

INDIAN INSTITUTE OF BANKING & FINANCE

(ISO 9001:2015 Certified)

**Programme**

**On**

**COMPLIANCE IN BANKING**

**On 17th to 19th April 2017 (3 days)**

**Venue:**

**Leadership Center,**

**Indian Institute of Banking & Finance,**

**Kohinoor City, Commercial II, Tower 1, 3rd floor,**

**Off LBS Marg, Kirol Road,**

**Kurla (W), Mumbai – 400070.**

**Website:** [**www.iibf.org.in**](http://www.iibf.org.in)

**Programme Co-ordinator:**

**Mr. B.K.De,**

**Joint Director (Faculty),**

**Phone: 022 2504 7014**

**Email: bidyut@iibf.org.in**

**Mob. +91- 9833352774**

**PROGRAMME on ‘COMPLIANCE IN BANKING’**

Background

During its 89 years of service, IIBF has emerged as a premier institute in banking and finance education. Along with its various Certification and Diploma programme, IIBF came into training activities in 2012, to increase capacity building in Banks. The training activity which was started at its Leadership Centre in Mumbai, have been expanded to the major cities and according to the requirement of Banks.

**About the programme**

Compliance function in banks is one of the key elements in the banks’ corporate governance structure which has to be adequately enabled and made sufficiently independent. The Basel Committee on Banking Supervision (BCBS) document (April 2005) essentially articulates this perception. The Reserve Bank of India, from time to time introduced certain principles, standards and procedures relating to compliance function consistent with the BCBS document and keeping in view the operating environment in India.

The purpose of the proposed three days programme is to make participants conversant about the role and responsibility of compliance vertical of Bank so that they are able to set priorities for management of the compliance risks in their bank.

**OBJECTIVES**

* Participants to be aware of all statutory provisions contained in various legislations and will be able to ensure observance of other regulatory guidelines issued by RBI, SEBI and IRDA from time to time and standards and codes prescribed by BCSBI, FEDAI, FIMMDA etc. and bank’s internal policies and fair practices code.
* Participants to be able to identify the level of compliance risk in each business line, products and processes and formulate proposals for mitigation such risk.

**CONTENT OVERVIEW**

* Compliance Culture and Corporate Governance, relevant provisions of B.R. Act and RBI Act
* Compliance of KYC/ AML & CFT
* Statutory compliance on Loans/ Exposure norms/ Priority Sector norms
* Compliance in Capital Adequacy norms
* Risk Based Supervision in Banks
* Compliances on Exports/ Imports – RBI / DGFT / FEMA Regulations, Guidelines on NRI Deposits and Remittances
* Customer service related compliances, BCSBI and Banking Ombudsman, CPA
* Statutory Regulations covering Bancassurance, Mutual Funds
* Compliance Policy and Developing Compliance Architecture

**METHODOLOGY**

The programme will be interactive based on lecture by in house training faculty and guest speakers from industry, case studies, group discussion, experience sharing etc.

**TARGET GROUP**

Officers of Compliance Department at Head Office, Controlling offices, Audit and Inspection Departments and Bank’s Trainers.

**DURATION**

17th to 19th April 2017 (Three days). Timings: 9.45 A.M.to 17.15 Hrs.

**VENUE**

**Leadership Center,**

**Indian Institute of Banking & Finance,**

**Kohinoor City, Commercial II, Tower 1, 3rd floor,**

**Off LBS Marg, Kirol Road, Kurla (W),**

**Mumbai – 400070.**

**FEES**

Programme Fees: **Rs.10,000 per participant (non residential) plus service tax @ 15%, totaling Rs. 11,500** (In case of TDS deduction, please send us TDS certificate)

Programme fees may be remitted to the credit of Institute’s account with Bank of Baroda, details of which are given below:

* Name of the Bank branch: Bank of Baroda, Kurla (West).
* Account no: 19750200000806 IFSC code: BARB0KURLAX(0 is zero)
* **(PAN No: AAATT3309D and Service Tax No. AAATT3309DSD002)**

**The programme is Non residential.**

In case any participant requests Hotel accommodation, the Institute may arrange in Kohinoor Elite Hotel (within 5 minutes walk from the Institute, contact no 022 61526152, 8879791094) at an all inclusive price of Rs. 5500 per day plus taxes for double occupancy and Rs. 4,500 plus taxes for single occupancy. The rates are only for IIBF trainees and include breakfast, lunch, evening tea and dinner. Four hour internet and free laundry for four pieces of clothing is complimentary**.**

For further details and nomination please contact:

|  |  |
| --- | --- |
| Mr.B.K.De,  Joint Director (Faculty) &  Programme Co-ordinator  Phone: 022 2504 7014  Email: bidyut@iibf.org.in  Mob. 9833352774 | Mr. Kavan Shah,  Deputy Director (Training)  Phone: 022 2504 7011 Email: kavan@iibf.org.in |

****

**INDIAN INSTITUTE OF BANKING & FINANCE**

**(ISO 9001:2015 Certified)**

**Kohinoor City, Commercial II, Tower 1, 3rd floor,**

**Off LBS Marg, Kirol Road,**

**Kurla (W), Mumbai – 400070.**

**NOMINATION FORM**

**Programme Title**: **Compliance in Banking**

**Date**: 17th to 19th April 2017 (Three days). **Programme Type**: **Non Residential**

THE PARTICIPANTS NOMINATED:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Sl.No | Name (Mr./Ms./Mrs.) | Designation | Branch/Office | Mobile No.and Land Line No. | E-mail |
| 1 |  |  |  |  |  |
| 2 |  |  |  |  |  |
| 3 |  |  |  |  |  |

Bank/Organisation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Pin Code: \_\_\_\_\_\_\_\_\_\_  
Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_Fax: \_\_\_\_\_\_\_\_\_\_\_\_\_ E-mail: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Programme Fee: **Rs. 10,000 per participant plus service tax @ 15% totaling Rs. 11,500** (In case of TDS deduction, please send us TDS certificate)

Programme fees may be remitted to the credit of Institute’s account with Bank of Baroda, details of which are given below and inform:

* **Name of the Bank branch: Bank of Baroda, Kurla (West).**
* **Account no: 19750200000806 IFSC code: BARB0KURLAX(0 is zero)**
* **(PAN No: AAATT3309D and Service Tax No. AAATT3309DSD002)**
* **Kindly narrate: Programme name; date “from .......to”; number of participant**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| |  |  |  | | --- | --- | --- | | **Please mail your nomination to:** |  |  | |  |  |  | |

|  |  |
| --- | --- |
| Mr.B.K.De,  Joint Director (Faculty) &  Programme Co-ordinator  Phone: 022 2504 7014  Email: bidyut@iibf.org.in  Mob. 9833352774 | Mr. Kavan Shah,  Deputy Director (Training)  Phone: 022 2504 7011 Email: kavan@iibf.org.in |