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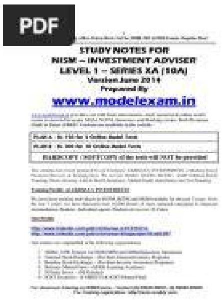
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STUDY NOTES FOR
NISM – INVESTMENT ADVISER
LEVEL 1 – SERIES XA (10A)
Version June 2014
Prepared By
www.modelexam.in

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NISM NISM-Series-VII Exam Syllabus Topics:

Section	Weight	Objectives
Risk Management and Margining	18%	- Risk monitoring and control measures - Margining systems and methodologies - Types of risks in securities operations
Securities Market Overview	10%	- Types of securities and products - Structure and segments of Indian securities market - Market participants and their roles
Regulatory Framework	15%	- Code of conduct and ethical practices - Compliance requirements for intermediaries - SEBI Act, Rules and Regulations
Investor Protection	7%	- Investor education and awareness initiatives - Investor rights and grievances redressal - Mechanisms for dispute resolution
Market Microstructure	12%	- Price discovery and market efficiency - Trading mechanisms and order types - Market indices and their calculation
Clearing and Settlement	15%	- Settlement cycle and mechanisms - Clearing process and roles of clearing corporations - Delivery versus payment and settlement guarantee
Technology in Securities Markets	8%	- Systems for trading, clearing and settlement - Data security and business continuity - Emerging technologies and their impact
Trading Operations	15%	- Front office functions and processes - Client onboarding and KYC norms - Order management and trade execution

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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q86-Q91):

NEW QUESTION # 86
Which of the following statements accurately describe the operational mechanisms and participants of the Indian Money Market segments? (Select all that apply)

- A. All India Financial Institutions can issue Certificates of Deposit (CDs) for a period not exceeding 1 year.
- B. Treasury Bills (T-bills) are zero coupon securities issued at a discount and traded on the NDS-OM platform.
- C. Notice Money transactions refer to borrowing for a period specifically between 15 days and 1 year.
- D. Repo transactions against Government Securities are traded/reported on the Clearcorp Repo Order Matching System (CROMS).
- E. Call money market transactions are restricted to Scheduled Commercial Banks (SCBs) and Primary Dealers (PDs).

Answer: B,D,E

Explanation:
Statement A is correct as the call money market is restricted to SCBs and PDs. Statement C is correct as Repo transactions against G-secs are traded/reported on CROMS. Statement E is correct as T-bills are zero coupon securities traded on NDS-OM. Statement B is incorrect because Notice Money is for up to 14 days, whereas 15 days to 1 year is Term Money. Statement D is incorrect because All India Financial Institutions can issue CDs for a period not less than 1 year and not exceeding 3 years.

NEW QUESTION # 87
To participate in the trading of mutual fund units through the stock exchange trading platform, a trading member must fulfill specific criteri a. Which of the following combinations accurately represents the mandatory requirements for a trading member to place orders for a specific Mutual Fund Company?

- A. Be a registered Depository Participant, hold a valid ARN, and have a dedicated Mutual Fund desk with at least two certified employees.
- B. Hold a valid SEBI Registration as a Portfolio Manager, pass the NISM Series-V-A examination, and register with the Association of Mutual Funds in India (AMFI).
- C. Hold an AMFI Registration Number (ARN), pass the relevant NISM certification examination, and register as a distributor with the specific Mutual Fund Company.
- D. Register directly with SEBI as an Investment Adviser, hold a valid ARN, and execute a Service Level Agreement with the Clearing Corporation.
- E. Obtain a specific 'MF-Trading' license from the Stock Exchange, maintain a minimum net worth of Rs. 50 Lakhs, and hold a valid ARN.

Answer: C

Explanation:
The trading members who are AMFI Registration Number (ARN) holders and have passed the NISM certification examination are permitted to participate in the trading of the mutual funds units through the exchange trading platform. Further, eligible members would have to register as distributor with the mutual fund company. Hence, eligible members would be able to place orders only in respect of Mutual Fund Companies where they have registered as distributor.

NEW QUESTION # 88
When a Partnership Firm registered under the Indian Partnership Act, 1932 applies for admission as a member of a Stock Exchange, which specific structural requirement must be identified and maintained as per Exchange norms?

- A. The firm must maintain a static profit-sharing ratio for 5 years.
- B. All partners must hold NISM Series-VII certification.
- C. The firm must convert to a Limited Liability Partnership within 1 year.

- D. A minimum of 51% of capital must be held by a designated clearing bank.
- E. The applicant must identify a Dominant Promoter Group.

Answer: E

Explanation:
As per the eligibility criteria for Partnership Firms, the applicant must identify a Dominant Promoter Group as per the norms of the Exchange at the time of making the application. Any change in the shareholding of the partnership firm, including that of the Dominant Promoter Group or their sharing interest, requires prior permission from the Exchange/SEBI.

NEW QUESTION # 89
Which of the following statements accurately reflect the roles and functions of a Clearing Corporation as a central counterparty (COP)?
(Select all that apply)

- A. It provides independent legal enforcement of contracts, reducing the need for buyers and sellers to take legal action against one another.
- B. It executes client orders on the stock exchange platform on behalf of the trading members.
- C. It calculates and controls the margining mechanism.
- D. It guarantees settlement of trades through the process of novation.
- E. It reduces the number of payments due by netting transactions.

Answer: A,C,D,E

Explanation:
The Clearing Corporation guarantees settlement (novation), reduces payments via netting, provides dispute resolution/legal enforcement (buyers/sellers don't sue each other), and calculates/controls margining. Option D is incorrect because the Clearing Corporation does not execute orders; execution is the function of the Stock Exchange/Trading Members.

NEW QUESTION # 90
In the process of disbursing compensation from the Investor Protection Fund (IPF) in case of a defaulter Trading Member (TM), which body is responsible for the 'sanction and ratification' of claims before they are sent to the IPF Trust?

- A. The Investor Grievance Redressal Committee (IGRC)
- B. The Defaulters' Committee
- C. The Member Committee (MC)
- D. The Disciplinary Action Committee (DAC)
- E. The Governing Board of the Exchange

Answer: C

Explanation:
The guidelines specify: 'The Stock Exchanges shall ensure that once a TM has been declared defaulter, the claim(s) shall be placed before the Member Committee (MC) for sanction and ratification. MC's legitimate claims shall be sent to the IPF Trust for immediate disbursement of the amount.'

NEW QUESTION # 91
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