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Study Notes for NISM Series VII : Securities Operations & Risk Management (SORM)

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Prepared By

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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q96-Q101):

NEW QUESTION # 96

What is the primary objective of the research reports (Fundamental, Stock, Sector, etc.) regularly brought out by stock brokers?

- A. To generate additional brokerage by encouraging excessive churning of portfolios.
- B. To manipulate the market price of illiquid securities.
- C. To fulfill the mandatory requirement of the Companies Act, 2013.
- D. To replace the role of the Investment Adviser completely.
- **E. To help the investor make informed investment decisions.**

Answer: E

Explanation:

The text explicitly states: 'These reports are aimed at * *helping the investor make informed investment decisions**.'

NEW QUESTION # 97

In the context of the beta version of the T+0 rolling settlement cycle, how is the applicable price band for a security determined and managed relative to the regular T+1 market?

- A. It operates with a price band of +50 basis points from the opening price of the T+0 market, without any re-calibration during the session.
- **B. It operates with a price band of +100 basis points from the price in the regular T+1 market, re-calibrated after every 50 basis points movement in the underlying T+1 market.**
- C. It operates with a fixed price band of +/- 5% irrespective of the movement in the T+1 market.
- D. It mirrors the dynamic price band of the T+1 market exactly, flexing only when the T+1 market hits its circuit limit.
- E. It is set at +/- 1% of the previous day's closing price and remains static throughout the trading session 09:15 AM to 3:30 PM.

Answer: B

Explanation:

According to the operational details for T+0 settlement, the price in the T+0 segment will operate with a price band of +100 basis points from the price in the regular T+1 market. This band will be re-calibrated after every 50 basis points movement in the underlying T+1 market.

NEW QUESTION # 98

Regarding the execution of transfer instructions, under what condition is a Depository Participant (DP) permitted to register the transfer of securities from a beneficial owner's account?

- A. Whenever the account balance falls below the minimum required balance
- B. Based on a standing instruction from the Stock Exchange for all accounts
- **C. Only on receipt of instructions from the beneficial owner and thereafter confirming the same to the beneficial owner**
- D. Upon implied consent derived from the client's trading pattern
- E. Immediately upon receipt of a market rumour regarding the security

Answer: C

Explanation:

A participant shall register the transfer of securities to or from a beneficial owner's account only on receipt of instructions from the beneficial owner and thereafter confirm the same to the beneficial owner.

NEW QUESTION # 99

SEBI designates certain stock brokers as 'Qualified Stock Brokers' (QSBs) based on specific parameters to ensure appropriate governance and risk management. Which of the following parameters are explicitly considered for designating a stock broker as a QSB?

(Select all that apply)

- A. The available total assets of clients with the stock broker.
- B. The total number of active clients of the stock broker.
- C. The net worth of the stock broker's promoter group.
- D. The number of sub-broker offices managed by the stock broker.
- E. The proprietary trading volumes of the stock broker.

Answer: A,B,E

Explanation:

The parameters considered for designating a stock broker as a QSB include: (a) the total number of active clients; (b) the available total assets of clients; (c) trading volumes (excluding proprietary); (d) end of day margin obligations; (e) proprietary trading volumes; (f) compliance score; and (g) grievance redressal score. Promoter net worth and number of sub-broker offices are not listed parameters.

NEW QUESTION # 100

Which of the following services can a Depository Participant (DP) engage in, as explicitly listed in the NISM workbook? (Select all that apply)

- A. Receiving electronic credit in respect of securities allotted by issuers under IPO
- B. Underwriting of Initial Public Offers (IPOs)
- C. Issuing equity research reports for the depository
- D. Freezing of the demat account for debits, credits, or both
- E. Pledging of dematerialized securities & facilitating loans against shares

Answer: A,D,E

Explanation:

The services a DP can engage into include: Receiving electronic credit in respect of securities allotted by issuers under IPO; Pledging of dematerialized securities & facilitating loans against shares; Freezing of the demat account for debits, credits, or both. Research reports and Underwriting are not listed as DP services in this section.

NEW QUESTION # 101

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His name was Neil Eastman, However, the Bibliography lists a number NISM-Series-VII of excellent books on the topic, With best wishes, we hope you can become one part of the successful group as soon as possible.

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