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## NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q210-Q215):

### NEW QUESTION # 210

When a short delivery is identified, the Clearing Corporation debits the member by an amount equivalent to the securities not delivered valued at a specific price. What is this specific debit termed as?

- A. Close-out Debit
- B. Auction Pre-payment
- C. Valuation Debit
- D. Shortage Penalty
- E. Provisional Margin Debit

**Answer: C**

Explanation:

Once shortages are identified, the members are debited by an amount equivalent to the securities not delivered and valued at a valuation price. This is known as valuation debit. (Section 6.5)

### NEW QUESTION # 211

Under the SEBI (Infrastructure Investment Trusts) Regulations, 2014, if an InvIT raises funds via private placement, which of the following combinations of 'minimum investment' and 'trading lot' criteria must be met?

- A. Minimum Investment: Rs. 50 Lakhs; Trading Lot: Rs. 10 Lakhs
- B. Minimum Investment: Rs. 10 Lakhs; Trading Lot: 1 Unit
- C. Minimum Investment: Rs. 25 Crores; Trading Lot: 1 Unit
- D. Minimum Investment: Rs. 10,000; Trading Lot: Rs. 5 Lakhs
- E. Minimum Investment: Rs. 1 Crore; Trading Lot: Rs. 25 Lakhs

**Answer: E**

Explanation:

According to the source regarding InvITs raising funds by way of private placement: 'The minimum investment from any investor should be of rupees one crore.' and 'In case of private placement, trading lot for the purpose of trading of units on the designated stock exchange shall Rs. 25 lakhs.'

### NEW QUESTION # 212

Which of the following statements accurately describes the currency and jurisdictional nature of an International Financial Services Centre (IFSC) in India?

- A. It operates in Indian Rupee (INR) but is exempt from RBI regulations.
- B. It operates under the jurisdiction of the state government where it is located, dealing in dual currencies.
- C. It is a deemed domestic territory for FEMA purposes but deals in foreign currency.
- D. It is a jurisdiction providing financial services to non-residents and residents (to the extent permissible) in a currency other than the domestic currency (Indian Rupee).
- E. It caters to domestic customers only, offering products in foreign currency.

**Answer: D**

Explanation:

An IFSC is defined as a jurisdiction that provides world-class financial services to non-residents and residents (to the extent permissible under current regulations) in a currency other than the domestic currency (Indian rupee) of the location where the IFSC is located.

### NEW QUESTION # 213

When a stock broker's collateral utilization breaches the specific percentage (currently 90%), the 'Risk Reduction Mode' is triggered. Which of the following operational restrictions and conditions apply during this mode? (Select all that apply)

- A. Fresh orders placed by the member to reduce the open position will be accepted.
- B. All unexecuted orders shall be cancelled immediately.
- C. Only orders with 'Immediate or Cancel' (IOC) attribute are permitted.
- D. Non-margined orders are accepted without restriction to maintain liquidity.
- E. Client and Custodial Participant code modification is permitted to rectify errors.

**Answer: A,B,C**

Explanation:

In Risk Reduction Mode: 1) All unexecuted orders shall be cancelled. 2) Only orders with Immediate or Cancel attribute shall be permitted. 3) Fresh order placed by member to reduce the open position will be accepted. Option D is incorrect because non-margined orders shall \*not\* be accepted. Option E is incorrect because Client and Custodial Participant code modification shall \*not\* be permitted.

### NEW QUESTION # 214

Under the ODR framework, what is the specific monetary threshold regarding the aggregate claim/counter-claim amount that necessitates the reference of the matter to an \*\*Arbitral Tribunal consisting of three Arbitrators\*\*?

- A. Exceeds Rs. 10,00,000 (Rupees Ten Lakhs)
- B. Exceeds Rs. 50,00,000 (Rupees Fifty Lakhs)
- C. Exceeds Rs. 1,00,00,000 (Rupees One Crore)
- D. Exceeds Rs. 20,00,000 (Rupees Twenty Lakhs)
- E. Exceeds Rs. 30,00,000 (Rupees Thirty Lakhs)

**Answer: E**

Explanation:

The source specifies: 'In the event that the aggregate of the claim and/or counter-claim amount exceeds Rs 30,00,000 (Rupees Thirty Lakhs) or such amount as specified from time to time, the matter shall be referred to an Arbitral Tribunal consisting of three Arbitrators'.

## NEW QUESTION # 215

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