

# CAFRAL Conference of Heads of Compliance and CCOs



## Background:

The smooth continuity of any financial intermediation business is dependent upon a healthy bottom-line and sound compliance risk management. In fact, in large measure, compliance failures and consequent regulatory penalties which have significantly been rising in recent times, have materially impacted the bottom lines of many regulated entities. Significant compliance risks when they materialise, could entail potential opportunity loss caused by reputational fallouts and regulatory restrictions on new businesses or new products, especially when compliance failures are extremely serious. Today, compliant regulated entities enjoy several competitive advantages in the financial system. Such entities maintain high standards of ethics and integrity across the organisation. Ongoing compliance with those standards and principles forge sound compliance culture which, among others, prompts ownership of compliance functions across all lines of activities horizontally, and all levels in the hierarchy vertically up to the Board level. Therefore, building a strong and effective compliance culture and function should be an integral part of the business strategy of any regulated entity. A dynamic compliance function works efficiently if structured well, if it has good human resources capacity, successfully promotes a healthy compliance culture, has a robust compliance management framework and, above all, if it quickly and effectively aligns itself with regulatory changes.

**Objective:** This one-day Conference will deliberate on the above aspects against the backdrop of the emerging compliance landscape and in the context of specific regulatory changes which have taken place or likely to take place soon.

## Conference Highlights:

Following topics will be deliberated upon in the Conference:

- Changing regulatory and supervisory approach to compliance – recent developments
- Compliance risk assessment: Emerging approaches
- Enterprise compliance risk management: Strategy, risk, culture and performance
- How to manage a compliance event: Review, respond and report
- Strengthening compliance function against financial abuse – systemic, reputational and financial risk dimensions

## Program Conditions

- ◆ Program fee is payable before the program.
- ◆ Banks may depute another senior officer if the nominated officer cannot attend
- ◆ Nominations may be cancelled up to 5 days before the conference

**Date:** July 19, 2022

**Time:** 09:45 AM to 04:30 PM

**Venue:** Rendezvous, Taj Mahal Palace, Apollo Bunder, Colaba, Mumbai

**Type:** Non Residential

**Fees:** Rs. 20,000 + 18 % GST

For Nomination Form please visit our site [www.cafral.org.in](http://www.cafral.org.in)

**Last date for filing nomination  
July 15, 2022**

**For more program details,  
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## Participant Profile

This program is designed for:

- CCOs and Heads of Compliance and their senior team members
- Other C-suite officers and Board members

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