



**INDIAN INSTITUTE OF BANKING & FINANCE**  
(ISO 9001:2015 Certified)

**Programme  
On  
Compliance in Banking**

**From 8<sup>th</sup> to 10<sup>th</sup> May 2019 (3 days)**

**Venue:**

**Indian Institute of Banking & Finance,  
Professional Development Centre, South Zone,  
94, Jawaharlal Nehru Road  
Vadapalani, Chennai -600 026  
Website: [www.iibf.org.in](http://www.iibf.org.in)**

**Programme Co-ordinator:**

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# **PROGRAMME on 'COMPLIANCE IN BANKING'**

## **Background**

During its 90 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 and other regulatory bodies, 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, Consumer Protection Act
- 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

8<sup>th</sup> to 10<sup>th</sup> May, 2019 (3 days). Timings: 9.45 AM to 5.15 PM

## VENUE

Indian Institute of Banking & Finance,  
Professional Development Centre, South Zone,  
94, Jawaharlal Nehru Road  
Vadapalani, Chennai -600 026

## FEES

Rs. 10,000/- per participant plus GST @18% i.e. Rs.1800/- aggregating to Rs.11800/- (In case of TDS deduction, please send us TDS certificate)

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

**(PI Remit the amount only to the following Account)**

- ✓ Name of the Bank branch: **State Bank of India**, Vidya vihar (West).
- ✓ Account no: **37067835882** IFSC code: **SBIN0011710**
- ✓ PAN No: AAATT3309D and GSTIN No. 33AAATT3309D2ZY

**The programme is Non residential.**

For further details and nomination please contact:

Mr. Thomas George Zonal Head, PDC-South Zone Phone: +91-44-23721429 Mobile: +91 8939356428 Email: thomas@iibf.org.in	Ms. Priya Maria A Officer, PDC-South Zone Phone: +91- 44 -24722990 Mobile: +91 9566274128 Email: priya@iibf.org.in
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**NOMINATION FORM**

**Programme Title: Compliance in Banking**

**Date: 8<sup>th</sup> to 10<sup>th</sup> May, 2019 (3 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: \_\_\_\_\_

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- ✓ Kindly narrate: 'Programme on Compliance in Banking 12<sup>th</sup> to 14<sup>th</sup> Feb 2018 & number of participants'

**For further details and nomination please contact:**

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