

Virtual Certificate Course on Grooming of Chief Compliance Officers of NBFCs

Course Outline:

- Regulatory requirements for appointment of CCO under various regulations
- Process of Appointment of CCO
- Discussion on Compliance Structure and Compliance Function
- Interrelationship between CCO function and other functions
- Role and responsibilities of CCO
- Compliance Risk Assessment and Compliance Testing

 **December 4-5, 2025,**
Thursday-Friday
 **3:00 PM to 6:00 PM**

SPEAKERS



VINOD KOTHARI
Director, VKCPL



ANITA BAID
Senior Vice President



WHY ATTEND?

Join this workshop to gain a comprehensive understanding of the evolving role of CCOs in NBFCs.

Learn how to navigate complex regulatory frameworks, establish effective compliance structures, and manage reporting and governance requirements across multiple regulations.

CONTACT US:

Fees: ~~₹12,000~~ + taxes ₹10,000 +
taxes (Till Early Bird Discount lasts)

For Registration, click [here](#)

For more information, reach out to:
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COURSE OUTLINE

Regulatory requirements for appointment of CCO

- Regulatory requirements for appointment of CCO under
 - RBI CCO Circular, ICDR Regulations, LODR Regulations, ILNCS Regulations, PIT Regulations, Insurance Regulations
- Can one person serve as CCO under all regulations
- Restriction on Dual Hatting
- Can the CS and CCO be the same person?
- If not the same person, will the CS report to the CCO?
- Reporting lines of CCO under various regulations

Role and responsibilities of CCO under various regulations:

- Drafting & implementing compliance policies
- Compliance risk assessment, compliance testing and exception reporting
- Handling inspections
- Respond to regulatory directives and ensure actionables thereon
- Certificate on compliance with digital lending
- Other RBI regulations

Appointment of CCO

- Independence, authority, reporting requirements
 - Is there any bar on appointment of CCO in any committee?
 - Can compliance staff be assigned other duties?
- Tenure requirements: Appointment and removal
- Selection process
- Fit & proper criteria

Compliance Risk Assessment

- Meaning
- Methodology for conducting this exercise
- Scope and Approach
- Preparation of Report
- Responsible Team
- Remedial Actions
- Reporting to Senior Management/Board

Compliance Structure and Compliance Function:

- Scope of "compliance function"
- Governance and outsourcing norms
- Reporting, compliance audits and inspections
- Reporting by the CCO
- Audit Committee/risk committee and board's role
- Interrelationship between CCO function and other related functions – internal audit, other control functions

Compliance Testing

- Meaning
- Methodology for conducting this exercise
- Scope and Approach
- Preparation of Report
- Responsible Team
- Remedial Actions
- Reporting to Senior Management/Board