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**POST GRADUATE DIPLOMA IN CORPORATE
GOVERNANCE**

Term-End Examination

June, 2010

**MCT-003 : COMPLIANCE AND RISK
MANAGEMENT**

Time : 3 hours

Maximum Marks : 100

Note : Attempt any five questions. All questions carry equal marks.

1. In the context of companies (Compliance Certificate) Rules 2001, discuss the contents of a Compliance Certificate.
2. Explain the main provisions related to Board Meetings and discuss the duties of the Secretary with regard to Board Meetings.
3. List the mandatory statutory registers and records that are to be maintained by any listed company. Explain the contents of Register of Investments not held in companies name and Register of Fixed Deposits.

4. Discuss the compliances needed under companies Act, 1956 to convene, constitute and conduct a General Meeting.
 5. Describe the requirements about Composition of Board of Directors and explain who can't be an Independent Director in a listed company.
 6. What is an Audit Committee ? Discuss the roles and powers of the Audit Committee.
 7. What is Risk ? Explain the risk management process.
 8. Explain the various types of financial risks that a firm may face. How can such a risk be hedged ?
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