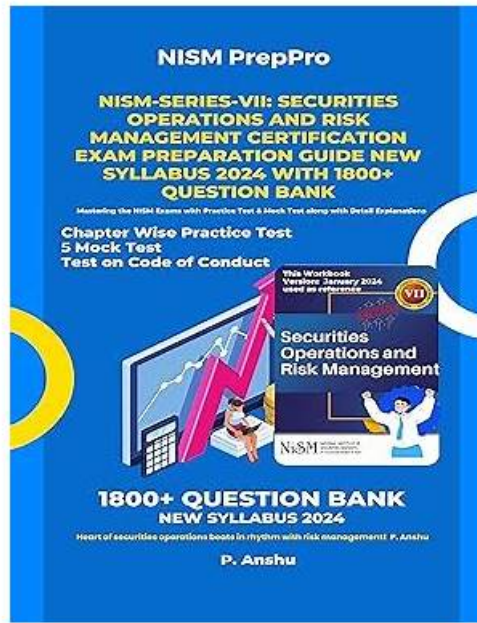


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q56-Q61):

NEW QUESTION # 56

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

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

Answer: C

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 # 57

A Trading Member executes the following trades in a specific scrip on a given day:

* Buy 500 shares @ Rs. 100

* Sell 300 shares @ Rs. 105

* Buy 200 shares @ Rs. 95

What are the final Net Quantity and Net Fund obligations for the member to be settled with the Clearing Corporation?

- A. Net Qty: 400 (Receive); Net Funds: Pay Rs. 69,000
- B. Net Qty: 1000 (Receive); Net Funds: Pay Rs. 100,500
- C. Net Qty: 400 (Receive); Net Funds: Pay Rs. 37,500
- D. Net Qty: 400 (Deliver); Net Funds: Receive Rs. 37,500
- E. Net Qty: 0; Net Funds: Receive Rs. 1,500

Answer: C

Explanation:

Net Quantity:

Total Buy = 500 + 200 = 700.

Total Sell = 300.

Net Qty = 700 - 300 = 400 (Buy/Receive).

Net Funds:

Outflow (Buy) = + (200*95) = 50,000 + 19,000 = Rs. 69,000.

Inflow (Sell) = 300*105 = Rs. 31,500.

Net Funds = Inflow - Outflow = 31,500 - 69,000 = -37,500.

Negative implies Pay Rs. 37,500.

NEW QUESTION # 58

Select the correct statements regarding the regulations governing the modification of Client Codes and Custodial Participant (CP) Codes for trades executed on Indian Stock Exchanges. (Select all that apply)

- A. Proprietary trades can be modified as client trades and vice versa if the request is made within 45 minutes of trade execution.
- B. Modification between client codes of two unrelated institutional clients will be subject to penalty.
- C. Members can modify the Custodial Participant (CP) Code on the T+1 day until 11 AM.
- D. Stock Exchanges may allow modifications of client codes of non-institutional trades only to rectify a genuine error in entry of client code.
- E. Shifting of trades to the 'error account' of the broker is not treated as modification of client code, provided the trades are

subsequently liquidated.

Answer: B,D

Explanation:

Statement A is correct (Source: Section 3.2.4). Statement C is correct as modification between unrelated institutional clients attracts penalty. Statement B is incorrect; Proprietary trades cannot be modified as client trades. Statement D is incorrect; CP code modification is allowed on the trade day (T day) up to 4:15 pm (Source: Section 5.6.1 Statement E is incorrect in the context of 'not treated as modification' without conditions; the text says shifting to error account would not be treated as modification *provided* trades are liquidated and not shifted to another code.

NEW QUESTION # 59

While the Securities and Exchange Board of India (SEBI) is the primary regulator for the securities market, certain powers under the Securities Contracts (Regulation) Act (SCRA) are exercised concurrently by the Reserve Bank of India (RBI). For which of the following instrument types is this concurrent jurisdiction explicitly applicable?

- A. Equity Derivatives settled physically
- B. Real Estate Investment Trusts (REITs)
- **C. Ready forward contracts in debt securities**
- D. Commodity Derivatives
- E. Infrastructure Investment Trusts (InvITs)

Answer: C

Explanation:

The powers in respect of contracts for sale and purchase of securities, gold related securities, money market securities, securities derived from these securities, and ready forward contracts in debt securities are exercised concurrently by the RBI.

NEW QUESTION # 60

With the validation of instructions for Pay-In of securities from Client demat account to Member Pool Account, what action do Depositories take if the quantity in the transfer instruction is more than the obligation provided by the Clearing Corporation (CC)?

- A. The instruction is processed for the full quantity, and excess is returned by the Member.
- B. The instruction is held in pending status until the Member confirms the additional quantity.
- C. The instruction is completely rejected.
- **D. The instruction is partially processed by the depositories up to the matching obligation quantity.**
- E. The instruction is processed only if the client provides a specific indemnity bond.

Answer: D

Explanation:

If the quantity in instruction is more than the obligation provided by CC, then the instruction will be partially processed by the depositories (i.e., upto the matching obligation quantity).

NEW QUESTION # 61

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