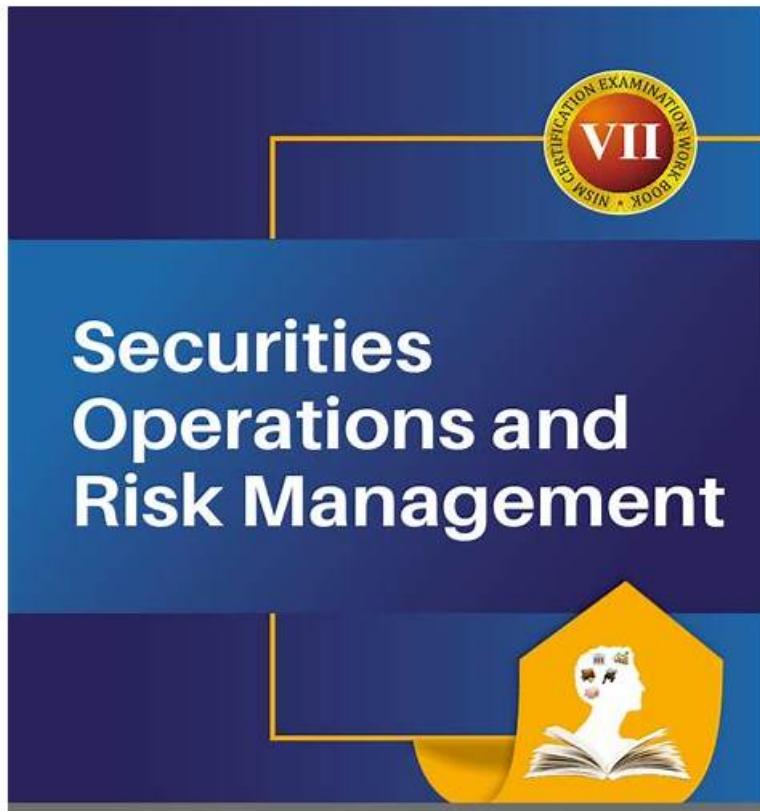


# 可信任的NISM-Series-VII在資格考試領導者和更正的 NISM-Series-VII新版題庫上線： NISM Series VII - Securities Operations and Risk Management Certification



**NiSM** NATIONAL INSTITUTE OF  
SECURITIES MARKETS  
An Educational Initiative of SEBI

在如今競爭激烈的IT行業中，通過了NISM NISM-Series-VII 認證考試是有很多好處的。因為有了NISM NISM-Series-VII 認證證書就可以提高收入。拿到了NISM NISM-Series-VII 認證證書的人往往要比沒有證書的同行工資高很多。可是NISM NISM-Series-VII 認證考試不是很容易通過的，所以NewDumps是一個可以幫助你增長收入的網站。

許多考生花費了大量的時間和精力學習NISM NISM-Series-VII 考試相關知識，但是到最後卻沒有成功，分析他們失敗的原因，我們得出結論是沒有針對性的復習。現在，NewDumps專門針對認證考試研發出有針對性的NISM NISM-Series-VII考古題，為考生獲得認證節約更多的時間和金錢。NISM-Series-VII題庫的高效率和準確性兩大特點讓我們收到廣大考生的好評，獲得如此有價值的認證方案對您來說是非常划算的。

>> [NISM-Series-VII新版題庫上線](#) <<

## NISM-Series-VII認證 - NISM-Series-VII真題材料

在近幾年，IT世界的競爭越來越激烈，IT認證已經成為該行業的必需品，如果你想在你的職業生涯有一個很好的提升，通過NewDumps NISM的NISM-Series-VII考試培訓資料這種方式來獲得微軟認證的證書是非常可行的，現在許多IT專業人士更願意增加NISM的NISM-Series-VII考試認證對他們的憑證，我們的培訓資料涵蓋了通過NISM的NISM-Series-VII考試認證的100%。

## 最新的 National Institute of Securities Markets NISM-Series-VII 免費考試真題 (Q155-Q160):

### 問題 #155

Which of the following statements accurately reflect the 'Additional Requirements' and operational controls mandated for Internet Based Trading (IBT) and Securities Trading Using Wireless Technology (STWT)? (Select all that apply)

- A. The broker system should have on-site as well as remote site back-up capabilities.
- B. The broker shall capture the IP (Internet Protocol) address from where the orders are originating.
- C. In case of no activity by the client, the system should provide for automatic trading session logout.
- D. Brokers using Internet based systems are permitted to cross trades of their clients with each other internally to save transaction costs.
- E. Encryption levels for communication are governed solely by the Stock Exchange's internal policy, independent of DOT regulations.

答案： A,B,C

### 解題說明：

Option A is incorrect: 'Brokers using Internet based systems for routing client orders will not be allowed to cross trades of their clients with each other. All orders must be offered to the market for matching.' Option E is incorrect: 'DOT policy and regulation shall govern the level of encryption.' Options B, C, and D are correct based on the 'Additional Requirements' section: Capture IP address, Automatic trading session logout, and On-site as well as remote site back-up capabilities.

### 問題 #156

In the context of Market Participants, which of the following statements accurately characterizes the regulatory status and operational scope of a 'Custodian' in the securities market?

- A. Custodians are exempt from registration with SEBI if they are registered banks.
- B. Custodians are Clearing Members (like PCMs) but do not possess trading rights.
- C. Custodians automatically act as the counterparty for all institutional trades.
- D. Custodians are registered as Trading Members but outsource clearing to PCMs.
- E. Custodians are primarily responsible for executing trades on the exchange floor.

答案： B

### 解題說明：

Custodians are defined as entities that settle trades on behalf of the clients of trading members. They are classified as Clearing Members (similar to Professional Clearing Members) but they do not have trading rights. They require specific registration with SEBI to provide custodial services.

### 問題 #157

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

答案： B

### 解題說明：

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.

### 問題 #158

While most delivery shortages in compulsory rolling settlements are handled via auction, certain cases result in a direct close-out. For which of the following scenarios is the auction mechanism NOT conducted, and the trade is directly closed out?

- A. Shortages in securities that are under 'Trade for Trade' category or currently under corporate action.
- B. Shortages caused by a technical glitch in the broker's back-office software.
- C. Shortages where the quantity is less than 500 shares.
- D. Shortages in A-Group liquid securities with high trading volume.
- E. Shortages arising from institutional trades where the custodian has rejected the trade.

答案：A

解題說明：

In certain delivery shortages, the clearing corporation directly does the close-out without conducting an auction. Examples include 'Securities under trade for trade category, securities under corporate action, trades done on block deal window', etc.

### 問題 #159

For the purpose of identifying an 'extra-ordinary' dividend (which triggers adjustment in Equity F&O), the declared dividend must be at and above 2% of the market value of the underlying stock. How is this 'market price' specifically defined for the calculation?

- A. The closing price of the scrip on the date of the Annual General Meeting (AGM) where the dividend is approved.
- B. The closing price of the scrip on the day previous to the date on which the announcement of the dividend is made by the Company after the Board meeting.
- C. The closing price of the scrip on the record date fixed for the purpose of dividend payment.
- D. The average closing price of the scrip for the last 5 trading days prior to the record date.
- E. The volume-weighted average price (VWAP) of the scrip on the cum-dividend date.

答案：B

解題說明：

To decide whether the dividend is 'extra-ordinary', the market price would mean the closing price of the scrip on the day previous to the date on which the announcement of the dividend is made by the Company after the meeting of the Board of Directors. However, if the announcement is made after market hours, the same day's closing price is taken.

### 問題 #160

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NewDumps的NISM-Series-VII考古題是很好的參考資料。這個考古題決定是你一直在尋找的東西。這是為了考生們特別製作的考試資料。它可以讓你在短時間內充分地準備考試，並且輕鬆地通過考試。如果你不想因為考試浪費太多的時間與精力，那麼NewDumps的NISM-Series-VII考古題無疑是你最好的選擇。用這個資料你可以提高你的學習效率，從而節省很多時間。

**NISM-Series-VII認證:** <https://www.newdumpspdf.com/NISM-Series-VII-exam-new-dumps.html>

在您購買NISM NISM-Series-VII考古題之前，我們所有的題庫都有提供對應免費試用的demo，您覺得適合在購買，這樣您可以更好的了解我們產品的品質，現在National Institute of Securities Markets NISM-Series-VII考古題認證考試是很多IT人士參加的最想參加的認證考試之一，是IT人才認證的依據之一，周圍很多朋友都通過了NISM的NISM-Series-VII認證考試嗎，NewDumps NISM-Series-VII認證實行“一次不過全額退款”承諾，由國際著名IT企業頒發的職業證書，證明了你具有專業的NISM-Series-VII技能，為國際承認並通用，我們的NISM-Series-VII認證考試學習資料的問題和答案包含了所有的考試題目和課程大綱內容，讓您輕松獲取NISM-Series-VII證書，NISM NISM-Series-VII新版題庫上線但是，關於問題集的選擇及使用，很多考生了解的並不多，以至於自己無法真正發揮出做題的作用。

忽的，黎仲心中壹動，等候自己多時，在您購買NISM NISM-Series-VII考古題之前，我們所有的題庫都有提供對應免費試用的demo，您覺得適合在購買，這樣您可以更好的了解我們產品的品質，現在National Institute of Securities Markets NISM-Series-VII考古題認證考試是很多IT人士參加的最想參加的認證考試之一，是IT人才認證的依據之一。

**NISM-Series-VII新版題庫上線&有保障的NISM NISM-Series-VII考試成功**

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