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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q333-Q338):

NEW QUESTION # 333

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

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

Answer: D

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 # 334

If a clearing member fails to fulfill the margin obligations, the clearing agency has the authority to initiate disciplinary actions without further notice. Which of the following is explicitly listed as a potential action in such a scenario?

- **A. Withdrawal of trading facilities and/or clearing facility and close out of outstanding positions.**
- B. Transfer of client positions to the Investor Protection Fund.
- C. Seizure of the member's personal assets outside the clearing system.
- D. Mandatory conversion of the clearing member to a trading-only member.
- E. Permanent cancellation of the certificate of registration.

Answer: A

Explanation:

Non-fulfilment of margin obligations allows the clearing agency to, at its discretion and without further notice, initiate disciplinary action inter-alia including withdrawal of trading facilities and/or clearing facility, close out of outstanding positions, imposing penalties, collecting appropriate deposits, and invoking bank guarantees/fixed deposit receipts.

NEW QUESTION # 335

When handling 'Trade Allocation' for institutional clients in the back office, how is a single order placed with the Custodial Participant code 'INST' processed?

- **A. The back office receives deal sheets from the front office and distributes the single trade across various sub-schemes of the client, generating appropriate contract notes.**
- B. The trade is kept in a suspense account until the Custodian confirms the trade on T+2 day.
- C. The 'INST' code is replaced with the broker's proprietary account code, and the trade is settled as a proprietary trade.
- D. The back office aggregates multiple 'INST' orders into a single block trade for reporting to the Exchange.
- E. The trade is automatically allocated pro-rata to all active clients of the broker to ensure fair distribution.

Answer: A

Explanation:

In the case of institutional trades, the front office enters a single order with CP code 'INST'. Subsequently, based on deal sheets received from the front office, the back office user allocates the trade to individual schemes within the parent fund and generates the appropriate contract note. The broker also uploads these allocation details to the clearing corporation.

NEW QUESTION # 336

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. If a CM'S proprietary collateral is insufficient for a TM's proprietary trade, the CC utilizes the Core SGF immediately.
- **B. For a trade from a client account, if client collateral is insufficient, the residual margin is blocked from the TM proprietary collateral.**
- **C. 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.**
- **D. Margins based on trades from the proprietary account of the CM are blocked from the proprietary collateral of the CM only.**
- E. 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.

Answer: B,C,D

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 # 337

A corporate stock broker with a net worth of Rs. 10 Crore wishes to offer the margin trading facility (MTF) to its clients. According to SEBI regulations, what is the maximum limit on the broker's total indebtedness for the purpose of margin trading and the maximum allowable exposure towards MTF?

- A. Total Indebtedness: Rs. 20 Crore; Maximum Exposure: Rs. 50 Crore
- B. Total Indebtedness: Rs. 30 Crore; Maximum Exposure: Borrowed Funds + Rs. 10 Crore
- C. Total Indebtedness: Rs. 100 Crore; Maximum Exposure: 5 times Net Worth
- D. Total Indebtedness: Rs. 50 Crore; Maximum Exposure: Borrowed Funds + Rs. 10 Crore
- E. Total Indebtedness: Rs. 50 Crore; Maximum Exposure: Borrowed Funds + Rs. 5 Crore

Answer: E

Explanation:

According to the leverage and exposure limits for margin trading: 1) The total indebtedness of a broker for the purpose of margin trading shall not exceed 5 times of his net worth (5 10 Cr = 50 Cr). 2) The maximum allowable exposure of the broker towards the margin trading facility shall not exceed the borrowed funds and 50% of his 'net worthe (Borrowed Funds + 50% of 10 Cr = Borrowed Funds + 5 Cr).

NEW QUESTION # 338

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