

Real Exam Questions & Answers - NISM NISM-Series-VII Dump is Ready

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A home buyer is obtaining a fully amortized loan in the amount of \$140,000. The savings and loan will give him the loan for 15 years at 5% or for 30 years at 6%. To the nearest dollar, what is the difference between the monthly payments for these two loans? (BE SURE TO USE THE AMORTIZATION TABLE.) -----CORRECT ANSWER----- \$267

Which of these Federal laws regulates the advertisement of a lender's credit terms (rates, payment, etc.)? -----CORRECT ANSWER----- Regulation Z.

The FHA functions MOST like -----CORRECT ANSWER----- an insurance company.

An equal housing opportunity notice MUST be -----CORRECT ANSWER----- displayed in the brokerage office.

Why was the Jones vs. Mayer decision of 1968 important? -----CORRECT ANSWER----- By upholding the Civil Rights Act of 1866, the Supreme Court removed all exceptions to racial discrimination in housing.

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NISM Series VII - Securities Operations and Risk Management Certification

Sample Questions (Q145-Q150):

NEW QUESTION # 145

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

Answer: C

Explanation:

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.

NEW QUESTION # 146

In the context of the settlement mechanism for institutional transactions, if a Custodian rejects a trade allocated to them by a broker, how is the settlement of such a rejected trade processed?

- A. The settlement is deferred to T+2 to allow for re-confirmation.
- B. The trade is annulled by the Stock Exchange immediately.
- C. The Clearing Corporation settles the trade using the Core Settlement Guarantee Fund.
- D. The trade is transferred to the broker's error account for liquidation.
- E. The trade is settled through the Delivery Versus Payment (DVP) basis.

Answer: E

Explanation:

In the event of rejection of institutional trades by the custodian, the trade will be settled through Delivery Versus Payment (DVP) basis. Such trades will also be subjected to penalties as may be imposed by Stock Exchanges/Clearing Corporations.

NEW QUESTION # 147

What is the primary benefit of 'Interoperability' among Clearing Corporations for a Clearing Member (CM)?

- A. It enables the CM to select a single Clearing Corporation to clear and settle trades executed on multiple stock exchanges.
- B. It mandates the CM to maintain separate settlement accounts for each Exchange, thereby segregating risk.
- C. It allows the CM to execute trades on the Exchange without maintaining a Base Minimum Capital.
- D. It allows the CM to act as a Custodian for institutional clients without separate registration.
- E. It guarantees that the CM will receive interest on the cash component of the Core Settlement Guarantee Fund.

Answer: A

Explanation:

Inter-operability among Clearing Corporations enables a Clearing Member to select the Clearing Corporation of its choice to clear and settle trades executed in multiple exchanges. This allows market participants to consolidate their clearing and settlement functions at a single Clearing Corporation.

NEW QUESTION # 148

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 broker needs to convert into a Non-Banking Financial Company (NBFC) to offer these services, but no separate SEBI registration is needed.

- B. The existing stock broker registration with SEBI is comprehensive and covers all financial services including PMS and Depository services.
- **C. The broker must obtain separate registration/licenses from SEBI for each of the specific services like PMS and Depository services.**
- D. Registration is only required with the Stock Exchange for PMS, while Depository services require SEBI registration.
- E. These services can be offered under a general 'Investment Advisory' license without specific product registration.

Answer: C

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 # 149

SEBI has formalized a Risk Based Supervision (RBS) model for market intermediaries. Which of the following sequences correctly identifies the four distinct steps of this supervision model?

- A. Risk Identification -> Risk Analysis -> Risk Mitigation -> Risk Reporting
- B. Data Collection -> Compliance Check -> Risk Scoring -> Inspection
- **C. Risk Assessment -> Assigning Risk & Impact Rating -> Determining Supervisory Risk Rating Score -> Supervisory Approach**
- D. Internal Audit External Audit -> Risk Classification -> Penalty Determination
- E. Client Profiling -> Transaction Monitoring Risk Rating -> Surveillance Action

Answer: C

Explanation:

The Risk Based Supervision model follows four distinct steps: a. Risk Assessment, b. Assigning Risk & Impact Rating, c. Determining Supervisory Risk Rating Score, and d. Supervisory Approach. This model divides entities into risk groups (very low to high) to determine the quantum of supervision.

NEW QUESTION # 150

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Node—A host, or in the case of a multihomed host, a gateway, As it turns out, NISM-Series-VII though, that particular ranking adds little value to the existing data because it stays in line with the values for self-study and classroom costs.

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