

Conference of Chief Compliance Officers – Expectations in the emerging compliance landscape



Background:

The compliance function of a financial institution assists in mitigating the risk of legal or regulatory sanctions, financial loss, or loss to reputation it may suffer as a result of non-compliance with applicable laws, regulations, codes of conduct and standards of good practice. Compliance functions are thus key components of a financial institution's risk management systems that ensures its continuity and successful business of financial intermediation. Needless to say, compliant regulated entities (REs) not only enjoy competitive advantage in the financial system but also demonstrate higher ethical standards and integrity. With the use of new age banking tools for operations and compliance functions, increasing complexities in operations, collaboration with fintechs and other multiple outsourced entities, compliance risk management has emerged as a distinct risk management discipline. Non-compliance can also result in regulatory interventions, adversely impacting regulated entities. It thus requires REs to have in place an efficient compliance function independent from the business activities, to ensure a healthy compliance culture and a robust compliance management framework, aligned with the extant regulations.

Objective:

This two-day conference 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 Conference will deal with the following:

- Compliance in Banks and Regulatory Expectations
- Risk Assessment under Risk Based Supervision
- Robust Governance, Risk & Compliance Framework-Emerging Trends
- Cyber Security and Compliance Issues
- Issues in Consumer Protection - managing customer complaints
- Enforcement Action by RBI for Non-Compliance – An Overview
- Breaches in Compliance and Enforcement actions

Date: May 15 – 16, 2024

Time: 09:45 AM to 05:45 PM

Venue: Forum & Capitol, 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
May 8, 2024

For more conference details, contact:

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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

Conference Conditions

- ◆ Conference fees to be paid before the program
- ◆ Nominations may be cancelled up to 7 days before the Conference
- ◆ Banks may depute another senior officer if the nominated officer cannot attend

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