

## PRACTICE QUESTIONS

### INFORMATION SECURITY AUDITORS MODULE – PART I

- 1) SEBI is \_\_\_\_\_.
  - a. the Securities and Exchange Broadcast of India
  - b. the Security Emergency Board of India
  - c. the Standards and E-commerce Board of India
  - d. the Securities and Exchange Board of India
  
- 2) \_\_\_\_\_ maintains records of securities dematerialised and rematerialised?
  - a. The stock exchange.
  - b. The SEBI.
  - c. The Depository
  - d. The RBI.
  
- 3) A Depository means a company formed and registered under the \_\_\_\_\_ ?
  - a. SC(R)A, 1956.
  - b. Companies Act, 1956
  - c. SC(R)R,1957
  - d. Depositories Act, 1996.
  
- 4) What does SEBI aim to provide?
  - a. Investor protection
  - b. Legal information
  - c. Large volumes on the stock market
  - d. Market the securities business in India
  
- 5) The difference between primary markets and secondary markets is \_\_\_\_\_.
  - a. Corporates raise resources directly from the investors through the primary market, whereas in the secondary markets, investors buy and sell securities to / from one another.
  - b. Primary markets deal in shares whereas the secondary markets deal in debentures.
  - c. Primary markets are legal whereas secondary markets are not.
  - d. The initial public issues are made in primary market whereas all subsequent issues are made in the secondary markets.
  
- 6) Which of the following is not the main objective of SEBI?
  - a. Promoting the development of securities market
  - b. Promoting and developing Forex Market in India.
  - c. Regulating the securities market
  - d. Protecting the interest of investors in securities market

- 7) The authority regulating the issue of shares by companies in the primary markets is the \_\_\_\_\_.
- National Stock Exchange.
  - Reserve Bank of India.
  - Securities and Exchange Board of India.
  - Controller of Capital Issues.
- 8) Which of the following is TRUE about primary markets?
- Primary markets are places where only short term instruments are traded.
  - Primary markets are markets where commodities are sold.
  - Primary markets are places where members of the public can buy and sell securities with one another.
  - Primary markets refer to the direct solicitation of funds from the public by companies.
- 9) Which of the following needs to be considered by an investor, while investing?
- Assess risk-return profile of the investment.
  - Assess return profile of the investment.
  - Obtain written documents explaining the investment.
  - All of the above
- 10) The power to withdraw recognition to a Stock Exchange vests in \_\_\_\_\_.
- Securities and Exchange Board of India
  - Reserve Bank of India
  - IDBI
  - Department of Company Affairs.
- 11) What is Business Continuity planning?
- The ability of a business to continue operations in the face of a disaster
  - The ability of a business to continue operations in the face of a transfer
  - The ability of a business to continue operations in the face of a recovery
  - The ability of a business to continue operations in the face of a upgradation
- 12) A business with a viable business continuity plan \_\_\_\_\_.
- Will be better able to continue doing what it did before a relocation
  - Will be better able to continue doing what it did before a disaster
  - Will be better able to continue doing what it did before a transfer
  - Will be better able to continue doing what it did before a expansion
- 13) Business Continuity means \_\_\_\_\_.
- Identifying critical business functions
  - Identifying risks to critical functions
  - Identifying ways to avoid or mitigate the risks
  - All of the above

- 14) Name the step(s) carried in Business Continuity planning?
- a. Having a plan to quickly restore operations to “business as usual”
  - b. Identifying critical business functions
  - c. Identifying ways to avoid or mitigate the risks
  - d. All of the above
- 15) What is an integral part of business continuity?
- a. Contingency planning
  - b. Business mission
  - c. Disaster recovery
  - d. BIA
- 16) Business continuity does not replace?
- a. Insurance
  - b. Facilities
  - c. Product
  - d. Interruption
- 17) The goal of business continuity and disaster recovery is to \_\_\_\_.
- a. Mitigate business impact
  - b. Mitigate operational impact
  - c. Mitigate financial impact
  - d. All of the above
- 18) Business continuity and disaster recovery ensures \_\_\_\_\_ for any business?
- a. Availability
  - b. Survivability
  - c. Interoperability
  - d. Profitability
- 19) BCP is a collection of?
- a. Procedures and information
  - b. Standards
  - c. Policies
  - d. Guidelines
- 20) Which can you relate to a disaster?
- a. Event that results in death
  - b. Event that results serious injury
  - c. Event that results a business going out of business
  - d. None of the above

- 21) What is identification?
- a. The act of a user professing an identity to a system usually in the form of a logon.
  - b. A user in a process of identifying his identity in a system.
  - c. A user trying to intrude into a system with malicious information.
  - d. The act of a user professing to verify into a system usually in the form of a logon.
- 22) The process to ensure that users can change data only in controlled ways that maintain the integrity of data is \_\_\_\_\_.
- a. Well-formed transformation
  - b. Well-formed transaction
  - c. Well-formed integration
  - d. Well-formed production
- 23) The use of locks, security guards, badges, alarms to control access to computers falls under which controls?
- a. Logical controls
  - b. Administrative controls
  - c. Physical controls
  - d. Deterrent Controls
- 24) Which controls are said to discourage users from intentionally violating information security?
- a. Recovery
  - b. Corrective
  - c. Administrative
  - d. Deterrent
- 25) Which controls are said to remedy the circumstances that allow unauthorized activity or return conditions to what they were before the violation?
- a. Corrective
  - b. Deterrent
  - c. Recovery
  - d. Administrative
- 26) Recovery controls are intended to?
- a. Discourage individuals from intentionally violating information security policies or procedures.
  - b. Avoid the occurrence of unwanted events.

- c. Restore lost computing resources or capabilities and help recover monetary losses caused by a security violation.
  - d. Identify unwanted events after they have occurred.
- 27) Which controls are employed to prevent unauthorized personnel from entering computing facilities?
- a. Detective physical control
  - b. Corrective physical control
  - c. Restrictive physical control
  - d. Preventive physical control
- 28) Logical controls are also known as \_\_\_\_\_.
- a. Technical controls
  - b. Detective controls
  - c. Corrective controls
  - d. Physical controls
- 29) Which one among these is not a goal in security?
- a. Availability
  - b. Atomicity
  - c. Integrity
  - d. Confidentiality
- 30) Which one among these is an access control device?
- a. Mouse
  - b. NIC
  - c. Scanner
  - d. Smart card

NOTE : THIS IS A SAMPLE TEST. THE ACTUAL TEST WILL CONTAIN 90 QUESTIONS.

**Answers :**

1	(d)	16	(a)
2	(c)	17	(d)
3	(b)	18	(b)
4	(a)	19	(a)
5	(a)	20	(c)
6	(b)	21	(a)
7	(c)	22	(b)
8	(d)	23	(c)
9	(a)	24	(d)
10	(a)	25	(a)
11	(a)	26	(c)
12	(b)	27	(d)
13	(b)	28	(a)
14	(d)	29	(b)
15	(c)	30	(d)