

SEBI Grade A 2018 Phase 2 – Securities Market



1. Who is the Chairman of SEBI?
2. When can one start trading after submission of trading plan?
3. What is the limit of acquisition above which, open offer is required?
4. How many members are there in the SAT?
5. Who promotes the centre for financial education?
6. Funds and securities of foreign investors are kept in custody of ___?
7. Within how many days of appointment are the Director and KMP required to disclose their shareholding?
8. How much percentage of shares can stock exchange SE/Depository/insurance company hold in a stock exchange?
9. What percentage of shareholding in an SE should be with public?
10. Chairman of stakeholder relationship committee must be a ___?
11. When did SEBI Act come into effect?
12. Rights issue is open for a minimum and maximum period of ___?
13. Which of the following is a depository?
14. Registration of FPI is given by whom on behalf of SEBI?
15. Chairman of SE/Depository should be ___ and elected from ___?
16. What should be the penalty in case when the penalty is not defined?
17. What is safety net arrangement?
18. What shall be the minimum issue price for a share that is having a face value less than Rs 10?
19. What is the minimum allocation to non-institutional investors in book building method in an IPO?
20. Stockbrokers are registered with?
21. Which organization operates SCORES platform?
22. Definition of contract notes?
23. What is the full form of EPS?
24. For how much period shelf prospectus is valid?
25. A person can be an independent director in how many companies?
26. What is 3-in-1 savings account?
27. A company can use ___ percent of its reserves and capital to buy back shares?
28. A company can buy a maximum of ___ percent shares from open market? – 15%
29. Category 1 Merchant bank underwriting commitment?
30. What is the minimum net worth of category 1 RTA?
31. Which of the following is the standardized forward contract to buy and sell at a predetermined rate in future?

32. Private agreement between two parties given the buyer has the obligation to purchase an asset at future period?
33. Which of the following is not a derivative contract?
34. Which organization promotes NSIM?
35. In which chapter of ICDR regulations is the rights issues mentioned?
36. What is the minimum lock period of ESPS?
37. Above what amount is an interest warrant payable by speed post?
38. Which is the first country to ban insider trading?
39. What is the minimum net tangible assets for research analyst registered as individual/partnership?
40. How many people can start a private company?
41. When was LODR implemented?
42. Which of the following is not true about FCCB?