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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 (Q178-Q183):

NEW QUESTION # 178

Which of the following statements accurately describe the operational aspects of the Beta version of T+0 rolling settlement cycle introduced by SEBI? (Select all that apply)

- A. Pay-in for T+0 sell obligations is allowed only by way of early pay-in using the block mechanism.
- B. An auction session will be conducted on T+0 day itself for any securities shortage.
- C. Security shortages shall be directly closed out at 10% above the highest price of the day across all exchanges for T+0 market.
- D. Trading timings for the T+0 session are from 09:15 AM to 3:30 PM.
- E. There shall be no netting in pay-in and pay-out obligations between T+1 and T+0 settlement cycles.

Answer: A,C,E

Explanation:

For T+0 settlement: There shall be no netting in pay-in and pay-out obligations between T+1 and T+0. Security shortages shall be directly closed out at 10% above the highest price (Auction shall not be conducted). Pay-in for T+0 sell obligations shall be allowing only by way of early pay-in using block mechanism. Trading timings are 09:15 AM to 1:30 PM (not 3:30 PM).

NEW QUESTION # 179

In certain market segments or scenarios, the Clearing Corporation bypasses the auction mechanism and directly initiates a 'Close Out' for delivery shortages. Which of the following is a specific case where this direct close-out procedure is mandated?

- A. Shortages where the value is less than Rs. 1 Lakh.
- B. Internal shortages within a broker's firm that could not be resolved via self-auction.
- C. Shortages in liquid securities (Group I) where the impact cost is less than 1%.
- D. Trades executed in the Block Deal window.
- E. Shortages arising from institutional trades not confirmed by the Custodian.

Answer: D

Explanation:

The source specifies that in certain delivery shortages, the clearing corporation directly does the close-out without conducting an auction. Examples provided include 'Securities under trade for trade category, securities under corporate action, trades done on block deal window etc.'

NEW QUESTION # 180

Under the 'Block Mechanism' in demat accounts for sale transactions, what is the specific operational protocol regarding the movement and unblocking of shares if the sale transaction is **not** executed on the trade day (T day)?

- A. Shares are debited from the client's account and held in a suspense account by the Depository until the next trading session.
- B. Shares are automatically transferred to the Trading Member's pool account and returned to the client on T+1 day.
- C. Shares continue to remain in the client's demat account and will be unblocked at the end of the T day.
- D. Shares are transferred to the Clearing Corporation's settlement pool and returned only after the auction session on T+1 .
- E. Shares remain blocked until the client explicitly submits a cancellation instruction via the depository participant.

Answer: C

Explanation:

According to the block mechanism framework, if a sale transaction is not executed, the shares shall continue to remain in the client's demat account and will be unblocked at the end of the T day. This eliminates the movement of shares from the client's demat account

for early pay- in and back if the trade is not executed.

NEW QUESTION # 181

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

Answer: A

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 # 182

Which of the following facilities are normally offered by a stock broker's outlet as part of their diversified services? (Select all that apply)

- A. Internet-based Online Trading (IBT)
- B. Issuance of Indian Currency
- C. Margin funding
- D. Investment advice & Research reports
- E. Mobile trading & Smart Order Routing (SOR)

Answer: A,C,D,E

Explanation:

The text explicitly lists the following facilities offered by a stock broker's outlet: 'Investment advice & Research reports', 'Margin funding', 'Mobile trading & Smart Order Routing (SOR)', and 'Internet-based Online Trading (IBT)'. Option D is incorrect.

NEW QUESTION # 183

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