

Program on Compliance for Officers of Banks, Financial Institutions & NBFCs



Background:

Compliance functions are a key component of banks' second line of defense for managing risks. Financial intermediaries need to ensure compliance to all applicable statutory provisions, rules and regulations, various codes of conducts (including the voluntary ones) and their own internal rules, policies and procedures. It is desirable for any financial institution to ensure that its compliance function is ahead of the curve by implementing appropriate changes to its operating model/s and processes, enhancing efficiency and without compromising on the quality of oversight. With the banking sector becoming tech-intensive, concerns pertaining to cyber risks, data privacy, data protection and outsourcing due to the general increase in the complexities in operations, compliance risk management has gained importance. Therefore, it is mandatory for the regulated entities to put in place a robust compliance framework to avoid regulatory strictures against them and save themselves from any reputational loss.

Objective:

This two-day program would provide an opportunity to the participants to understand the regulatory perspective, expectations and concerns. The participants will be apprised of the emerging compliance landscape and challenges including increasing complexities in operations of financial institutions and in adoption of technology.

Conference Highlights:

The program will deal with the following topics:

- Compliance in Banks and Regulatory Expectations
- Compliance Risk Assessment under Risk Based Supervision
- Governance, Risk & Compliance Framework-Emerging Trends
- Cyber Security and Compliance Issues
- Compliance Issues in Consumer Protection & Customer Grievances
- Compliance, Accountability & Enforcement
- Internal Audit in Compliance Functions
- Compliance with FEMA & RBI Regulations
- Use of Technology in Compliance Functions
- Compliance against Financial Crime
- Resilient Transaction Monitoring

Program Conditions

- ◆ Program fees to be paid before the program
- ◆ Nominations may be cancelled up to 5 days before the Program
- ◆ Banks may depute another senior officer if the nominated officer cannot attend

Date: September 24 - 25, 2024
Time: 09:45 AM to 05:45 PM
Venue: Forum & Capitol, Hotel Taj
President, Cuffe Parade,
Mumbai
Type: Non-Residential
Fees: Rs. 50,000/- + 18% GST

For Nomination Form please visit our
site www.cafral.org.in

**Last date for filing nomination
September 19, 2024**

For more program details, contact:

C. Sankaranarayanan
Senior Program Director

Mob: +91 89399 00235

Email:

sankara.narayanan@cafral.org.in

Charulatha Ramesha
Program and Relationship Officer

Mob: +91 91360 65827

Email:

charulatha.ramesha@cafral.org.in

Participant Profile

- CCOs, Heads of Compliance and their senior team members from Banks, FIs, NBFCs and Urban Cooperative Banks
- Other C-suite officers and Board Members

**Centre for Advanced Financial
Research and Learning (CAFRAL)**

C-8 / 8th Floor, RBI Building,
BKC, Bandra (E),
Mumbai – 400 051