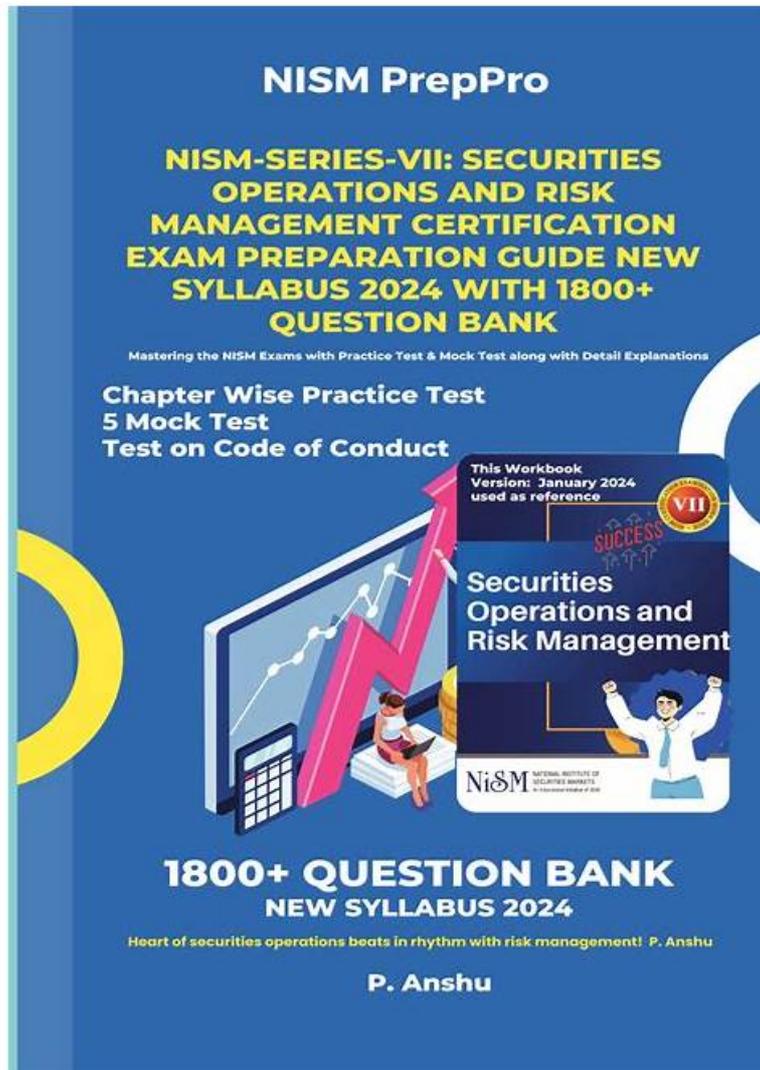


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q137-Q142):

NEW QUESTION # 137

The Securities Contracts (Regulation) Act, 1956 (SCRA) and the SEBI Act, 1992 have distinct regulatory scopes. Which of the following regulatory functions falls specifically under the direct jurisdiction of the Central Government as per the SCRA, 1956?

- A. Registration of Foreign Portfolio Investors
- B. Registration of Venture Capital Funds
- C. Prohibition of Insider Trading
- D. Regulation of Portfolio Managers
- E. Recognition and continued supervision of Stock Exchanges

Answer: E

Explanation:

The SCRA, 1956 gives the Central Government regulatory jurisdiction over Stock Exchanges through a process of recognition and continued supervision. While SEBI performs many functions, the specific power of recognition of Stock Exchanges originates from the SCRA under Central Government jurisdiction.

NEW QUESTION # 138

In the context of the settlement process, specifically regarding 'Settlement Dues', which of the following statements accurately describes the payment flow and the basis for such payments between the Clearing Agency and its members?

- A. Settlement dues are legally payable only by Trading Members to the Stock Exchange, while the Clearing Agency manages only the securities settlement.
- B. The Clearing Agency collects settlement dues from Clearing Banks and distributes them to Clearing Members after deducting a statutory fee.
- C. Clearing members and custodians pay the Clearing Agency whatever is due for settlement, and in turn, the Clearing Agency pays them moneys payable for every settlement, based on information provided by the Exchange or Clearing Agency.
- D. The Clearing Agency pays all dues to clients directly, bypassing the Clearing Members and Custodians, based on the obligation report.
- E. Clearing members pay the Clearing Agency based on data from the Depository, while the Clearing Agency pays Custodians based on Exchange data.

Answer: C

Explanation:

According to the section on Settlement dues, 'The clearing members and custodians shall pay to the clearing agency whatever is due to them for settlement of their transactions / positions. In turn, the clearing agency shall pay to the clearing members and custodians moneys payable to them for every settlement for their transactions / positions. This is based on the information provided by the Exchange or Clearing Agency.'

NEW QUESTION # 139

Regarding the contributions to the Core Settlement Guarantee Fund (Core SGF), which of the following statements accurately reflects the regulatory requirements for Clearing Members (CMS) and the Clearing Corporation (CC)?

- A. CC contribution shall be at least 50% of the MRC from its own funds, and CM primary contribution shall not exceed 25% of the MRC, with no exposure granted on such contribution.
- B. CMS must contribute at least 50% of the MRC, and this contribution is eligible for margin exposure limits.
- C. Stock Exchanges must contribute 50% of the MRC, while CC and CMS share the remaining 50% equally.
- D. CMS are required to contribute 100% of the MRC in the form of bank guarantees, while CC manages the fund without financial contribution.
- E. CC contribution must be at least 25% of the MRC, and CM contribution is voluntary based on trading volume.

Answer: A

Explanation:

The source states: 'CC contribution to Core SGF shall be at least 50 percent of the MRC which should be from its own funds.' And

'The total contribution from members to core SGF for each segment will not be more than 25% of MRC... No exposure shall be available to CMS on their contribution to core SGF.'

NEW QUESTION # 140

A 'Self Auction' mechanism is utilized to address 'Internal Shortages'. Which of the following scenarios best describes an internal shortage that necessitates this specific procedure?

- A. The depository fails to transfer shares from the client beneficiary account to the pool account due to a system glitch.
- B. A member utilizes client securities for proprietary trading resulting in a shortage during a surprise audit.
- **C. A selling client fails to deliver shares to the member, but the member has no net obligation to the Clearing Corporation due to an offsetting purchase by another client of the same member.**
- D. A member fails to deliver securities to the Clearing Corporation because of a shortfall in the Clearing Member Pool Account.
- E. A member shorts a stock in the derivatives segment but holds the physical stock in the cash segment.

Answer: C

Explanation:

Internal shortages occur when a selling client fails to deliver shares to the trading member, but due to netting (a purchase transaction by another buying client in the same security), the member has no delivery obligation to the Clearing Corporation. In such cases, the member requires shares to deliver to the buying client, and an auction (Self Auction) is conducted to procure these shares,.

NEW QUESTION # 141

Regarding the operation of the 'Clearing Bank Account' maintained by a Clearing Member, which of the following operational restrictions is explicitly mandated to ensure the account is used exclusively for clearing and settlement operations?

- A. The account must maintain a minimum balance equal to the Base Minimum Capital (BMC) at all times.
- B. Withdrawals are permitted only after obtaining a 'No Objection Certificate' from the Clearing Corporation for each transaction.
- C. Funds can be deposited only via Demand Drafts and withdrawn only via electronic transfer.
- **D. Clearing members can deposit funds in any form but can withdraw funds from these accounts only in self-name.**
- E. Clearing members are prohibited from depositing proprietary funds into this account; only client funds are permitted.

Answer: D

Explanation:

The source states: 'Clearing member can deposit fund in these accounts in any form but withdraw funds from these accounts only in self-name.' This ensures the account is used for its intended purpose of clearing and settlement.

NEW QUESTION # 142

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