

| Question | Answer1 | Answer2 | Answer3 | Answer4 |
|---|---|--|---|---|
| The _____ and the DP are registered with SEBI which regulates their functioning | post office | LIC | Bank | Depository |
| The beneficial owner is the _____ | real owner of the securities | owner of the company | owner of product | owner of goods |
| The real owner lodges his securities with the Depository in the form of | register book | book entries | unregister entries | management entries |
| Depository enable the investors to _____ | depository system | price of the product | deliver shares | cost of shares |
| The _____ enables the company management to maintain and update information | share prices | post office | bank system | Depository system |
| The operations of private mutual funds are regulated by _____ | The approval of both, the board of directors of NSDL and that of SEBI | Securities Act | depositories act | industrial act |
| Fungible means as shares would not have distinguishing features such as distinctive nos certificate nos etc and _____ | Investment companies | same securities of a company are interchangeable | government policy | district policy |
| The Delivery Instructions slip is to be submitted by the investors to his DP in _____ | costly project | companies project | duplicate one extra for acknowledgement | selling acknowledgement |
| For a company accessing the capital market for the first time _____ | government rule | economic policy | rules of government | There are eligibility requirements prescribed by SEBI |
| The custody fee is payable by Issuer to NSDL on a _____ basis | Yearly (Financial year) | Weekley | Daily | Always |
| ----- is a market where unlisted securities are dealing | Kerb market | Capital markets | Grey market | Money market |
| _____ kind of account is needed by nominee to give effects to the transmission of shares | Saving account | Demat account | Salary account | Current account |
| Permanent removal of securities of a company from the stock exchange. | De-listing | listing | Re-listing | V-listing |
| Securities of ----- companies are traded in secondary marke | Listed | Relisted | Unlisted | V-listing |
| Any recognised stock exchange may subject to the previous approval of the securities and exchange boards of India, makes bye-laws for the _____ of contract | Regulation and control | rules and laws | law and order | maintences |
| The opening and closing of market and the regulation of the _____ . | Hours and trade | work | time pass | payment |
| Who is eligible to open Demat account | Indian Citizen | US Citizen | UK Citizen | Nepal Citizen |
| The maintenance of accounts of members and their audit by chartered accounts whenever such audit is required by the _____. | Central Government | State Government | City Government | District Government |
| Non-compliances with the listing Agreement. For a minimum period of _____ months | 6 | 4 | 10 | 5 |
| Power to issue direction_____ | Section 12A | Section 12B | Section 12C | Section 12D |

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|---|----------------------------|----------------------------|-------------------------------|----------------------------|
| A broker must be a _____ of a registered stock exchange | member | Trading house | agent | customer |
| _____ is one of the laws that control the securities markets | IPC | CRPC | Companies Act | Information technology act |
| _____ is a person who agrees to subscribe the shares if not fully subscribed | guarantor | underwriter | broker | custodian |
| The object of SEBI is to ensure _____ shares and securities markets | fairly | prohibition of | regulate | category |
| Government securities are _____ coupons issued by RBI | sovereign | independent | legal | diplomatic |
| _____ are tradable in the market and have a market value | loans | deposits | post certificate | bonds |
| Portfolio means _____ of securities belongings of a person | select securities | admin securities | total holding | portal transfer |
| The object of SEBI is to ensure _____ code of conduct for shares markets | fairly | prohibition of | develop | category |
| _____ shall register themselves with the RBI | director | share holder | key manager | portfolio manager |
| _____ are tradable in the market and have a market value | loans | deposits | post certificate | unit of mutual funds |
| Powers of _____ court is exercisable by SEBI | securities act | consumer Tribunal | Securities Appellate Tribunal | National Tribunal |
| The total strength of the management of the Board of SEBI are _____ | 6 members | 7 members | 8 members | 1 member |
| The Guidelines to Disclosure and investor Protection are applicable to right issues and also where aggregate value of the security offer exceeded _____ | 50 Lakh | 10 lakh | 30 lakh | 35 lakh |
| Promoters contribution in case of a public issue by a listed company has to be the extent of _____ | 20 % Of the proposed issue | 21 % Of the proposed issue | 22 % Of the proposed issue | 23% Of the proposed issue |
| The draft offer document filed with the SEBI be made public from the date of filing for a period of _____. | 21 days | 22 days | 24 days | 15 days |
| The minimum application value shall be within the range of _____ | 10000 to 15000 | 23000 to 24000 | 45000 to 50000 | 51000 to 53000 |
| The Guidelines of DIP are applicable to all public issue made by listed as well _____ | listed company | unlisted companies | investment company | subsidiary company |
| A _____ may freely price it's shares offered through a public or rights issue | post office | LIC | Listed Company | unlisted company |
| The _____ list for a public issue is to kept open for at least three working days | government rule | unsubscription | unwilling prices | Subscription |
| The creation of a Debenture redemption reserves DRR is necessary for a company offering debenture for subscription to the _____ | Public | private | National Tribunal | International Court |

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|--|----------------------------|---------------------------|---|--|
| 'Shelf prospectus' means a prospectus issued by. | Any trading company. | Any industrial company. | Any financial institution or banks. | Any existing company whose shares are listed on a recognized stock exchange. |
| The document which invites the public for subscribing capital in the form of shares and debenture is called. | Memorandum of Association. | Article of Association. | Prospectus. | Legal Announcement. |
| Which of the documents is not filed to the registrar at the time of incorporation? | Memorandum. | Article of Association. | Consent of the director. | Prospectus. |
| A prospectus may contain a statement purporting to be made by an expert. The term "expert" includes. | An Engineer. | A Valuer. | An accountant and any other person whose profession gives authority to a statement made by him. | Engineer, valuer, accountant |
| The most important clause in the Memorandum of Association of a company is. | Name clause. | Registered office clause. | Objects clause. | Liability clause. |
| Special audit is conducted at the order of the central government. Which section gives such powers? | Section 233(A) | section 242(A) | section 242(A) | Section 242(B). |
| Can locked in securities be dematerialized | No | Never | Yes always irrespective of lock in reason | Promoters quota |
| No Annual Maintenance charge , if the value of holding is upto | 20,000 | 10,000 | 40,000 | 50,000 |
| To dematerialize government securities, NSDL has to take prior approval of _____. | RBI | SEBI | NSDL | CDSL |
| At least _____ Delivery Instruction slips shall be issued at the time account opening. | One | Two | Three | Four |