

Conference of Chief Compliance Officers: Expectations and Challenges



Background:

In an increasingly regulated environment, compliance has become a critical component for banks and financial institutions. The regulated 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. Adherence to applicable statutory provisions and regulations needs to be the responsibility of each staff member in the regulated entities and this needs to be ensured by the compliance function developing an appropriate compliance culture in the organization. The role of compliance function is becoming more complex and facing new risks, with new age banking tools, customized products & their delivery, myriad payment systems and use of intensive technology. The compliance function should not be seen as a reactive function attending to some breaches, but should be a proactive system well integrated with the core functions of the organization. The recent compliance breaches and subsequent regulatory actions in few cases, should spur every organization to ponder and revisit their compliance framework for its robustness & effectiveness.

Objectives:

This two-day conference seeks to provide a perspective on the emerging challenges in compliance function and ways to enhance the effectiveness of the compliance function in the regulated entities, apart from sensitizing participants on regulatory and supervisory expectations. .

Conference Highlights:

The Conference will deal with the following:

- Compliance in financial intermediaries and regulatory expectations
- To develop a culture of Compliance with a Robust Governance, Risk & Compliance Framework
- Compliance Risk Assessment Under Risk Based Supervision
- Compliance Issues in Consumer Protection
- Financial Crime Related Compliance
- Enforcement Action by RBI for Non-Compliance
- Compliance with FEMA & RBI Regulations on Forex Transactions
- Cyber Security and Compliance issues.
- Increasing Operational Risk in Financial Intermediation and Compliance issues

Date: May 20-21, 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
May 14, 2025

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 need to be paid before the conference
- ◆ 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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