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## NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q232-Q237):

### NEW QUESTION # 232

What are the specific trading hours for the continuous trading session under the beta version of the T+0 rolling settlement cycle?

- A. 09:00 AM to 3:30 PM
- B. 09:15 AM to 3:30 PM
- C. 09:15AM to 12:30 PM
- D. 10:00 AM to 2:00 PM
- E. 09:15AM to 1:30 PM

**Answer: E**

Explanation:

The Trade Timings for the T+0 rolling settlement cycle are defined as one continuous trading session from 09:15 AM to 1:30 PM.

#### NEW QUESTION # 233

Which of the following data fields must match between the transfer instruction and the Clearing Corporation's obligation data for a Pay-In instruction to be considered a 'Matched Instruction' and subsequently executed? (Select all that apply)

- A. ISIN (International Securities Identification Number)
- B. TM ID (Trading Member ID)
- C. UCC (Unique Client Code)
- D. Client's Bank Account Number
- E. CM ID (Clearing Member ID)

**Answer: A,B,C,E**

Explanation:

The text states that in case of matching of all details like 'UCC, TM ID, CM ID, ISIN, quantity, settlement details etc.' of the transfer instruction with the obligation data, the instruction shall be carried out. The Client's Bank Account Number is not mentioned as a validation parameter for securities pay-in.

#### NEW QUESTION # 234

Regarding the methodology for adjusting Rights Issues in the Equity F&O segment, how are the Market Lot and Position of the existing contracts modified using the Adjustment Factor?

- A. The new market lot and position are arrived at by multiplying the old market lot and position by the adjustment factor.
- B. The new market lot is multiplied, while the position is divided by the adjustment factor.
- C. The new market lot is arrived at by adding the Rights Entitlement ratio to the old lot.
- D. The new market lot and position are arrived at by dividing the old market lot and position by the adjustment factor.
- E. The new market lot and position remain unchanged; only the strike price is adjusted.

**Answer: D**

Explanation:

For Rights Issues, the new market lot/multiplier is arrived at by dividing the old market lot by the adjustment factor. Similarly, the new position is arrived at by dividing the old position by the adjustment factor. Note that for Rights, the adjustment factor is typically less than 1, resulting in an increase in lot size and position.

#### NEW QUESTION # 235

In the context of the 'Trade to trade' or 'Gross obligations' method for determining settlement obligations, how are a member's funds obligations calculated?

- A. Funds pay-in is the cumulative buy value minus 20% margin, and pay-out is the cumulative sell value.
- B. Funds pay-in is the net of cumulative buy and sell values, while funds pay-out is zero.
- C. Funds pay-in and pay-out are both calculated on a netted basis across all clients.
- D. Funds obligations are determined solely based on the netted quantity of securities delivered.
- E. Funds pay-in is equivalent to the cumulative value of buy transactions, and funds pay-out is equivalent to the cumulative sell value.

**Answer: E**

Explanation:

Under 'Trade to trade or Gross obligations', transactions will not be netted. A member's funds pay-in will be equivalent to cumulative value of buy transactions and funds pay-out will be equivalent to cumulative sell value.

#### NEW QUESTION # 236

To ensure a smooth settlement process in case of holidays, Clearing Corporations (CCs) are required to follow a specific operational sequence. Which of the following statements accurately describes this sequence regarding multiple settlements scheduled

for the same day?

- A. Settlements are aggregated into a single net obligation for the entire holiday period to avoid sequential processing.
- B. CCs shall prioritize the settlement with the highest volume, regardless of the chronological order of trade dates.
- C. The pay-out of the subsequent settlement must be completed before the pay-in of the first settlement to ensure liquidity.
- **D. The pay-in and pay-out of the first settlement shall be completed before the commencement of the pay-in and pay-out of the subsequent settlement(s).**
- E. CCs shall process all pay-ins for all scheduled settlements simultaneously before initiating any pay-outs.

**Answer: D**

Explanation:

According to the guidelines for settlement in case of holidays, 'The CCs shall clear and settle the trades on a sequential basis i.e., the pay-in and the pay-out of the first settlement shall be completed before the commencement of the pay-in and pay-out of the subsequent settlement(s).'

## NEW QUESTION # 237

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