

Contents to Scanner
Paper - 4 **Secretarial Audit,**
Compliance Management & Due Diligence

⇒	Study Material Based Contents	4.1
⇒	Syllabus	4.3
⇒	Examination Trend Analysis	4.7
⇒	Line Chart Showing Relative Importance of Chapters	4.12
⇒	Frequency Table Showing Distribution of Marks	4.13
⇒	Legends for the Graphs	4.14
1.	Compliance Framework	4.15
2.	Compliances	4.35
3.	Documentation and Maintenance of Records	4.65
4.	Search and Status Report	4.81
5.	Know Your Customer (KYC)	4.110
6.	Signing and Certification	4.127
7.	Segment-wise Role of Company Secretaries	4.152
8.	Audits	4.175
9.	Secretarial Audit	4.186
10.	Internal Audit and Performance Audit	4.216
11.	Concepts and Principles of Other Audits	4.241
12.	Audit Engagement	4.264

13.	Audit Principles and Techniques	4.280
14.	Audit Process and Documentation	4.302
15.	Forming an Opinion and Reporting	4.319
16.	Secretarial Audit : Fraud Detection and Reporting	4.329
17.	Quality Review	4.343
18.	Values Ethics and Professional Conduct	4.362
19.	Due Diligence- I	4.376
20.	Due Diligence- II: Impact Assessment of Non Compliances	4.434
☞	New Regulation FEMA (Transfer or Issue of Security by a Person Resident Outside India) Regulations, 2017	4.446
☞	Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) (Amendment) Regulations, 2018	4.455
⇒	Question Paper of December, 2021	4.492
⇒	Question Paper of June, 2022	4.495
⇒	Test Series	4.499