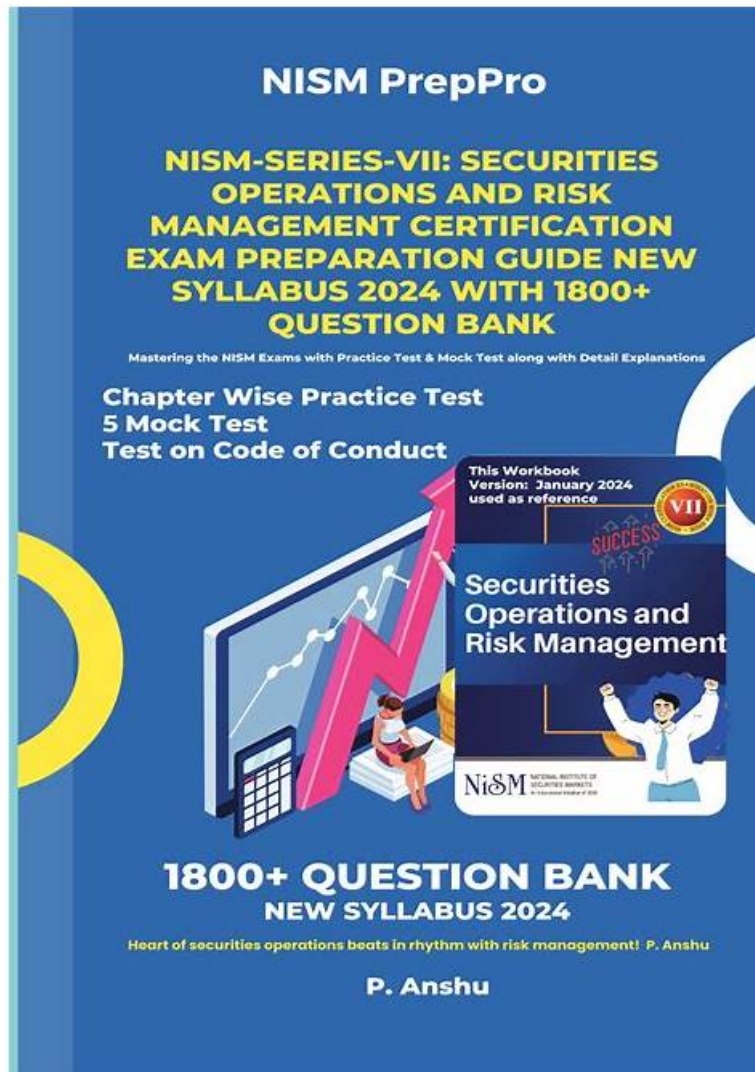


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q185-Q190):

NEW QUESTION # 185

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- **A. Funds can be withdrawn only in the self-name of the clearing member.**
- B. Funds can be withdrawn only after obtaining a No Objection Certificate (NOC) from the Stock Exchange.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- E. Funds can be withdrawn directly to third-party vendor accounts for operational expenses.

Answer: A

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 # 186

Identify the category of Clearing Member that possesses both trading and clearing rights and is authorized to clear and settle trades for themselves, other trading members, and custodial participants.

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

Answer: C

Explanation:

A Trading Member.cum.Clearing Member (TCM) has trading as well as clearing rights. They can clear and settle their own trades as well as trades of other trading members and custodial participants. SCMs can only clear their own/client trades but not for custodian participants. PCMs do not have trading rights.

NEW QUESTION # 187

In the context of the Indian Money Market, which of the following instruments represents an extension of the interbank call market for uncollateralized lending and borrowing of funds for a period specifically defined as between 15 days and 1 year?

- A. Notice Money
- B. Commercial Paper
- **C. Term Money**
- D. Market Repo
- E. Cash Management Bills

Answer: C

Explanation:

Term Money is defined as an extension of the interbank call market for uncollateralized lending and borrowing of funds for a period between 15 days and 1 year. Call money is predominantly overnight, and Notice money is for a period beyond overnight and up to 14 days,.

NEW QUESTION # 188

Stock brokers bring out regular research reports for their clients. Which of the following is NOT explicitly listed in the NISM workbook as a type of research report typically provided by brokers?

- A. Special Reports to cater to needs of some investors
- B. Stock Research
- **C. High-Frequency Arbitrage Reports**
- D. Fundamental Research
- E. Daily/weekly/fortnightly/monthly newsletters

Answer: C

Explanation:

The source explicitly lists the following types of reports: 'Fundamental Research, Stock Research, Daily/weekly/fortnightly/monthly newsletters, Special Reports to cater to needs of some investors, and Sector Reports* *. 'High-Frequency Arbitrage Reports' is not mentioned in this list.

NEW QUESTION # 189

Which of the following instruments is specifically defined as a rupee-denominated bond issued outside India by Indian entities to raise money in local currency from foreign investors?

- A. Global Depository Receipts (GDRs)
- B. Indian Depository Receipts (IDRs)
- C. American Depository Receipts (ADRs)
- D. Foreign Currency Convertible Bonds (FCCBs)
- **E. Masala Bonds**

Answer: E

Explanation:

Masala Bonds are rupee-denominated bonds issued outside India by Indian entities. They are debt instruments which help to raise money in local currency from foreign investors,. FCCBs are issued in foreign currency. IDRs are for foreign companies raising funds in India. GDRs and ADRs are equity-based instruments issued by foreign depository banks,.

NEW QUESTION # 190

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