

Background:

Financial intermediaries operate in a highly regulated environment, where significant compliance risks, when they materialise, can lead to major opportunity losses due to reputational fallout and regulatory restrictions. Increasing operational complexity and the use of new-age tools have made compliance risk management critical for Regulated Entities (REs). As regulatory expectations continue to evolve, the compliance and assurance functions have become increasingly important in ensuring that Regulated Entities operate ethically, responsibly, and within the boundaries of applicable laws and regulations. Across all REs, a tone from the top is essential, and the Board/Top Management must foster a strong culture of compliance while balancing business growth with regulatory requirements.

Objectives:

This two-day program will provide essential inputs on the emerging challenges in Compliance and Assurance functions. It will also provide deep insight and knowledge needed to manage compliance responsibilities in today's increasingly regulated environment for banks, NBFCs and FIs.

Program Highlights:

- GRC Assessment Framework: Emerging Challenges
- Risk Based Supervision: Compliance Assessment
- Cyber Incident Reporting & Crime Prevention
- Cyber Security Risk & Compliance
- Compliance, Accountability and Enforcement
- KYC-AML Compliance
- Implementation of DPDP Act and the Compliance Challenges
- Third Party Risk Management & Compliance Issues
- Role of Internal Audit in Compliance/Assurance function
- Consumer Protection, Handling Customer Complaints & Grievances

Program Conditions

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

Date: September 28-29, 2026

Time: 09:45 AM to 05:45 PM

Venue: CAFRAL Campus, Kirti Mahavidyalaya Marg, Opp. Kirti College, Dadar (West), Mumbai – 400028

Type: Non-Residential

Fees: Rs. 40,000/- + 18% GST

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

Last date for filing nomination September 21, 2026

For more program details, contact:

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Participant Profile

Board Members, top and senior officials overseeing Risk, Compliance and related functions from Banks (including RRBs), Financial Institutions, NBFCs and the Reserve Bank of India.