

Topic: Test-1 Chp – 01 to 07

Total Marks - 60

Time allowed – 1.5 hours

Q1.A. MCA-21 offers the facility to view documents and also search and other facilities of public documents online.

(a) Explain the procedure for viewing such documents filed by the company with Registrar of Companies.

(b) Can we view documents relating to charges on MCA website ?

Q1.B Explain the Significance of Corporate Compliance Management.

Q1.C. . Illustrate the compliance requirement relating to-

–financial statement of the private company

–board report

Q1.D. Before drafting any document, it is the most essential to familiar with the purpose of document. Comment?.

(5 marks each x 4 = 20 marks)

Q2.A Discuss the Key documents to be analysed while preparing the Stock Exchange search and status report.

Q2.B. (i) Mehra is appointed as the compliance officer of the company. He found box ticking practices are adapted by the organisation. Under which category will this practice fall ?

(ii) Write other two categories of compliance in this regard ?

Q2.C. Brief about the regulatory framework of the KYC of the directors by MCA.

Q2.D. How the scrutiny of the annual return take place and what are the guiding principles for scrutiny of annual return?

(5 marks each x 4 = 20 marks)

Q3.A. Explain the duties and functions of the company secretaries as provided under the Companies Act, 2013.

Q3.B. Describe the points covered in the from MGT- 8 which are need to be certified.

Q3.C. Explain online fraud through incomplete KYC.

Q3.D . “A strong compliance training and education program reinforces company compliance culture” Comment.

(5 marks each x 4 = 20 marks)