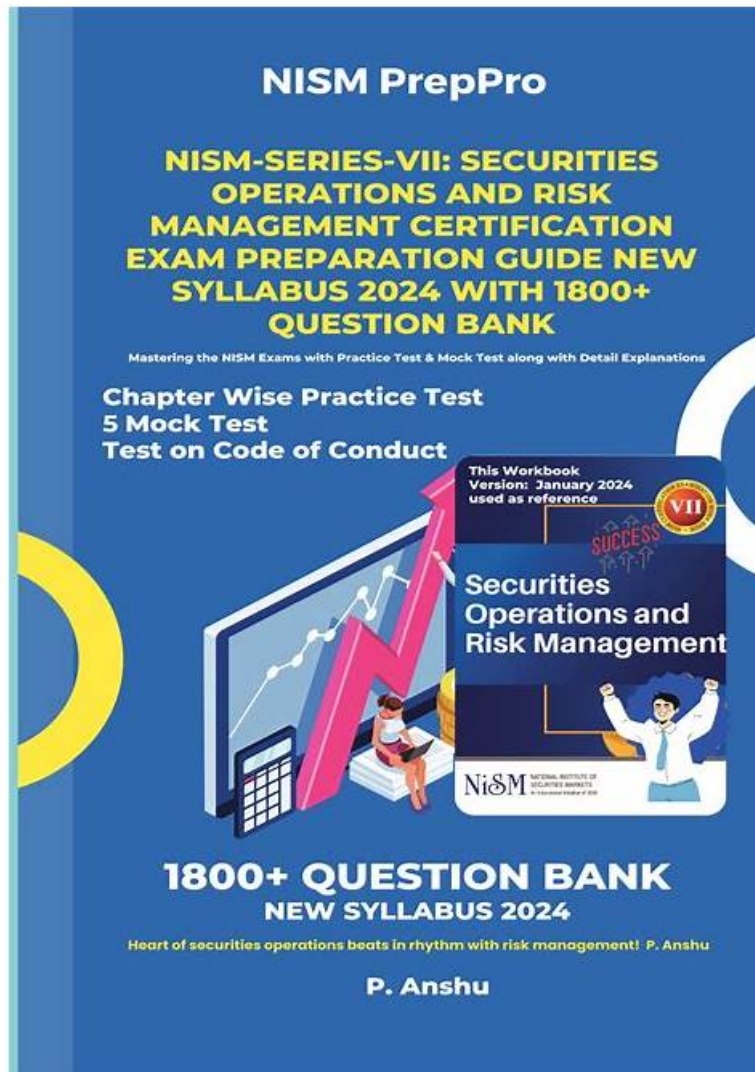


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## **NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q94-Q99):**

### **NEW QUESTION # 94**

Under the framework of 'Interoperability among Clearing Corporations', how are the inter-Clearing Corporation exposures managed in the peer-to-peer link to ensure that a default by one Clearing Corporation does not cause financial loss to the other?

- A. By requiring the Stock Exchanges to act as the primary guarantor for any inter-CC default up to 50% of the Minimum Required Corpus.
- B. By creating a reserve contract for scrips exclusively listed on one exchange to be invoked at the time of outage.
- C. By netting the pay-in and pay-out obligations of the Clearing Corporations against the Investor Protection Fund.
- D. By maintaining a Core Settlement Guarantee Fund (Core SGF) that is shared equally between all interoperable Clearing Corporations.
- **E. By maintaining sufficient collateral comprising (a) Margins as per existing Risk Management Framework and (b) Additional capital based on credit risk.**

**Answer: E**

Explanation:

To manage the inter-Clearing Corporation exposure in the peer-to-peer link, Clearing Corporations shall maintain sufficient collateral with each other. This inter-Clearing Corporation collateral comprises two components: (a) Margins as per the existing Risk Management Framework (initial margin, extreme loss margin, etc.); and (b) Additional capital, to be determined by each Clearing Corporation based on the credit risk from the linked Clearing Corporation.

### **NEW QUESTION # 95**

Every clearing member is required to maintain a separate primary clearing account with a designated clearing bank. Which of the following operational restrictions applies to this account regarding withdrawals?

- A. Withdrawals are strictly prohibited; funds must only be used for settlement obligations.
- B. Withdrawals are limited to 50% of the account balance on any given day.
- C. Funds can be withdrawn directly to third-party vendor accounts for operational expenses.
- D. Funds can be withdrawn only after obtaining a No Objection Certificate (NOC) from the Stock Exchange.
- **E. Funds can be withdrawn only in the self-name of the clearing member.**

**Answer: E**

Explanation:

According to the source, 'Clearing members can deposit funds into these accounts in any form and can withdraw funds from these accounts only in self-name'. This account is to be used exclusively for clearing and settlement operations.

### **NEW QUESTION # 96**

In the context of the modernization of services provided by brokers, how are research advice and recommendations increasingly being delivered to clients?

- A. Exclusively through physical contract notes sent via post.
- **B. Through SMS on to the mobile phone.**
- C. Only through the official website of the Stock Exchange.
- D. Strictly through in-person meetings at the broker's branch office.
- E. Via recorded voice messages on landline telephones only.

**Answer: B**

Explanation:

The text states that advice and recommendations can be obtained as on to the mobile phone". It further notes, 'So, it is more online now.'

### NEW QUESTION # 97

In the context of clearing membership on a Stock Exchange, identify the member category that possesses only clearing rights (no trading rights) and is authorized to clear and settle trades executed by both trading members and custodian participants.

- A. Authorized Person (AP)
- B. Trading Member (TM)
- **C. Professional Clearing Member (PCM)**
- D. Trading Member-cum-Clearing Member (TCM)
- E. Trading cum Self-clearing Member (SCM)

**Answer: C**

Explanation:

A Professional Clearing Member (PCM) has only clearing rights and does not have trading rights. They clear and settle trades executed by trading members and custodian participants. A TCM has both trading and clearing rights. An SCM clears only their own trades. A TM has no clearing rights.

### NEW QUESTION # 98

In the context of Settlement Dues, the clearing agency pays moneys payable to clearing members and custodians for every settlement. What is the specific basis for determining these payable amounts?

- A. The daily margin statement generated by the Clearing Member
- B. The bank statement of the Clearing Bank
- C. The net worth certificate submitted by the member
- **D. Information provided by the Exchange or Clearing Agency**
- E. The contract notes issued by the broker to the client

**Answer: D**

Explanation:

The text mentions: '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 # 99

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