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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q152-Q157):

NEW QUESTION # 152

Based on the 'Cyber Security and Cyber Resilience Framework (CSCRF)' for Stock Brokers, which of the following correctly match the 'Cyber Resiliency Goals' with their definitions? (Select all that apply)

- A. Withstand: Restore business functions to the maximum extent subsequent to adversary attacks.
- B. Evolve: To change business functions and its supporting cyber capabilities to minimize adverse impacts of adversary attacks.
- C. Contain: Localise containment of crisis and isolate trusted functions from untrusted ones to continue business operations.
- D. Anticipate: Maintain a state of informed preparedness from adversary attacks.
- E. Recover: Continue essential business functions at times of adversary attacks.

Answer: B,C,D

Explanation:

The CSCRF defines the goals as follows: 'Anticipate' is maintaining informed preparedness. 'Withstand' is continuing essential business functions during attacks (Option B is incorrect as it describes Recover). 'Contain' is localizing the crisis. 'Recover' is restoring business functions (Option D is incorrect as it describes Withstand). 'Evolve' is changing functions to minimize adverse

impacts.

NEW QUESTION # 153

Which of the following scenarios is explicitly EXEMPT from the mandatory periodic settlement of running accounts for funds?

- A. Institutional clients settling trades through custodians.
- B. Clients trading in the derivatives segment only.
- C. Clients who have a credit balance of less than Rs. 1 lakh.
- D. Clients who have logged into their trading account at least once in the last 30 days.
- E. High Net Worth Individuals (HNIs) who have provided a written waiver.

Answer: A

Explanation:

Periodic settlement of running accounts may not be necessary in specific cases, including: 'In case of institutional clients settling trades through custodians'. Other exceptions include clients availing margin trading facility (to the extent of funds relating to MTF) and funds received as BG/FDR collaterals.

NEW QUESTION # 154

For which specific category of clients is the 'Block Mechanism' in the demat account for sale transactions explicitly applicable?

- A. Non-Resident Indians (NRIs) dealing through a Portfolio Investment Scheme (PIS).
- B. Corporate clients trading through a proprietary account of the Trading Member.
- C. Retail investors using the Application Supported by Blocked Amount (ASBA) facility.
- D. High Net Worth Individuals (HNIs) trading in the F&O segment.
- E. Clients having arrangements with custodians registered with SEBI for clearing and settlement of trades.

Answer: E

Explanation:

The source explicitly states that the block mechanism shall not be applicable to clients having arrangements with custodians registered with SEBI for clearing and settlement of trades.

NEW QUESTION # 155

A securities broking firm configures its Compliance Management System (CMS) to manage data retention policies in accordance with the Prevention of Money-Laundering Act (PMLA), 2002.

Review the JSON configuration snippet below regarding record retention timelines:

Based on the SEBI directives and PMLA provisions, which setting in the configuration is legally NON-COMPLIANT?

- A. client_identity_documents: 3_years_from_account_closure
- B. suspicious_transaction_reports: 5_years_from_reporting_date
- C. transaction_records: 5_years_from_transaction_date
- D. Both transaction_records and suspicious_transaction_reports
- E. All settings are compliant

Answer: A

Explanation:

According to Section 12 of the PMLA, 2002, reporting entities must maintain records of documents evidencing the identity of clients and beneficial owners (e.g., account files, business correspondence) for a period of five years after the business relationship has ended or the account has been closed, whichever is later. The configuration setting of '3 years' is non-compliant.

NEW QUESTION # 156

An 'Accreditation Agency' issues an accreditation certificate to an investor. Under what specific condition regarding the investor's financial history is this certificate valid for a period of three years from the date of issuance?

- A. If the applicant is a Body Corporate with a Net Worth INR 50 Crore
- B. If the applicant submits a bank guarantee equivalent to the net worth requirement
- C. If the applicant is a newly incorporated entity meeting the net-worth criteria as on the date of application
- D. If the applicant meets the eligibility criteria for the preceding one financial year
- E. If the applicant meets the eligibility criteria in each of the preceding two financial years

Answer: E

Explanation:

The validity of the accreditation certificate depends on the financial history: If the applicant meets the eligibility criteria for the preceding one financial year, the validity is two years. If the applicant meets the eligibility criteria in each of the preceding two financial years, the validity is three years. Newly incorporated entities meeting net-worth criteria get a two-year validity.

NEW QUESTION # 157

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