

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?
- Having a plan to quickly restore operations to "business as usual"
 - Identifying critical business functions
 - Identifying ways to avoid or mitigate the risks
 - All of the above
- 15) What is an integral part of business continuity?
- Contingency planning
 - Business mission
 - Disaster recovery
 - BIA
- 16) Business continuity does not replace?
- Insurance
 - Facilities
 - Product
 - Interruption
- 17) The goal of business continuity and disaster recovery is to _____.
- Mitigate business impact
 - Mitigate operational impact
 - Mitigate financial impact
 - All of the above
- 18) Business continuity and disaster recovery ensures _____ for any business?
- Availability
 - Survivability
 - Interoperability
 - Profitability
- 19) BCP is a collection of?
- Procedures and information
 - Standards
 - Policies
 - Guidelines
- 20) Which can you relate to a disaster?
- Event that results in death
 - Event that results serious injury
 - Event that results a business going out of business
 - 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)