

Conference of Chief Compliance Officers: Expectations and Challenges



Background:

The smooth functioning of any financial intermediation business depends as much upon a healthy bottom line as upon the robustness of its compliance function. The role of compliance function in banks is becoming more complex and demanding with the use of new age banking tools, emergence of cyber-risk & data privacy, increasing collaboration with fintechs and other multiple out-sourced entities. Building a strong and effective compliance function and culture should not only be an integral part of the business strategy of any regulated entity but also aligned with regulatory requirements.

Recent developments, both in India and abroad, of serious compliance breaches and subsequent regulatory actions, have spurred intense debate on how best to make the compliance function more effective. Failure to consider the impact of its actions on shareholders, customers, employees and the markets may result in significant adverse publicity and reputational damage for regulated entities, even if there is no breach of law. There is, therefore, a strong case to revisit and introspect on the extant compliance function and do the necessary course correction, if any, required to be future ready.

Objectives:

This two-day conference seeks to provide a perspective on the rapidly increasing dimensions of the compliance function. It will also provide a platform for peer level exchange and enhance understanding of compliance-related issues and emerging challenges, apart from sensitizing participants on regulatory and supervisory expectations with the objective of building and sustaining a more robust compliance framework in regulated entities.

Conference Highlights:

The Conference will deal with the following:

- Regulatory perspective on compliance expectations
- Governance, Risk & Compliance Framework - Developing a Culture of Compliance
- Compliance Risk Assessment Under Risk Based Supervision
- Compliance Issues in Consumer Protection
- Financial Crime Related Compliance
- Breaches in Compliance and Enforcement Actions
- Compliance with FEMA & RBI Regulations on Forex Transactions
- Cyber Security and Compliance issues.

Date: June 22-23, 2023

Time: 09:30 AM to 05:30 PM

Venue: Rendezvous, Hotel Taj
Mahal Tower, Colaba,
Mumbai

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
June 16, 2023**

**For more program details,
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Participant Profile

- CCOs/ Heads of Compliance and their senior team members from Banks, FIs, NBFCs & Urban Co-operative 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