



INDIAN INSTITUTE OF BANKING & FINANCE
Professional Development Centre – Eastern Zone (PDC-EZ), Kolkata

VIRTUAL TRAINING PROGRAMME ON

Strategy for Compliance of Annual Statutory Audit
& RBI's AFI Reports of Banks

16th - 17th April, 2024

Last Date to Apply : 12 April, 2024

Self Sponsored candidates are encouraged to apply



For Details & Nomination, please contact:

Mr. Tusharendra Barpanda Zonal Head, PDC-EZ, IIBF Email : head-pdcez@iibf.org.in Mob. No. 9717005551	Ms. Samriddhi Guha Jr. Executive, PDC-EZ, IIBF Email : je.pdcez2@iibf.org.in Mob. No. 8420475917	Ms. Sneha Datta Jr. Executive, PDC-EZ, IIBF Email : je.pdcez3@iibf.org.in Mob. No. 9831637175
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IIBF has emerged as a premier institute on Banking and Finance education. It is the largest institute of its kind in the world and is working with a Mission to “develop professionally qualified & competent bankers and finance professionals primarily through a process of education, training, examination, consultancy/counselling and continuing professional development programs”.

Background of the Programme

India's audit regulations require businesses to comply with various types of audits, governed under different laws. The most common audits are statutory audits, internal audits, secretarial and cost audits under the Companies Act, 2013, and tax audits under Section 44AB of the Income-Tax Act, 1961. The purpose of a statutory compliance audit is to determine whether an organisation is providing accurate representation of its financial position. Examination of information such as bank balances, bookkeeping records and financial transactions should be undertaken by professional and registered persons. A compliance audit comprehensively reviews an organization's adherence to regulatory guidelines. It also addresses the effectiveness of your internal controls to determine how you track and measure your performance against these external and/or internal requirements. Compliance audits are essential because they establish an organization's adherence to the rules, regulations and standards. Audit compliance reports present the auditor's findings to help examine an organization's compliance environment and suggest avenues for improvement. On-site inspection of Banks is carried out on an annual basis. AFI (Annual Financial Inspection) focusses on statutorily mandated areas of solvency, liquidity and operational health of the bank. It is based on internationally adopted CAMELS model.

Taking a note of RBI Guidelines, IIBF has designed a Comprehensive Training Programme on AML-KYC & Compliance for Banks.

Content Overview

- ❖ Compliance of Regulatory Guidelines
- ❖ Compliance of laid down systems & procedures.
- ❖ A tool of Risk Management and identifying warning signals in operational area
- ❖ Latest aspects on Banking Compliance such as, Role of Regulators I Banking with reference to RBI, SEBI, NABARD, SIDBI, NHB, FIMDA
- ❖ Transaction Monitoring Process, Financial Intelligence Unit (FIU)-India/FATF
- ❖ Trade-Based Money Laundering - Preventive Measures
- ❖ Customer Due Diligence - SDD, CDD, EDD, E-KYC, C-KYC, Digital KYC etc., Risk Classification and Review of Accounts

DURATION	METHODOLOGY	TRAINING FEES
2-days during 16th-17th April 2024 Programme Timing: 10.00 AM to 5.30 PM each day	Virtual (Online Based on Zoom) interactive lectures, Case Studies, presentations and sharing of experiences Participants can join the programme from anywhere by using devices with Internet like PC, Laptop, Tablet or Mobile. Internet connection with good speed is required to stream live Virtual sessions. <u>Sessions will be handled by experienced faculties and experts from industry</u>	Rs. 4,000/- per participant plus GST @18% aggregating to Rs. 4,720/-. (Kindly provide your GST Number in the nomination letter to facilitate the raising of Invoice)

Target Group Officers/Executives at Middle and Senior Management level in PSU/RRBs/ Co- op Banks and Private sector banks/Foreign Banks, working in Branches/ROs/Zos/Cos and Corporate Office handling Deposits/ Credits/ Remittances, Risk Management, Delivery channels.



INDIAN INSTITUTE OF BANKING & FINANCE

Professional Development Centre – Eastern Zone, Kolkata

NOMINATION FORM

Programme Title: Strategy for Compliance of Annual Statutory Audit & RBI's AFI Reports of Banks

Mode of Programme: Virtual Mode

Date: 16th-17th April 2024 (**LAST DATE TO APPLY : 12th April, 2024**)

Sl. No	Name (Mr/Mrs/Ms)	Designation	Contact No. (Mobile)	E-mail (PERSONAL)	Address (personal)	UTR NUMBER

Fees Paid Rs. _____ UTR/Transaction No. _____ Date of Payment: _____

Name of Sponsoring Bank / FI: _____ GSTN of Bank/FI: _____

Address of the Bank/FI: _____

Phone/Mob. No. _____ E-mail id.: _____

FEE : Rs. 4,000/- per participant plus GST @ 18% i.e. Rs. 720/- aggregating to Rs. 4,720/- (In case of TDS deduction, please send us the TDS certificate).

Programme fees may be remitted to the credit of Institute's Bank Account as below:

- ✓ **Name of Account Holder:** Indian Institute of Banking & Finance
- ✓ **Name of the Bank Branch:** State Bank of India, Vidya Vihar (West), Mumbai.
- ✓ **Savings Account No.** 37067835940 **IFSC:** SBIN0011710
- ✓ **PAN No.** AAATT3309D; **GST No.** 19AAATT3309D2ZO, **State** - West Bengal

CONTACT DETAILS:

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CORRESPONDENCE ADDRESS : Indian Institute of Banking & Finance, PDC-EZ, Avani Heights, 2nd Fl., 59A, Jawaharlal Nehru Road, Nr. Ravindra Sadan Metro Station, Kolkata – 700020



INDIAN INSTITUTE OF BANKING & FINANCE

Professional Development Centre – Eastern Zone, Kolkata

NOMINATION FORM FOR SELF-SPONSORED CANDIDATES

Programme Title: Strategy for Compliance of Annual Statutory Audit & RBI's AFI Reports of Banks

Mode of Programme: Virtual Mode

Date: 16th-17th April 2024 (**LAST DATE TO APPLY : 12th April, 2024**)

Sl. No	Name (Mr/Mrs/Ms)	Designation	Contact No. (Mobile)	E-mail (PERSONAL)	Address (personal)	UTR NUMBER

Name of Bank/ FI employed with: _____

Address of Bank/ FI employed with: _____

FEE : Rs. 4,000/- per participant plus GST @ 18% i.e. Rs.720/- aggregating to Rs. 4,720/-

Programme fees may be remitted to the credit of Institute's Bank Account as below:

- ✓ **Name of Account Holder:** Indian Institute of Banking & Finance
- ✓ **Name of the Bank Branch:** State Bank of India, Vidya Vihar (West), Mumbai.
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