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## NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q219-Q224):

### NEW QUESTION # 219

In the Clearing Process for Derivatives, how is a Trading Member's (TM) open position calculated for the purpose of exposure and daily margin?

- A. Higher of the Proprietary Position or the sum of Client Positions.
- B. Sum of Proprietary Net Position and Client Net Positions (netted across all clients).
- C. Net of Proprietary Position and Client Positions (Buy - Sell for the entire firm).
- D. Gross of all buy and sell transactions without any netting at contract level.
- E. **Sum of Proprietary Open Position, Client Open Long Position, and Client Open Short Position.**

**Answer: E**

Explanation:

A TM's open position is the sum of proprietary open position, client open long position and client open short position. Clients'

positions are arrived at by summing together net positions of each individual client, but positions are not netted across clients.

#### **NEW QUESTION # 220**

Under the SEBI guidelines regarding the monitoring of unauthenticated news by market intermediaries, what is the mandatory protocol for an employee who receives market-related news via their personal mail or blog?

- A. The employee is strictly prohibited from accessing personal mail or blogs on office premises.
- B. The employee should forward the news to clients immediately with a disclaimer stating it is unverified.
- C. The news should be forwarded only after the same has been seen and approved by the Compliance Officer.
- D. The employee must verify the accuracy of the news with at least two independent sources before forwarding.
- E. The employee must report the sender of the news to the Financial Intelligence Unit (FIU) within 24 hours.

**Answer: C**

Explanation:

The guidelines state: 'Employees should be directed that any market related news received by them either in their official mail/personal mail/blog or in any other manner, should be forwarded only after the same has been seen and approved by the Compliance Officer of the concerned Intermediaries.'

#### **NEW QUESTION # 221**

In the context of the T+1 rolling settlement cycle for the Cash Segment, by what specific time must the custodial confirmation of trades be completed on the T+1 day to ensure the timely determination of final obligations by the Clearing Corporation?

- A. By 1:30 PM on T+1 Day
- B. By 7:30 AM on T+1 Day
- C. By 4:15 PM on T Day
- D. By 9:00 AM on T+1 Day
- E. By 11:00 AM on T+1 Day

**Answer: B**

Explanation:

According to the general clearing process for T+1 rolling settlement, the clearing members/custodians must confirm back institutional/Custodian Participant trades by 7:30 a.m. on T+1 day. Following this, the Clearing Corporation performs multilateral netting and downloads final obligations by 9:00 a.m.

#### **NEW QUESTION # 222**

To ensure compliance with Margin Trading Facility (MTF) regulations, stock brokers are required to submit a certificate to the exchange.

What is the frequency and timeline for this submission?

- A. Half-yearly; within one month from the half-year ending 31st March and 30th September.
- B. Annually; along with the Annual Returns by October 31st.
- C. Monthly; by the 7th of the succeeding month.
- D. Quarterly; within 15 days from the end of the quarter.
- E. Event-based; within 7 days of exceeding the exposure limits.

**Answer: A**

Explanation:

The books of accounts with respect to MTF shall be audited on a half-yearly basis. The stock broker shall submit an auditor's certificate to the exchange, within one month from the date of the half year ending 31st March and 30th September of a year.

#### **NEW QUESTION # 223**

Which international capital market instrument issued by Indian companies is subscribed to by a non-resident in foreign currency and carries a fixed interest rate with a conversion feature?

- A. Indian Depository Receipts (IDRs)
- B. Masala Bonds
- **C. Foreign Currency Convertible Bonds (FCCBs)**
- D. External Commercial Borrowings (ECBs)
- E. Global Depository Receipts (GDRs)

**Answer: C**

Explanation:

Foreign Currency Convertible Bonds (FCCBs) are bonds issued by Indian companies and subscribed to by a non-resident in foreign currency. They carry a fixed interest or coupon rate and are convertible into a certain number of ordinary shares at a predetermined price.,

## NEW QUESTION # 224

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