

COMPLIANCE **RISK** MANAGEMENT REGULATORY PERSPECTIVE

19
NOV
2026



Compliance Risk Management is at the core of every financial institution and it encompasses all the activities that affect the bank's risk profile. History of financial institutions had witnessed collapse of large banks as a result of non-compliance with legal and regulatory requirements. Banks across the world have faced penal actions worth millions of dollars for non-compliance with legal and regulatory requirements which also results in loss of reputation. The training program covers the significance of compliance function, components of compliance risk management and responsibilities of staff engaged in compliance function.

TARGET AUDIENCE

Relationship Managers, Branch Managers, Manager Operations, Credit Dept., Compliance Dept., Audit Dept

COURSE OBJECTIVE

- Setting the Stage: Overview of Banking Sector in Pakistan
- The need for compliance function & Cost of non-compliance
- What is Compliance Risk Management & its Governance Structure?
- Compliance program – an overview
- Components of Compliance Program (CP)
- Regulatory frameworks in Pakistan for compliance by FIs
- Understanding & meeting regulatory expectations for compliance management
- Procedures for Identifying, Assessing, Communicating and Managing Compliance Risk (RCSAs, Risk Maps and Process Flows)
- Independent Monitoring & Review Mechanism
- Risk management and compliance: An Essential Partnership
- Internal reporting of compliance risk
- Role of Internal Audit
- Essentials of compliance risk management process
- Compliance risk as a part of operational risk management
- Structure and functions of an effective compliance department

FACILITATOR

Mr. Raees Ahmed is a seasoned banking and regulatory professional with 36+ years of experience at SBP, covering Foreign Exchange, International Trade, Banking Inspection, Surveillance, and Exchange Policy. He has extensive expertise in Trade Finance, UCP/URC, Foreign Exchange Regulations, AML/CFT, TBML, Remittances, FCY Accounts, and Trade Compliance. He was associated with the Foreign Exchange Manual (2002), WeBOC launch, ACU, and SRO/regulatory initiatives with SBP, Ministry of Commerce, Customs and TDAP. He has also served as a trainer/resource person at leading banking and academic institutions. He holds MA, LL.B, DAIBP and MBA (Banking & Finance) and currently practices as an Advocate of the High Courts and Corporate Consultant.

TRAINING MANAGER:
MS. FARAH KHAN

 farah.khan@nibaf.org.pk

 021-35277535