

00358 POST GRADUATE DIPLOMA IN CORPORATE  
GOVERNANCE

Term-End Examination

June, 2011

MCT-003 : COMPLIANCE AND RISK  
MANAGEMENT

Time : 3 hours

Maximum Marks : 100

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

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1. Define a compliance certificate. What are its contents ? 5+15
  
2. Describe the various provisions of Companies Act, 1956 relating to appointment of a company secretary. Also state three broad duties with regard to compliance certificate. 14+6
  
3. Who should sign the declaration of compliance certificate under : 5+5+10
  - (a) Companies Act, 1956
  - (b) SEBI RULES

Also give specimens under both.

4. State check points to be kept in view while convening board meetings ? Also state the duties of the secretary. 5+15
- (a) before the meeting,
  - (b) during the meeting and
  - (c) after the meeting.
5. Explain compliances related to Annual General Meeting under the companies Act, 1956. 20
6. Name any five mandatory registers and records maintained by a company. Discuss their contents. 5+15
7. What are the matters that an audit committee should review ? Also state its powers. 12+8
8. Explain the concept of risk management. What are various processes involved in managing risk ? 10+10
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