

2018
Edition

FINANCIAL STREET

[5 Years of Trust]



NISM-Series-VI: Depository Operations
Certification Examination Mock Test

2018 Edition



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Financial Street is a well-recognized name in the financial market education. We are specializes in training investors and providing high quality training to investors and traders across the country. Our vision is to be the most sought after learning provider in the areas of finance and leadership learning.

Financial Street is a group of professionals; our educational program is anchored around that philosophy. Our program is guided by our vision and mission.

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“Success is the result of perfection, hard work, learning from failure, loyalty, and persistence.”

NISM-Series-VI: Depository Operations Certification Examination Mock Test



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NISM-Series-VI: Depository Operations Certification Examination Mock Test Details

The examination seeks to create a common minimum knowledge benchmark for associated persons engaged or employed by a registered depository participant in (a) dealing or interacting with clients, (b) dealing with securities of clients, (c) handling redressal of investor grievances, (d) internal control or risk management, (e) activities having a bearing on operational risk, or (f) maintenance of books and records pertaining to the above activities.

“NISM-Series-VI: Depository Operations Certification Examination Mock Test”

Ques01:- Which of the following is not a part of the primary market?

- a) Merchant Bankers
- b) Mutual funds
- c) Exchanges
- d) Registrar and transfer agent

Ans: - C

Ques02:- An Active promotes the growth of the primary market and the capital formation.

- a) Secondary market
- b) Bullion market
- c) Money market
- d) Forex market

Ans: - A

Ques03:- SEBI has the powers to register and regulate all market intermediaries in the securities market and also to penalize them.

- a) True
- b) False

Ans: - A

Ques04:- DP has to be Register with.....

- a) Depository
- b) Exchanges
- c) SEBI
- d) None of the above

Ans: - C

Ques05:- As per PMLA, records of services need to be preserved for years.

- a) 1
- b) 5
- c) 7
- d) 10

Ans: - D

Ques06:- Client participant agreement is a standard agreement approved by.....

- a) SEBI
- b) RBI
- c) DCA
- d) Depositories.

Ans: - A

Ques07:- Only a guardian can open a depository account for a minor.

- a) True
- b) False

Ans: - A

Ques08:- Who can make a request for Demat of the equity?

- a) Company
- b) Registered holder of the security
- c) Depository
- d) Depository participant

Ans: - B

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Our mission is to promote an open learning environment that brings together people, cultures and ideas from around the world, changing lives and helping transform organizations through innovative learning programs. Our mission is to transform our passionate students into dynamic stock market professionals who are knowledgeable, trained and committed to the profession.

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About the Author

This Mock Test is developed by Mr. Vikas Sharma (Technical Analyst & Having more than 10 years' Experience in Money Market) in coordination with the Team of Financial Street. Mock Test is reviewed by Dr. Uma (Professor & PHD in Economics).

“THANK YOU”
