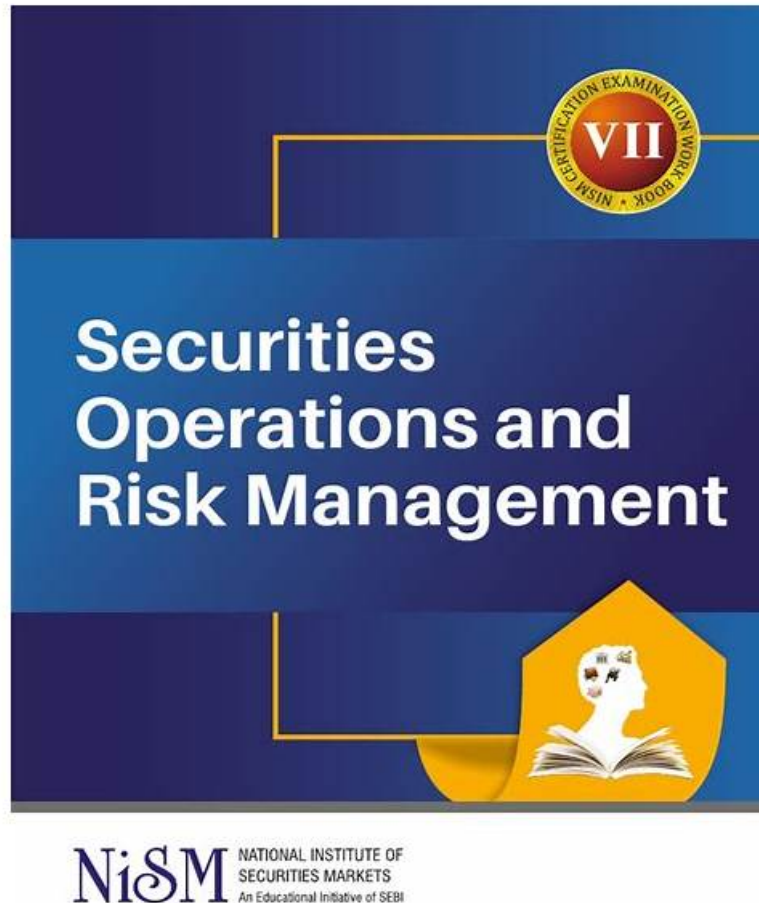


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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q325-Q330):

NEW QUESTION # 325

Identify the financial instrument described by the following features: It is a rupee-denominated bond issued outside India by Indian entities to raise money in local currency from foreign investors.

- **A. Masala Bond**
- B. American Depository Receipt (ADR)
- C. Global Depository Receipt (GDR)
- D. External Commercial Borrowing (ECB)
- E. Foreign Currency Convertible Bond (FCCB)

Answer: A

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,.

NEW QUESTION # 326

Regarding 'Internal Shortages' within a broker's firm (where a selling client fails to deliver, but the broker has no net obligation to the Clearing Corporation due to an offsetting buy by another client), what is the specific regulatory advice concerning the handling of charges under the 'Direct Pay-out' of securities framework?

- A. The broker must buy the shares from the open market on T+2 and can pass on the purchase cost plus a standard brokerage fee to the defaulting client.
- B. The broker is mandated to close out the internal shortage at the highest price of the settlement cycle plus a 5% penalty credited to the Investor Protection Fund.
- C. Internal shortages must be reported to the Exchange, and the trade should be annulled with mutual consent of both clients.
- **D. The broker should handle such shortages through the process of auction as specified by CCs and is advised not to levy any charges on the client over and above the charges levied by the CCs.**
- E. The broker must conduct a private auction among its own clients and can charge a facilitation fee not exceeding 1% of the trade value.

Answer: D

Explanation:

To handle shortages arising due to inter se netting of positions between clients with introduction of Direct Pay-out of securities in client account, SEBI has advised TM/CM to handle such shortages through the process of auction as specified by CCs. Further, SEBI advised TM/CM in such cases not to levy any charges on the client over and above the charges levied by the CCs.

NEW QUESTION # 327

To ensure compliance while providing research-based advisory services, brokerage houses must adhere to specific regulations and circulars. According to the NISM workbook, which of the following represents the governing framework for Research Reports?

- **A. SEBI (Research Analysts) Regulation, 2014 and Master Circular for Research Analyst dated May 21, 2024**
- B. Securities Contracts (Regulation) Rules, 1957 and SEBI (Prohibition of Insider Trading) Regulations, 2015
- C. SEBI (Portfolio Managers) Regulations, 2020 and Master Circular dated March 20, 2023
- D. SEBI (Stock Brokers) Regulations, 1992 and Master Circular dated May 21, 2024
- E. SEBI (Investment Advisers) Regulations, 2013 and Master Circular dated December 16, 2020

Answer: A

Explanation:

Brokerage houses providing research-based advisory services must comply with the relevant guidelines provided under (Research Analysts) Regulation, 2014" and "Master Circular for Research Analyst' dated May 21 , 2024**.

NEW QUESTION # 328

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

Answer: B,C,E

Explanation:

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.

NEW QUESTION # 329

Select the correct combination of statements regarding the expiry cycle and settlement of Long Dated Index Options and Equity Index Futures in the Indian Securities Market.

- A. Statement I: Index Futures are cash settled. Statement II: Long dated options have a maximum expiry of 12 months.
- B. Statement I: Index Futures are physically settled. Statement II: Long dated options have a 3-year expiry cycle.
- C. Statement I: All Index Futures are physically settled. Statement II: Long dated options expire on the first Thursday of the quarter.
- D. Statement I: Index Futures expire on the last Friday of the month. Statement II: Long dated options follow only a monthly expiry cycle.
- E. Statement I: All Index Futures are cash settled. Statement II: Long dated options are available up to a 5-year expiry cycle with quarterly and half-yearly expiries.

Answer: E

Explanation:

The source states: 'All Index future and option contracts are cash settled.' Regarding expiry cycles: 'Monthly index contracts generally have 3-month expiry cycle except for the long dated options contracts which are available up to 5-year expiry cycle with quarterly expiries (March, June, Sept & Dec cycle) and half yearly expiries (Jun, Dec cycle).'

NEW QUESTION # 330

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