of trading activities and internal controls
- **C. Mandatory rotation of the Principal Officer every 3 years**
- D. Obligations of the stock-broker and its employees
- E. Whistle Blower Policy

Answer: C

Explanation:

The source lists the obligations/mechanisms under Chapter IVA as: 1) Systems for surveillance of trading activities and internal controls, 2) Obligations of the stock-broker and its employees, 3) Escalation and reporting mechanisms, and 4) Whistle Blower Policy. Mandatory rotation of the Principal Officer is not mentioned in this specific list.,

NEW QUESTION # 204

In the context of the Cash Market segment, how is the role of a 'Custodian' distinct from that of a standard Trading Member regarding the settlement of trades?

- A. Custodians automatically guarantee all trades executed by any Trading Member without the need for trade confirmation.
- B. Custodians execute trades on the exchange floor but outsource the clearing function to Professional Clearing Members.
- **C. Custodians act as Clearing Members but not Trading Members; they settle trades on behalf of institutional clients executed through other Trading Members.**
- D. Custodians are primarily responsible for the proprietary trading of the Clearing Corporation.
- E. Custodians settle trades only for retail clients who do not have a valid PAN.

Answer: C

Explanation:

The text defines Custodians as: 'Custodians are also clearing members like PCMs but not trading members. They settle trades on behalf of the clients of the trading members, when a particular trade is assigned to them for settlement.' This specifically applies to institutional clients.

NEW QUESTION # 205

In the context of the Block Mechanism for sale transactions, which of the following statements accurately describes the permissible flow of securities for ****matched orders**** up to the pay-in day?

- A. Securities are transferred from the Client's account to the Trading Member's (TM) Pool account, and the TM can further transfer them to any other TM's pool account.
- **B. Securities are debited from the Client's demat account and credited to the linked TM Pool account; the TM shall further transfer such securities only to the CM Pool account.**
- C. Securities are debited from the Client's demat account and credited directly to the Clearing Corporation's settlement

account, bypassing the Trading Member.

- D. Securities remain in the Client's demat account until the pay-out day, after which they are directly transferred to the buyer's account.
- E. Securities are transferred to a temporary 'Client Unpaid Securities Account' before being moved to the Clearing Member's pool account.

Answer: B

Explanation:

For matched orders, blocked securities are debited from the Client's demat account and credited to the linked TM Pool account up to the pay-in day. The TM shall further transfer such securities to the CM Pool account. Crucially, pool-to-pool transfers except from TM pool to CM pool are not permitted.

NEW QUESTION # 206

The regulations concerning 'Settlement dues' specify the types of funds obligations a clearing member must discharge at the notified time to avoid disciplinary actions. Which of the following combinations correctly represents the scope of these obligations?

- A. Settlement dues and Transaction charges only
- **B. Settlement dues, Margin money, or Non-settlement dues**
- C. Settlement dues and Securities Transaction Tax (STT) only
- D. Margin money and Base Minimum Capital (BMC) deposit only
- E. Non-settlement dues and Stamp Duty only

Answer: B

Explanation:

The source explicitly lists the obligations as: 'A clearing member, failing to discharge his funds obligations relating to settlement dues, margin money or non-settlement dues at the notified time, shall render him liable...'

NEW QUESTION # 207

A trader has bought 1000 shares of XYZ Ltd. at Rs. 500 and wants to limit the potential loss to roughly Rs. 20 per share using a Sell Stop Loss order. Which of the following combinations of 'Trigger Price' and 'Limit Price' represents a valid and logical Stop Loss Limit order configuration for this purpose?

- A. Trigger Price: Rs. 500; Limit Price: Rs. 480
- B. Trigger Price: Rs. 480; Limit Price: Rs. 485
- C. Trigger Price: Rs. 520; Limit Price: Rs. 525
- **D. Trigger Price: Rs. 480; Limit Price: Rs. 478**
- E. Trigger Price: Rs. 20; Limit Price: Rs. 0

Answer: D

Explanation:

For a Sell Stop Loss order, the Trigger Price must be below the current market price (to trigger when price falls). The Limit Price can be equal to or less than the Trigger Price to ensure the order is marketable once triggered in a falling market. Option B (Trigger 480, Limit 478) fits this logic. Option C places a limit higher than the trigger, which might not execute if the market crashes rapidly.

NEW QUESTION # 208

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