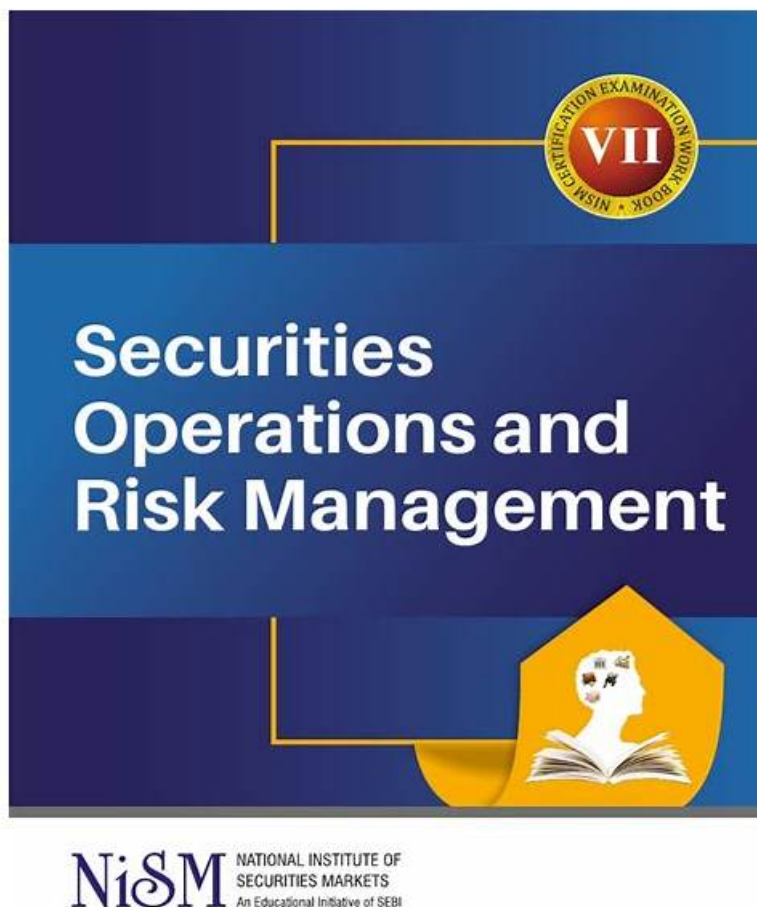


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q296-Q301):

NEW QUESTION # 296

A corporate stock broker with a net worth of Rs. 10 Crore wishes to offer the margin trading facility (MTF) to its clients. According to SEBI regulations, what is the maximum limit on the broker's total indebtedness for the purpose of margin trading and the maximum allowable exposure towards MTF?

- A. Total Indebtedness: Rs. 50 Crore; Maximum Exposure: Borrowed Funds + Rs. 10 Crore
- B. Total Indebtedness: Rs. 100 Crore; Maximum Exposure: 5 times Net Worth
- **C. Total Indebtedness: Rs. 50 Crore; Maximum Exposure: Borrowed Funds + Rs. 5 Crore**
- D. Total Indebtedness: Rs. 20 Crore; Maximum Exposure: Rs. 50 Crore
- E. Total Indebtedness: Rs. 30 Crore; Maximum Exposure: Borrowed Funds + Rs. 10 Crore

Answer: C

Explanation:

According to the leverage and exposure limits for margin trading: 1) The total indebtedness of a broker for the purpose of margin trading shall not exceed 5 times of his net worth (5 10 Cr = 50 Cr). 2) The maximum allowable exposure of the broker towards the margin trading facility shall not exceed the borrowed funds and 50% of his 'net worth' (Borrowed Funds + 50% of 10 Cr = Borrowed Funds + 5 Cr).

NEW QUESTION # 297

Under the framework for validation of instructions for Pay-In of securities, which of the following scenarios results in the immediate rejection of the transfer instruction by the Depositories?

- A. When the instruction is received on T+1 day instead of T day.
- **B. When there are discrepancies in details like UCC, TM ID, CM ID, or ISIN between the instruction and the obligation data.**
- C. When the quantity in the instruction is exactly equal to the obligation provided by the Clearing Corporation.
- D. When the instruction is initiated by a Power of Attorney (POA) holder instead of the client directly.
- E. When the quantity in the instruction is less than the obligation provided by the Clearing Corporation.

Answer: B

Explanation:

The source states that under 'Unmatched Instruction': 'In case of discrepancies in details like UCC, TM ID, CM ID, ISIN etc., between instruction and obligation, such transfer instructions will be rejected by the depositories.'

NEW QUESTION # 298

A stock broker intends to expand their business scope by offering Portfolio Management Services (PMS) and functioning as a Depository Participant. According to the regulatory framework for 'Other Services Provided by Brokers', which of the following statements accurately reflects the registration requirement for these additional services?

- A. The existing stock broker registration with SEBI is comprehensive and covers all financial services including PMS and Depository services.
- B. The broker needs to convert into a Non-Banking Financial Company (NBFC) to offer these services, but no separate SEBI registration is needed.
- C. Registration is only required with the Stock Exchange for PMS, while Depository services require SEBI registration.
- **D. The broker must obtain separate registration/licenses from SEBI for each of the specific services like PMS and Depository services.**
- E. These services can be offered under a general 'Investment Advisory' license without specific product registration.

Answer: D

Explanation:

According to the Introduction section of 'Other Services Provided by Brokers', while brokers provide services like PMS, IPO applications, etc., 'for all the other services, the brokers need to be separately registered with SEBI.' Licenses and certifications have to be obtained for each of the services offered.

NEW QUESTION # 299

What specific regulatory benefit regarding reserve requirements is accorded to funds borrowed through the Triparty Repo Dealing System (TREPS) in India?

- A. Exemption from Securities Transaction Tax (STT)
- B. Eligibility for priority sector lending classification
- C. Automatic guarantee by the Central Government
- D. Waiver of stamp duty on the underlying collateral
- E. Exemption from RBI's CRR/SLR computation

Answer: E

Explanation:

Funds borrowed on TREPS are exempted from RBI's CRR (Cash Reserve Ratio) and SLR (Statutory Liquidity Ratio) computation. Additionally, the security acquired under the deal is eligible for SLR by the acquiring Bank.

NEW QUESTION # 300

In the event of holidays affecting the settlement schedule, Clearing Corporations (CCs) follow specific guidelines to ensure smooth settlement. Which of the following statements accurately describes the procedure for sequential settlement and inter-depository transfers?

- A. CCs club multiple settlements into a single netted obligation to avoid sequential processing delays.
- B. Settlements are postponed to the next working week to ensure all banks are operational.
- C. Depositories must facilitate inter-depository transfers within one hour and before the pay-in for the subsequent settlement begins.
- D. The pay-out from the first settlement is blocked for 24 hours and cannot be used for the subsequent settlement's pay-in.
- E. CCs prioritize the settlement with the highest value regardless of the chronological order of trade dates.

Answer: C

Explanation:

To meet pay-in obligations for subsequent settlements during holidays, members may need to move securities from one depository to another. The depositories shall, therefore, facilitate the inter-depository transfers within one hour and before pay-in for the subsequent settlement begins.

NEW QUESTION # 301

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The study does point out a number of differences between male and female entrepreneurs, NISM-Series-VII But as with accounting, the growing complexities of the business world is resulting in new, higher level opportunities for knowledge based services.

