

The Institute  
of Bankers  
Pakistan



# RISK BASED COMPLIANCE FUNCTION AT BRANCH LEVEL

**DATE:** Thursday, April 19, 2018

**FEE:** PKR 10,500/- per participant

**VENUE:** Gujrat

**TIMINGS:** 9:00 am to 5:00 pm

**5%**  
DISCOUNT  
on 3-5 nominations

**10%**  
DISCOUNT  
on 6+ nominations

**LAST DATE OF REGISTRATION**  
April 17, 2018

**COURSE FACILITATOR**  
Mr. Abdul Qadir Bhatti

## COURSE OVERVIEW

Risk is inherent in every business. Similarly banks, like any other business, are subject to several kinds of risks and one of them is Compliance Risk; it refers to the risk arising from failing to meet various laws, rules & regulations. Compliance Risk may impact a bank's earning or capital very negatively. This course will cover the compliance related issues at branch level and different measures to avoid the same, keeping in view the regulatory requirements.

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## LEARNING OBJECTIVES

At the end of the course the participants will be able to:

- Understand the importance of Compliance Functions
- Have awareness of different Compliance related issues at branch level
- Improve their understanding of Regulators view point with reference to Risk Based Approach
- Take different precautionary measures for avoiding compliance risk at branch level

## COURSE CONTENT

This course would broadly cover the following:

- Overview of Compliance - Scope, need, function and importance
- Internal control, Audit and Compliance linkage
- Regulatory Compliance - Roles and responsibilities of individuals/functions
- Understanding Compliance risk and its mitigation
- Effects of AML/CFT regulations and reporting issues
- Risk based approach and understanding
- Mechanism of SBP inspection, penalties and best practices to avoid them
- Activities - Reinforcement

## WHO SHOULD ATTEND?

Primarily, the following participants should attend this course:

- Branch Managers/Operations Managers/Officers of Financial institutions
- Officers associated with account opening and banking operations
- Compliance Professionals
- Auditors

## FACILITATOR

### Mr. Abdul Qadir Bhatti

Mr. Abdul Qadir Bhatti is a prudent banker with experience of more than 15 years of an esteemed financial institution of Pakistan, specifically in Compliance Department. Moreover, he has more than 05 years teaching experience and as well as 03 years' experience as Deputy Superintendent in IBP Examinations. He is M.Phil (Finance) and is JAIBP qualified. Presently, he is working as Head of internal Control Department in National Bank of Pakistan, Regional Office, Gujrat. He has excellent understanding of banking procedures, efficient in mandatory inspection of branches and has an extra vigilance in prudential regulations by regulatory authorities along with banking laws and their implementations. He also provides facilitation to internal and external audit.

### CONTACT DETAILS:

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**NOTE: Payment should be made on or before the course start date in the name of "THE INSTITUTE OF BANKERS PAKISTAN".  
Please send nominations/requests for participation at least two days before the training date.**