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NISM-Series-VII Free



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NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q263-Q268):

NEW QUESTION # 263

Which of the following statements accurately describe the principles and methodology for Corporate Actions Adjustment in the Equity F&O segment? (Select all that apply)

- A. Adjustments may entail modifications to Strike Price, Position, and Market Lot I Multiplier.
- B. For Bonus issues, the new strike price is arrived at by multiplying the old strike price by the adjustment factor.
- C. Adjustments for corporate actions are carried out only on positions that are In-The-Money (ITM); OTM positions are left unadjusted.
- D. The adjustments for corporate actions would be carried out on all open positions.
- E. The basis for adjustment is that the value of the position on the cum-date and ex-date shall continue to remain the same as far as possible.

Answer: A,D,E

Explanation:

Statement A is correct regarding the basic premise of value continuity. Statement C is correct regarding the variables adjusted. Statement E is correct that it applies to open positions. Statement B is incorrect because adjustments apply to all positions, not just ITM. Statement D is incorrect because for Bonus issues, the new strike price is arrived at by *dividing* (not multiplying) the old strike price by the adjustment factor.

NEW QUESTION # 264

Under the regulatory framework defined in Section 24 of the Companies Act, 2013, the administration of specific provisions for listed companies (or those proposed to be listed) is delegated to the Securities and Exchange Board of India (SEBI). Which of the following matters is EXCLUSIVELY administered by SEBI under this delegation, while remaining otherwise under the Central Government's administration?

- A. Appointment of key managerial personnel
- B. Conduct of Annual General Meetings
- C. Non-payment of dividend
- D. Incorporation of the company
- E. Registration of the company's memorandum of association

Answer: C

Explanation:

Section 24 of the Companies Act, 2013, delegates the power to regulate the issue and transfer of securities and the non-payment of dividend by listed companies (or those intending to get listed) to SEBI. All other provisions of the Companies Act are administered by the Central Government (Ministry of Corporate Affairs).

NEW QUESTION # 265

Select the correct statements regarding the operational features and requirements of the **Block Mechanism** for Early Pay-in (EPI) transactions. (Select all that apply)

- A. Depositories provide transfer instruction details (UCC, TM ID, etc.) to CCs to enable clients to avail EPI benefits.
- B. Pool to Pool transfers of securities are permitted between any two Trading Members under this mechanism.
- C. In case of unmatched orders, the Clearing Corporation uploads the cancellation of Block instruction on T+1 day.
- D. The facility of block mechanism is mandatory for all Early Pay-In transactions.
- E. Securities can be blocked by the client using the depository's online system, eDIS mandate, or physical DIS.

Answer: A,D,E

Explanation:

Statement A is correct: The facility is mandatory for all EPI transactions. Statement D is correct: Depositories provide details to CCs for EPI. Statement E is correct: Blocking can be done via online system, eDIS, or physical DIS. Statement B is incorrect because for unmatched orders, CCs upload cancellation on day", not T+1. Statement C is incorrect because Pool to Pool transfers are **not permitted** except from TM pool to CM pool.

NEW QUESTION # 266

When the obligations arising out of the cash segment settlement and physical settlement of the F&O segment are settled on a net basis, how are the Securities Transaction Tax (STT) and Stamp Duty treated?

- A. They are calculated based on the notional value of the F&O contract only.
- B. They continue to be computed, levied, and reported on a segment-wise level, regardless of the netting for settlement.
- C. STT is levied on the gross position, while Stamp Duty is levied on the net obligation.
- D. They are computed and levied on the final netted delivery obligation after merging both segments.
- E. They are waived for the cash segment leg if the position is hedged in the F&O segment.

Answer: B

Explanation:

Under the Net Settlement mechanism, netting of delivery obligations shall be only for the purpose of settlement. Therefore, Securities Transaction Tax (STT) and Stamp Duty shall continue to be computed, levied, and reported on a segment-wise level.

NEW QUESTION # 267

According to the Securities Contracts (Regulation) Act, 1956 (SCRA), the definition of 'Securities' has been expanded to include various instruments. Which of the following specific instruments is explicitly included in this definition as per the Act?

- A. Real Estate Sale Deeds registered under the Registration Act
- B. Insurance Policies linked to Unit Linked Insurance Plans (ULIPs)
- C. Electronic Gold Receipts issued on the basis of deposit of underlying physical gold
- D. Fixed Deposit Receipts issued by Scheduled Commercial Banks
- E. Promissory Notes issued by private individuals for personal loans

Answer: C

Explanation:

As per the definition of 'Securities' in the Securities Contract Regulation Act (SCRA), 1956, the term includes 'Electronic Gold Receipt', which means an electronic receipt issued on the basis of deposit of underlying physical gold in accordance with regulations made by SEBI. It also includes Zero Coupon Zero Principal Instruments, among others like shares, bonds, and derivatives.

NEW QUESTION # 268

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