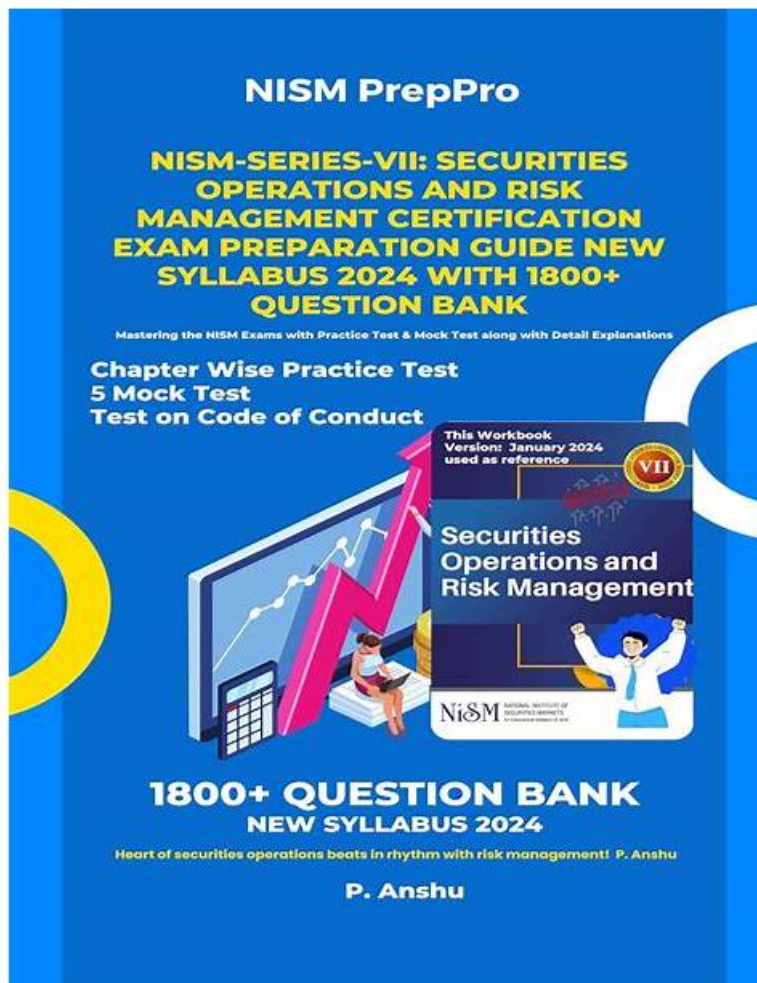


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q54-Q59):

NEW QUESTION # 54

Identify the correct timeline for the 'Auction Pay-in' and 'Auction Pay-out' of securities and funds in the context of the T+1 rolling settlement cycle.

- A. Auction Pay-in: T+2; Auction Pay-out: T+3
- **B. Auction Pay-in: T+2 (Subsequent day); Auction Pay-out: T+2 (Same day)**
- C. Auction Pay-in: T+1 (Evening); Auction Pay-out: T+2 (Morning)
- D. Auction Pay-in: T+1 (After auction session); Auction Pay-out: T+1 (End of day)
- E. Auction Pay-in: T+3; Auction Pay-out: T+3

Answer: B

Explanation:

The auction for undelivered quantities is conducted on the settlement day (T+1). The members are required to deliver the shares (Auction Pay-in) to the clearing corporation on or before the auction pay-in day, i.e., the subsequent day (T+2). Pay-out of auction shares and funds is also done on the same day (T+2).

NEW QUESTION # 55

When a delivery shortage is identified before the auction is conducted, the Clearing Corporation debits the clearing member by an amount equivalent to the securities not delivered, valued at a specific price. What is this pre-auction debit transaction formally called?

- A. Close-out Penalty
- B. Shortage Collateral Block
- C. Provisional Margin Call
- **D. Valuation Debit**
- E. Auction Entry Fee

Answer: D

Explanation:

Once shortages are identified, the members are debited by an amount equivalent to the securities not delivered and valued at a valuation price. This is known as 'valuation debit'.

NEW QUESTION # 56

Under Section 18A of the Securities Contracts (Regulation) Act, 1956, contracts in derivatives are considered legal and valid only if they satisfy specific conditions. Which of the following is a mandatory condition for such validity?

- A. The contract must involve physical delivery of the underlying asset upon expiry.
- **B. The contract must be traded on a recognized stock exchange and settled on the clearing house of the recognized stock exchange.**
- C. The contract must be settled bilaterally between the buyer and the seller without an intermediary.
- D. The contract must be traded Over-the-Counter (OTC) between two financial institutions.
- E. The contract must be validated by the Reserve Bank of India (RBI) prior to execution.

Answer: B

Explanation:

Section 18A of the SCRA provides that contracts in derivatives shall be legal and valid if they are traded on a recognized stock exchange and settled on the clearing house of the recognized stock exchange, in accordance with the rules and bye-laws of such stock exchanges.

NEW QUESTION # 57

Regarding the handling of 'Funded Stocks' purchased under the Margin Trading Facility (MTF), which of the following operational procedures is mandated for the Stock Broker (Trading Member)?

- A. Funded stocks must be kept in the broker's 'Pool Account' until the client makes full payment.
- B. Funded stocks must be transferred to the client's beneficiary account immediately without any pledge.
- C. Funded stocks must be transferred to a 'Client Unpaid Securities Pledge Account' and disposed of within 5 days if payment is not received.
- **D. Funded stocks must be transferred to the client's demat account followed by the creation of an auto-pledge in favor of the broker's 'Client Securities under Margin Funding Account'.**
- E. Funded stocks should be held in a separate 'Client Collateral Account' and can be re-pledged to the Clearing Corporation for other clients' margin obligations.

Answer: D

Explanation:

Funded stocks held by the TM/CM under the margin trading facility shall be held by the TM/CM only by way of pledge. Such funded stocks shall be transferred to respective client's demat account followed by creation of an auto-pledge (i.e., without the requirement of a specific instruction from the client) with suitable reason, in favor of 'Client Securities under Margin Funding Account'.

NEW QUESTION # 58

Which of the following statements accurately describe the operational aspects of the Beta version of T+0 rolling settlement cycle introduced by SEBI? (Select all that apply)

- **A. Security shortages shall be directly closed out at 10% above the highest price of the day across all exchanges for T+0 market.**
- **B. There shall be no netting in pay-in and pay-out obligations between T+1 and T+0 settlement cycles.**
- C. An auction session will be conducted on T+0 day itself for any securities shortage.
- D. Trading timings for the T+0 session are from 09:15 AM to 3:30 PM.
- **E. Pay-in for T+0 sell obligations is allowed only by way of early pay-in using the block mechanism.**

Answer: A,B,E

Explanation:

For T+0 settlement: There shall be no netting in pay-in and pay-out obligations between T+1 and T+0. Security shortages shall be directly closed out at 10% above the highest price (Auction shall not be conducted). Pay-in for T+0 sell obligations shall be allowing only by way of early pay-in using block mechanism. Trading timings are 09:15 AM to 1:30 PM (not 3:30 PM).

NEW QUESTION # 59

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