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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q120-Q125):

NEW QUESTION # 120

A financial services firm applies for registration as a Portfolio Manager. They nominate Mr. X as the Principal Officer. Mr. X holds a professional qualification in finance from a recognized university. Regarding his experience, which of the following conditions MUST he satisfy to meet the eligibility criteria?

- A. Experience of at least 5 years strictly as a stock broker or dealer in the equity derivatives segment.
- **B. Experience of at least 5 years in related activities in the securities market, including at least 2 years in portfolio management or investment advisory services or fund management.**
- C. Experience of at least 7 years in related activities in the securities market, with no specific requirement for portfolio management experience.
- D. Experience of at least 2 years in related activities in the securities market if he holds a CFA charter.
- E. Experience of at least 3 years in related activities in the securities market, with at least 1 year in portfolio management.

Answer: B

Explanation:

The Principal Officer must have a professional qualification and experience of at least five years in related activities in the securities market including in a portfolio manager, stock broker, investment advisor, research analyst or as a fund manager. Provided that at least 2 years of relevant experience is in portfolio management or investment advisory services or in the areas related to fund management.

NEW QUESTION # 121

According to the framework for the Core Settlement Guarantee Fund (Core SGF), how is the Minimum Required Corpus (MRC) for a segment determined for the upcoming month?

- A. It is the simple average of the daily stress test losses of the preceding month, capped at 15% of the total open interest.
- **B. It is the higher of the average of all daily worst-case loss numbers determined from stress tests of the preceding month and the segment MRC as per the previous review.**
- C. It is calculated as 25% of the liquid net worth of the Clearing Corporation plus the total Base Minimum Capital collected from members.
- D. It is determined by the Risk Management Committee based on the highest single day loss observed in the last one year.
- E. It is fixed annually by SEBI based on the projected volume and turnover of the Clearing Corporation.

Answer: B

Explanation:

The source specifies that the MRC shall be fixed for a month. By the 15th of every month, the CC reviews/determines the MRC for the next month based on daily stress tests of the preceding month. Specifically, the MRC for the next month shall be the 'higher of the average arrived at as (v) above [Average of all the daily worst case loss numbers] and the segment MRC as per previous review.'

NEW QUESTION # 122

According to the SEBI circular dated April 05, 2022, regarding the use of Unified Payment Interface (UPI) in public issues of equity shares, which specific category of investors is mandated to use UPI and provide their UPI ID in the bid-cum-application form?

- A. All Retail Individual Investors applying for any amount.
- B. Anchor Investors applying during the anchor book period.
- **C. All Individual Investors applying in Public issues where the application amount is up to 5 Lakhs.**
- D. Qualified Institutional Buyers (QIBs) applying up to Rs. 2 Lakhs.
- E. Non-Institutional Investors (NIIs) applying above Rs. 2 Lakhs.

Answer: C

Explanation:

SEBI vide circular dated April 05, 2022, decided that 'all Individual Investors applying in Public issues where the application amount is up to 5 Lakhs shall use UPI and shall also provide their UPI ID in the bid-cum-application form'.

NEW QUESTION # 123

Identify the correct combination of the minimum Net Worth requirement for a Portfolio Manager and the minimum investment amount they must accept from a client (excluding accredited investors/co-investment managers) as per current regulations.

- A. Net Worth: Rs. 10 Crore; Minimum Investment: Rs. 1 Crore
- B. Net Worth: Rs. 5 Crore; Minimum Investment: Rs. 25 Lakh
- C. Net Worth: Rs. 3 Crore; Minimum Investment: Rs. 50 Lakh
- D. Net Worth: Rs. 2 Crore; Minimum Investment: Rs. 25 Lakh
- **E. Net Worth: Rs. 5 Crore; Minimum Investment: Rs. 50 Lakh**

Answer: E

Explanation:

The applicant must fulfill the net worth requirement of not less than Rs. 5 Crores. The portfolio manager shall not accept from the clients, funds or securities worth less than Rs. 50 lakh.

NEW QUESTION # 124

Which of the following statements accurately describe the operational guidelines for the Online Dispute Resolution (ODR) mechanism in the Indian Securities Market? (Select all that apply)

- **A. The ODR Institution must appoint a sole independent and neutral conciliator within 5 days of receipt of the reference.**
- **B. The conciliator shall attempt to reach a resolution within 21 calendar days, which can be extended by a maximum of 10 calendar days by consent.**
- C. Investors must mandatorily exhaust the SCORES portal process before they can initiate any dispute resolution through the ODR Portal.
- D. If a Market Participant wishes to pursue online arbitration following an unsuccessful conciliation, they must deposit 50% of the admissible claim value with the relevant MII.
- **E. The Market Participant can initiate dispute resolution through the ODR Portal after giving due notice of at least 15 calendar days to the investor.**

Answer: A,B,E

Explanation:

Option A is correct: Market Participants can initiate ODR with 15 days notice. Option B is correct: Appointment is within 5 days. Option D is correct: Timeline is 21 days + 10 days extension. Option C is incorrect because the deposit requirement is 100% of the admissible claim value. Option E is incorrect because investors can initiate ODR if the grievance with the Market Participant is not resolved satisfactorily, or at any stage of subsequent escalations.

NEW QUESTION # 125

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