

POST GRADUATE DIPLOMA IN CORPORATE
GOVERNANCE

Term-End Examination

December, 2012

MCT-003 : COMPLIANCE AND RISK
MANAGEMENT

Time : 3 hours

Maximum Marks : 100

Note : Attempt any five questions.

All questions carry equal marks.

1. Prepare a check list of compliances relating to :
 - (a) Shares and
 - (b) Debentures

2. "Board of Directors need to be sensitised about the subject of risk management"- critically examine this statement.

3. Explain the relevance and significance of internal control system in managing risks.

4. Explain in brief Companies (compliances) Certificate Rules, 2001.

5. Write short notes on **any two** of the following :
- (a) Types of risk management
 - (b) Tools of managing financial risk
 - (c) Compliance Management.
6. Explain mandatory requirements of disclosures under clause 49 of the listing agreement.
7. “Non-compliances of various provisions of Companies Act, results into mis-governance”. Elucidate with the help of any case-study you have come-across.
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