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## NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q47-Q52):

### NEW QUESTION # 47

Clearing Members are required to maintain specific demat accounts known as 'Clearing Member Settlement Pool Accounts' with depositories. Which of the following statements accurately describes the legal and operational nature of the securities held in these pool accounts?

- A. Clients cannot transfer shares directly into the Clearing Member's pool account; they must transfer to a beneficiary account first.
- **B. The Clearing Member does not get any ownership or beneficiary rights over the shares held in these accounts; they are strictly for settlement delivery and receipt.**
- C. Securities in the pool account are automatically pledged to the Clearing Corporation as margin and cannot be delivered until unpledged.
- D. The Clearing Member obtains full ownership rights over the securities in the pool account to facilitate settlement.

- E. Corporate action benefits for securities held in the pool account are retained by the Clearing Member as operational fees.

**Answer: B**

Explanation:

As per the study material, 'It should be noted that unlike the usual demat accounts, the clearing member does not get any ownership or beneficiary rights over the shares held in these accounts.' These accounts are used to deliver securities against pay-in obligations and receive pay-out of securities.

#### **NEW QUESTION # 48**

In the context of Market Participants, which of the following statements accurately characterizes the regulatory status and operational scope of a 'Custodian' in the securities market?

- A. Custodians are primarily responsible for executing trades on the exchange floor.
- B. Custodians automatically act as the counterparty for all institutional trades.
- C. Custodians are exempt from registration with SEBI if they are registered banks.
- **D. Custodians are Clearing Members (like PCMs) but do not possess trading rights.**
- E. Custodians are registered as Trading Members but outsource clearing to PCMs.

**Answer: D**

Explanation:

Custodians are defined as entities that settle trades on behalf of the clients of trading members. They are classified as Clearing Members (similar to Professional Clearing Members) but they do not have trading rights. They require specific registration with SEBI to provide custodial services.

#### **NEW QUESTION # 49**

In the context of the T+1 Rolling Settlement schedule for the Cash Market, which of the following specific deadlines is mandated for the completion of custodial confirmation of trades to the Clearing Corporation?

- A. By 4:15 PM on T day
- B. By 9:00 AM on T+1 day
- **C. By 7:30 AM on T+1 day**
- D. By 11:00 AM on T+1 day
- E. By 8:30 AM on T+1 day

**Answer: C**

Explanation:

According to the typical activity schedule for T+1 Rolling Settlement in the Cash Market, the completion of custodial confirmation of trades to the Clearing Corporation/Clearing House must occur by 7:30 AM on the T+1 day. The download of obligation files happens subsequently by 9:00 AM.

#### **NEW QUESTION # 50**

While institutional trades generally do not attract upfront margins, specific categories of institutional investors are subject to upfront margining similar to non-institutional trades. Identify the category from the list below.

- **A. Category II FPIs who are corporate bodies, individuals, or family offices**
- B. Public Financial Institutions defined under the Companies Act
- C. Insurance Companies registered with IRDAI
- D. Mutual Funds registered with SEBI
- E. Category I Foreign Portfolio Investors (Sovereign Wealth Funds)

**Answer: A**

Explanation:

Trades of Category II FPIs who are corporate bodies, individuals, or family offices and domestic entities who may choose to settle trades through a Custodian shall be margined on an upfront basis as per the margining framework of non-institutional trades. Other

institutional trades are margined on T+1 day subsequent to confirmation.

### NEW QUESTION # 51

In the context of the Block Mechanism for sale transactions, which of the following statements accurately describes the permissible flow of securities for **matched orders** up to the pay-in day?

- A. Securities are transferred to a temporary 'Client Unpaid Securities Account' before being moved to the Clearing Member's pool account.
- B. Securities are transferred from the Client's account to the Trading Member's (TM) Pool account, and the TM can further transfer them to any other TM's pool account.
- C. Securities are debited from the Client's demat account and credited directly to the Clearing Corporation's settlement account, bypassing the Trading Member.
- D. Securities remain in the Client's demat account until the pay-out day, after which they are directly transferred to the buyer's account.
- **E. Securities are debited from the Client's demat account and credited to the linked TM Pool account; the TM shall further transfer such securities only to the CM Pool account.**

**Answer: E**

Explanation:

For matched orders, blocked securities are debited from the Client's demat account and credited to the linked TM Pool account up to the pay-in day. The TM shall further transfer such securities to the CM Pool account. Crucially, pool-to-pool transfers except from TM pool to CM pool are not permitted.

### NEW QUESTION # 52

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