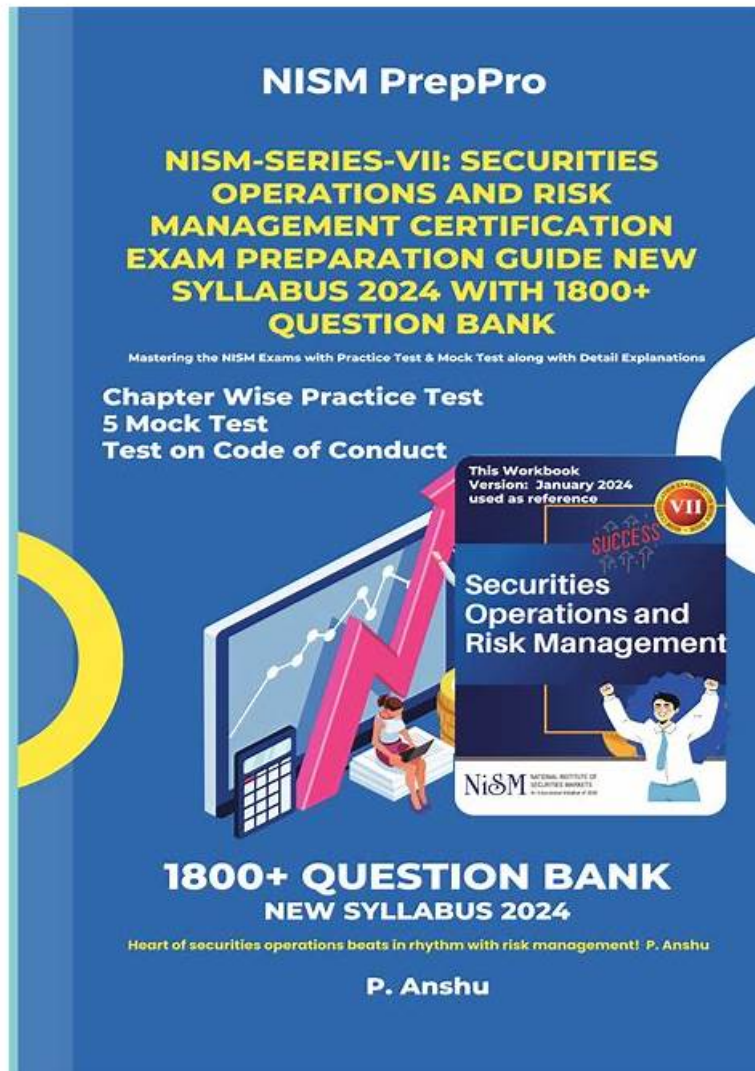


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## NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q195-Q200):

### NEW QUESTION # 195

Straight Through Processing (STP) is mandated for institutional trades. Which of the following best describes the operational benefit and definition of STP in the securities trade life cycle?

- A. It involves electronically capturing and processing transactions in one pass, from the point of first 'deal' to final settlement, avoiding manual re-entry.
- B. It is a risk management tool used exclusively by the Front Office to block erroneous orders before they reach the exchange.
- C. It refers to the process of auctioning securities in case of delivery shortages.
- D. It is a mechanism for retail clients to directly settle trades with the Clearing Corporation.
- E. It is a manual process of verifying contract notes against trade logs to ensure accuracy.

**Answer: A**

Explanation:

STP is defined as 'electronically capturing and processing transactions in one pass, from the point of first deal to final settlement'. It involves the use of a single system to process elements of the workflow, streamlining trade execution and settlement and avoiding manual entry/re-entry.

### NEW QUESTION # 196

Large stock brokers have evolved from pure trading intermediaries into comprehensive 'Financial Services Companies'. In this capacity, which specific service is highlighted as being offered primarily to High Net Worth Individuals (HNIs)?

- A. Wealth management services
- B. Public Provident Fund (PPF) management
- C. Micro-credit facilities
- D. Basic savings bank account services
- E. Direct Benefit Transfer (DBT) facilitation

**Answer: A**

Explanation:

The text states: 'They also offer wealth management services for high net worth individuals (HNIs).' This is a distinct service offered by big stock brokers who have converted into financial services companies.

### NEW QUESTION # 197

Regarding the operational parameters for the beta version of the T+0 rolling settlement cycle, how is the price band determined and re-calibrated during the trading session?

- A. It is dynamically linked to the futures market price with a variance of 0.5%.
- B. It mirrors the price band of the T+1 market exactly, including any circuit breaker halts.
- C. It is set at +1- 10% of the opening price of the T+0 market and remains static throughout the continuous trading session.
- D. It operates with a price band of +100 basis points from the price in the regular T+1 market, re-calibrated after every 50 basis points movement in the underlying T+1 market.
- E. It is fixed at +1-5% of the previous day's closing price without any intraday recalibration.

**Answer: D**

Explanation:

According to the source, the price in the T+0 segment will operate with a price band of +100 basis points from the price in the regular T+1 market. This band will be re-calibrated after every 50 basis points movement in the underlying T+1 market.

#### NEW QUESTION # 198

In the context of risk management for the T+0 settlement cycle, how are securities shortages handled if a selling member fails to deliver shares?

- A. By imposing a standard valuation debit of 20% above the closing price.
- B. By conducting an auction session on T+1 day along with the regular market auction.
- C. The trade is annulled, and the buyer is refunded the transaction amount without penalty.
- D. By conducting an auction session on T+0 day at 2:30 PM.
- E. Security shortages are directly closed out at 10% above the highest price of the day across all exchanges for the T+0 market.

**Answer: E**

Explanation:

The source states that '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 T+0 market.'

#### NEW QUESTION # 199

In the context of facilitating Initial Public Offerings (IPO), how does the electronic trading infrastructure of broking firms specifically assist investors and the process?

- A. Brokers provide a guarantee of allotment to their registered clients for every IPO application.
- B. Brokers' systems are connected with the Stock Exchanges' main IPO system, allowing for the online uploading of application forms.
- C. Brokers physically collect all applications and manually courier them to the Registrar, bypassing the electronic system.
- D. Brokers determine the IPO issue price through an internal book-building process independent of the exchange.
- E. Brokers fund the entire IPO application amount for the investor interest-free.

**Answer: B**

Explanation:

The text explains that 'The IPO process is facilitated by brokers as their system is connected with the stock Exchanges main IPO system and online uploading of forms is carried out. Thus, at any given time, the online status is available on the stock Exchanges.'

#### NEW QUESTION # 200

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