

- Question No. 1

Which was the first country that framed legislation to curb insider trading in its security market?

Options :

1. UK
2. France
3. USA
4. Japan
5. British India

Answer : USA

- Question No. 2

As per SEBI norms, a company can submit Insider share trading plan. How many months before do these plans have to be publically disclosed before a trade can be done?

Options :

1. 6 Months
2. 12 Months
3. 18 Months
4. 24 Months
5. 8 Months

Answer : 6 Months

- Question No. 3

The high level committee to review the SEBI (Prohibition of Insider trading Regulations, 1992) was headed by whom

Options :

1. R Gandhi

2. Salil parekh
3. NK Sodhi
4. Kirti Somaiya
5. Mohandas Pai

Answer : NK Sodhi

• Question No. 4

KMP (Key Managerial Personnel) & Director of a company upon becoming a promoter must disclose their shareholding within how many days of such appointment?

Options :

1. 10
2. 7
3. 12
4. 15
5. 30

Answer : 7

• Question No. 5

The structure of SAT members shall be specified by which of the following?

Options :

1. SEBI
2. Stock Exchanges
3. Depositories
4. Central Government
5. Either A&D

Answer : Central Government

- Question No. 6

National Centre of financial education, a not-for-Profit Company is promoted by

Options :

1. SEBI
2. NSE
3. BSE
4. Central Government
5. None

Answer : SEBI

- Question No. 7

Funds and securities of foreign investors & large buyers are kept in the custody of

Options :

1. Trustees
2. RBI
3. Custodian
4. SEBI
5. Stock brokers

Answer : Custodian

- Question No. 8

Stock exchanges, depositories & Insurance companies can hold what percentage in a stock exchange?

Options :

1. 10%
2. 25%
3. 15%

4. 49%

5. 51%

Answer : 15%

- Question No. 9

Registration of foreign portfolio investor is given (on behalf of SEBI) with the help of which of the following entity?

Options :

1. DDP
2. RBI
3. Stock broker
4. Stock exchanges
5. M/o Finance

Answer : DDP

- Question No. 10

The chairmanship of stakeholder relationship committee of a listed entity is headed by?

Options :

1. Whole time director
2. Non-executive director
3. CFO
4. Director Finance
5. MD & CEO

Answer : Non-executive director

- Question No. 11

Who is the current chairman of SEBI?

Options :

1. G. Mahalingam
2. S. K. Mohanty
3. Urjit Patel
4. R.Gandhi
5. Ajay Tyagi

Answer : Ajay Tyagi

• Question No. 12

NSCCL is the clearing corporation for trade done on _____

Options :

1. BSE
2. NSE
3. MCDEX
4. India INX
5. Calcutta stock exchange

Answer : NSE

• Question No. 13

Which of the following is a depository registered with SEBI?

Options :

1. CDSL
2. BSE
3. NSE
4. NPCI
5. CCIL

Answer : CDSL

- Question No. 14

What percentage of shareholding in a stock exchange should be with public?

Options :

1. 15%
2. 21%
3. 49%
4. 51%
5. 10%

Answer : 51%

- Question No. 15

What should be the minimum issue price for a share of face value less than ₹ 10/share?

Options :

1. ₹ 10
2. ₹ 100
3. ₹ 500
4. ₹ 200
5. ₹ 1000

Answer : ₹ 500

- Question No. 16

What is the minimum allocation to a non- Institutional investors in book building method in a IPO?

Options :

1. 55
2. 35
3. 15

4. 25

5. 20

Answer : 15

- Question No. 17

A stock broker must be registered with which of the following?

Options :

1. Depository
2. Stock Exchange
3. SEBI
4. RBI
5. All of the above

Answer : SEBI

- Question No. 18

SCORES is a platform operated for investors' grievance by which entity?

Options :

1. NSE
2. BSE
3. RBI
4. SEBI
5. MEA

Answer : SEBI

- Question No. 19

What shall be the maximum limit of acquisition above which open offer is required?

Options :

1. 15%
2. 25%
3. 51%
4. 49%
5. 7%

Answer : 25%

• Question No. 20

Which of the following best describes a 3-in-1 account?

Options :

1. Saving, Trading, Demat account
2. Saving, Loan, Trading account
3. Saving, investment, Loan account
4. Bank, Gold and PPF account
5. Equity, Forex, Commodity account

Answer : Saving, Trading, Demat account

• Question No. 21

If listing of securities is refused, appeal shall be made to which of the following?

Options :

1. M/o Finance
2. Depositories
3. SEBI
4. SAT
5. Stock exchange

Answer : SAT

- Question No. 22

Shelf prospectus is valid for a period of _____

Options :

1. 3 Years
2. 1 Year
3. 5 Years
4. 15 Months
5. 3 Months

Answer : 1 Year

- Question No. 23

For how many minimum and maximum period is a Rights issue to remain open?

Options :

1. 15-30 days
2. 7-15 days
3. 10-15 days
4. 20-30 days
5. No specified period

Answer : 15-30 days

- Question No. 24

What is the penalty which SEBI can impose on violation of its norms, in case no specific penalty provision is defined as per the SEBI Act?

Options :

1. 1 lakh to 100 lakh
2. 5 lakh to 100 lakh

- 3. 1 lakh to 20 lakh
- 4. 2 lakh to 50 lakh
- 5. None

Answer : 1 lakh to 100 lakh

• Question No. 25

What is the full form of EPS?

Options :

- 1. Earnings per Share
- 2. Earnings per Stock
- 3. Equity per share
- 4. Equity per stock
- 5. None

Answer : Earnings per Share

• Question No. 26

An individual can be an independent director in how many companies?

Options :

- 1. 10
- 2. 7
- 3. 5
- 4. 2
- 5. 3

Answer : 7

• Question No. 27

SEBI LODR regulation 2015, came into effect from which of the following dates?

Options :

1. 1st December 2015
2. 10th November 2015
3. 9th November 2015
4. 2nd April 2015
5. 21 December 2015

Answer : 1st December 2015

• Question No. 28

What is the maximum acquisition from open market under buyback?

Options :

1. 10%
2. 7%
3. 15%
4. 25%
5. 12%

Answer : 15%

• Question No. 29

What is the maximum limit of any buyback by a company in a year?

Options :

1. 10%
2. 7%
3. 15%
4. 25%
5. 12%

Answer : 25%

- Question No. 30

What is the minimum obligation of subscription by a Category I Merchant Bank?

Options :

1. 5% or 25 lakh
2. 15% or 10 lakh
3. 7% or 25 lakh
4. 25% or 10 lakh
5. 10 % or 10 lakh

Answer : 5% or 25 lakh

- Question No. 31

What is the minimum net worth of category I lead merchant bank?

Options :

1. Rs.1 crore
2. Rs.2 crore
3. Rs.5 crore
4. Rs.10 crore
5. Rs.25 crore

Answer : Rs.5 crore

- Question No. 32

A standardized forward contract which can be bought and sold at a predetermined fixed price in future is known as

Options :

1. Options
2. Forward

3. Futures
4. Swaps
5. Bills of exchange

Answer : Futures

• Question No. 33

A private agreement between two parties where the buyer has the obligation to purchase an asset at future period is known as

Options :

1. Options
2. Forward
3. Futures
4. Swaps
5. Bills of exchange

Answer : Forward

• Question No. 34

NISM is promoted by which of the following organization?

Options :

1. RBI
2. SEBI
3. Central Government
4. BSE
5. NSE

Answer : SEBI

• Question No. 35

Which of the following is **not** a derivative contract?

Options :

1. Forward Contract
2. Future Contract
3. Options
4. Swaps
5. Credit Agreement

Answer : Credit Agreement

• Question No. 36

SEBI Act 1992 came into effect on which of the following date?

Options :

1. 30 January 1992
2. 1 April 1992
3. 31 March 1992
4. 31 December 1992
5. 19 November 1992

Answer : 30 January 1992

• Question No. 37

Private company can be started by a minimum ____ number of individuals.

Options :

1. 1
2. 2
3. 3
4. 4
5. 10

Answer : 2

- Question No. 38

Stock exchange's chairman can be elected/appointed/ nominated by

Options :

1. SEBI
2. Governing board of stock exchange
3. RBI
4. M/o Finance
5. M/o EA

Answer : SEBI

- Question No. 39

What is the minimum lock in period of Employee Stock Purchase Scheme (ESPS)?

Options :

1. 1 Year
2. 100 days
3. 3 years
4. 7 years
5. 250 days

Answer : 1 Year

- Question No. 40

An instrument issued at the end of day about all the securities traded is known as

Options :

1. Intimation note

2. Contract note
3. Power of attorney
4. Affidavit
5. ASBA

Answer : Contract note

• Question No. 41

What shall be the minimum net tangible assets for research analyst registered as an individual/Partnership?

Options :

1. 10 lakh
2. 10k
3. 1 lakh
4. 100 lakh
5. 50 lakh

Answer : 1 lakh

• Question No. 42

Interest warrant above what amount is payable by speed post?

Options :

1. ₹ 1000
2. ₹ 100
3. ₹ 1500
4. ₹ 2000
5. ₹ 10

Answer : ₹ 1500

• Question No. 43

What is a safety net arrangement in IPOs?

Options :

1. Buyback of shares if market price becomes less than issue price
2. Buyback of shares if market price becomes more than issue price
3. Buyback of securities if market price becomes too volatile over the next 30 days
4. Issue new shares if market prices become more than issue price
5. Issue new shares to control volatility over the next 30 days

Answer : Buyback of shares if market price becomes less than issue price

- Question No. 44

The rights issue is dealt in which chapter of the ICDR Regulations?

Options :

1. Chapter II
2. Chapter III
3. Chapter IV
4. Chapter V
5. Chapter VI

Answer : Chapter IV

- Question No. 45

Which of the following is not true about FCCB?

Options :

1. It is not a form of equity
2. It is repayable in foreign currency
3. it may or may not be converted into equity
4. FCCB do not fall under ECB guidelines
5. None of the above

Answer : FCCB do not fall under ECB guidelines

- Question No. 46

Which of the following derivatives is usually of two types - currency and interest rate derivative?

Options :

1. Options
2. Futures
3. Swaps
4. CDS
5. Complex options

Answer : Swaps

- Question No. 47

Authority given by a client to his/her broker to transact in securities is known as

Options :

1. Intimation note
2. Right to Transaction
3. Power of Attorney
4. Affidavit
5. Trust deed

Answer : Power of Attorney

- Question No. 48

The activities of the bank covering issue and underwriting of shares and debentures for its clients are known as:

Options :

1. Treasury banking

2. Exchange banking
3. Industrial banking
4. Developmental banking
5. Merchant banking

Answer : Merchant banking

• Question No. 49

The dividend to be paid by a company is determined by:

Options :

1. Company Law
2. SEBI
3. Board of Directors
4. Shareholders
5. Banks from whom the company has borrowed

Answer : Board of Directors

• Question No. 50

Which of the following statements is false?

Options :

1. The shares of a public limited company are freely transferable
2. The public company and public sector company is interchangeable term
3. A public limited company can have unlimited number of members
4. A public company uses the word "limited" as the last word in its name
5. All are true

Answer : The public company and public sector company is interchangeable term

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