

SBP INSPECTION, REGULATORY COMPLIANCE & BANKS' OPERATIONAL ISSUES

13 May 2026

9:00 AM - 5:00 PM

NIBAF PAKISTAN
Karachi Campus

FEE:
Rs. 18,000
(Plus tax)



COURSE OVERVIEW

Compliance 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 of legal and regulatory requirements. Due to non-compliance, Banks across the world have also faced penal actions worth millions of dollars & losses of reputation. This program sheds light on the significance of compliance function, components of compliance risk management and responsibilities of individuals engaged in the banking business.

COURSE CONTENTS

- ◆ Difference Between Regulatory Inspection, Internal Controls, Internal Audit and External Audit
- ◆ Know Your Regulators
 - ◇ State Bank of Pakistan (SBP)
 - ◇ Securities and Exchange Commission of Pakistan (SECP)
 - ◇ Banking Services Corporation (BSC)
 - ◇ Financial Monitoring Unit (FMU)
- ◆ Understanding SBP Inspection Process
 - ◇ Pre-Inspection Stage
 - ◇ Inspection Stage
 - ◇ Post Inspection Stage
 - ◇ Areas Reviewed by Inspection Team in Branches
 - ◇ Penal Action for Non-Compliance of Regulatory Instructions
- ◆ Understanding Compliance Risk
 - ◇ What Is Regulatory Compliance Risk.
 - ◇ List of Important Regulations Applicable On Branch Banking.

- ◇ Consequences of Non-Compliance of Regulations.
- ◆ Role and Responsibility of Bank Staff in Managing Regulatory Compliance Risk.
- ◆ Tools To Monitor Compliance Risk

TARGET AUDIENCE

- ◆ Branch Managers
- ◆ Operations Managers
- ◆ Internal Audit staff
- ◆ Internal Controls staff
- ◆ Relationship Managers
- ◆ Compliance staff
- ◆ Exchange company staff

FACILITATOR PROFILE

Mr. Raees Ahmed

Mr. Raees Ahmed is a seasoned banking and financial expert with extensive experience in international trade, foreign exchange regulations, and policy development. He has served at the State Bank of Pakistan across key departments including Exchange Policy, Banking Inspection, and Off-Site Surveillance. His expertise spans import-export regulations, SBP Inspections, foreign currency accounts, remittances, merchanting trade, and anti-money laundering frameworks. As a trainer, he has delivered nationwide programs on international trade rules, UCP 600, and regulatory compliance.

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