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## NISM Series VII - Securities Operations and Risk Management Certification Sample Questions (Q174-Q179):

#### NEW QUESTION # 174

Straight Through Processing (STP) is mandated for institutional trades. Which of the following best describes the operational benefit and definition of STP in the securities trade life cycle?

- A. It involves electronically capturing and processing transactions in one pass, from the point of first 'deal' to final settlement, avoiding manual re-entry.
- B. It is a mechanism for retail clients to directly settle trades with the Clearing Corporation.
- C. It is a risk management tool used exclusively by the Front Office to block erroneous orders before they reach the exchange.
- D. It refers to the process of auctioning securities in case of delivery shortages.
- E. It is a manual process of verifying contract notes against trade logs to ensure accuracy.

**Answer: A**

Explanation:

STP is defined as 'electronically capturing and processing transactions in one pass, from the point of first deal' to final settlement'. It involves the use of a single system to process elements of the workflow, streamlining trade execution and settlement and avoiding manual entry/re-entry.

#### NEW QUESTION # 175

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

**Answer: C,D,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 # 176

Regarding the settlement timelines for Mutual Fund transactions executed on the Stock Exchange platform, which of the following statements accurately describes the funds pay-in requirement for subscription and the funds pay-out timeline for redemption?

- A. Funds pay-in for subscription: T+1 ; Funds pay-out for redemption: T+2.
- B. Funds pay-in for subscription: T+0; Funds pay-out for redemption: T+0 for Liquid funds and T+2 for Equity funds.
- C. Funds pay-in for subscription: T+2; Funds pay-out for redemption: T+3.
- D. Funds pay-in for subscription: T+0; Funds pay-out for redemption: T+1 to T+7 depending on the scheme.
- E. Funds pay-in for subscription: T+1 ; Funds pay-out for redemption: T+1 for all schemes.

**Answer: D**

Explanation:

Funds pay-in for subscription are done on a T+0 day basis. The transfer of funds for redemption is carried out on a T+1 , T+2, T+3, T+4, T+5, T+6 and T+7 basis depending upon the category of scheme.

#### NEW QUESTION # 177

To increase efficiency and reduce the time duration from issue closure to listing, a new timeline was introduced for public issues opening on or after December 1, 2023. What is this mandated timeline for listing?

- A. T+6 days

- B. T+1 days
- C. T+2 days
- D. T+5 days
- E. T+3 days

**Answer: E**

Explanation:

The text states: 'The T+3 timeline for listing after the closure of public issue will be applicable for all public issues opening on or after December 1, 2023.'

#### **NEW QUESTION # 178**

Regarding the utilization of interest or income received out of investments made from the Investor Protection Fund (IPF), which of the following statements accurately reflects the regulatory mandate for ploughing back funds into the corpus?

- A. 100% of the interest or income received every year must be strictly used for settling claims and cannot be reinvested.
- B. The entire interest income must be transferred to the Investor Services Fund (ISF) annually.
- C. Only the interest earned on the security deposit of the issuer companies is ploughed back; other income is free for use.
- D. At least 50% of the interest or income must be ploughed back, while the remaining 50% can be used for administrative expenses.
- E. At least 70% of interest or income from IPF received every year shall be ploughed back to IPF.

**Answer: E**

Explanation:

The guidelines state: 'At least 70% of interest or income from IPF received every year shall be ploughed back to IPF; 25% can be utilised for promotion of investor education and investor awareness.'

#### **NEW QUESTION # 179**

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