

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



Background:

Compliance functions in financial intermediaries, need to transform from functions focused on conservatism, preservation and remediation to ones, that in addition to maintaining regulatory compliance, operate in a more strategic and predictive capacity. Compliance will be most effective in a corporate culture that emphasizes standards of honesty and integrity. and which flows from the top, from the board of directors and senior management. The increasing complexities in operations, use of new age banking tools, collaboration with FinTech's and many activities being outsourced, compliance risk management has emerged as a distinct risk management discipline. Any non-compliance to the legal, regulatory or applicable laws may result in regulatory interventions and adversely impact the regulated entities. Therefore, it is imperative, for all the regulated entities to put in place a robust compliance framework aligned with the extant regulations and develop a culture of compliance in their organizations.

Objectives:

This two-day program would provide an opportunity to the participants for an enhanced understanding of the emerging compliance landscape and challenges. It will also help them to understand the regulatory perspective, expectations and concerns.

Program Highlights:

- Compliance Eco-system from the Regulatory Lens
- GRC Assessment Framework: Emerging Challenges
- Risk Based Supervision: Compliance Assessment
- Cyber Incident Reporting & Crime Prevention from perspective of Cert-in
- Cyber Security: Governance, Risk & Compliance
- Compliance, Accountability and Enforcement
- KYC-AML Compliance
- Data Localisation, Protection & Data Privacy
- Third Part Risk Management & Compliance Issues
- Internal Audit: Significance in Compliance function
- Consumer Protection, Handling Customer Complaints & Grievances

Date: November 10-11, 2025

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
November 05, 2025

For more conference details, contact:

C. Sankaranarayanan
Senior Program Director

Mob: +91 89399 00235

Email:

sankara.narayanan@cafral.org.in

Charulatha Ramesha
Program and Relationship Manager

Mob: +91 91360 65827

Email:

charulatha.ramesha@cafral.org.in

Participant Profile

Top and Senior Officials dealing with Risk and Compliance, C-Suite officers from Banks, Financial Institutions and NBFCs

Program Conditions

- Program fees must be paid before the program.
- Banks may depute another officer if the nominated officer is unable to attend.
- Nomination may be cancelled up to **five days** prior to the program.

Centre for Advanced Financial Research and Learning (CAFRAL)

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