



RBI Regulatory Compliances for NBFCs

Saturday, July 5, 2025

Training Brochure

Introduction:

Non-Banking Financial Companies (NBFCs) are vital to India's financial sector, extending crucial credit and services across various economic segments. In an evolving regulatory landscape, strict adherence to statutory and regulatory mandates is paramount for their sustainable operation. The Reserve Bank of India (RBI) has introduced increasingly stringent guidelines to bolster governance, enhance risk management, and ensure comprehensive regulatory compliance within the NBFC sector.

This specialized training program is designed to equip participants with a thorough understanding of the RBI's regulatory requirements applicable to NBFCs. It will provide actionable insights into best practices for compliance, effective risk management strategies, and practical approaches to seamlessly align with RBI regulations.

Target Audience:

This training program is designed to benefit a wide range of professionals, including:

a. NBFCs, MFIs, and HFCs:

- a) Chief Compliance Officers
- b) Officers and Managers within Compliance Departments
- c) Personnel in Secretarial Departments
- d) Staff in Audit Departments
- e) Individuals in Accounts Departments

b. Professionals Serving NBFCs:

- a) Company Secretaries

- b) Chartered Accountants
- c) Auditors
- d) Credit Analysts
- e) Risk Analysts

c. Financial Institutions and Corporates:

- a) Finance Managers of corporations interacting with NBFCs
- b) Credit Auditors of large NBFCs
- c) Officers in wholesale and retail banking divisions of NBFCs
- d) Funds and DFIs.

Overall Training Objective:

To equip participants with a comprehensive understanding of RBI regulatory compliance requirements for NBFCs and provide them with practical tools and techniques to strengthen their compliance functions.

Specific Training Objectives:

Upon completion of this program, participants will be able to:

- a) **Understand the Regulatory Framework:** Gain a detailed overview of the core principles and specific RBI guidelines applicable to NBFCs, and clarify the definition and implications of "compliance risk" for NBFC operations.
- b) **Strengthen Compliance Functions:** Identify and understand the key responsibilities of the Compliance Function within an NBFC, ensuring meticulous adherence to statutory and regulatory mandates, maintaining market conduct standards, managing conflicts of interest, and ensuring fair customer treatment and service.
- c) **Mitigate Compliance Risk:** Acquire practical techniques and tools for identifying, assessing, and mitigating compliance risks, alongside strategies for preventing and addressing non-compliance with RBI guidelines.
- d) **Apply Concepts Practically:** Facilitate the application of learned concepts through case studies and practical exercises, gaining actionable insights for daily work implementation.
- e) **Enhance Regulatory Knowledge:** Deepen understanding of the current regulatory environment and its specific effects on NBFC operations.

Program Schedule

Time	Session Title	Theme	Key Topics & Objectives
9:30 – 11:00 AM	Session 1: Strategic Role of NBFCs & RBI's Oversight Framework	NBFCs and the RBI Lifecycle: Creation, Supervision, and Enforcement	<ul style="list-style-type: none"> a) Role of NBFCs in the financial system and credit delivery b) RBI's role as Creator, Regulator, Supervisor and Enforcer c) Legal framework (RBI Act – Chapters III-B & V, SARFAESI Act, NHB Act) d) Supervisory tools, enforcement mechanisms, and approach to risk including systemic risk
11:00 – 11:15 AM Tea Break			
11:15 – 1:00 PM	Session 2: NBFC Classification & Compliance Returns	Regulatory Structure and Reporting Obligations	<ul style="list-style-type: none"> a) RBI's classification of NBFCs (Investment, Loan, Infrastructure, CICs, etc.) b) Overview of scale-based regulation c) In-depth training on 15–20 key RBI returns: formats, timelines, submission methods d) Risks and penalties associated with non-submission <p>Material: Hard/soft copies of templates provided</p>
1:00 – 2:00 PM Lunch Break			
2:00 – 3:30 PM	Session 3: Compliance as Part of Assurance Function	Internal Governance, Audit, and Risk Mitigation	<ul style="list-style-type: none"> a) Compliance governance: policies, CCO, Role of Board /Committees b) Risk-based compliance testing, compliance review and reporting mechanisms c) Internal, concurrent, secretarial and statutory audit and their alignment d) Handling RBI inspections and post-inspection obligations e) Maintaining continuous liaison with the regulator
3:30 – 3:45 PM Tea Break			
3:45 – 5:00 PM	Session 4: Case Studies, Challenges & Best Practices	Strengthening Institutional Compliance Frameworks	<ul style="list-style-type: none"> a) Case-based discussion b) Gaps in compliance systems and Lessons learned c) Supervisory feedback on assurance function effectiveness d) Characteristics of a well-governed, compliant and resilient NBFC <p>Deliverable: Template for strong Compliance architecture</p>
5:00 – 5:30 PM	Concluding Session & Q&A	Summary and Strategic Takeaways	<ul style="list-style-type: none"> a) Consolidation of key learnings b) Addressing participant queries c) Recommendations for strengthening institutional compliance culture d) Feedback

Training Program Highlights

Methodology:

The program employs an interactive approach, featuring a dynamic blend of lectures, case studies, discussions, and real examples to enhance learning and practical understanding.

Faculty:

Sessions will be conducted by a distinguished panel of experts from industry, offering valuable insights and practical knowledge.

Program Director:

Dr. Shalini Singh Sharma, Professor & Head Research & Training, EGROW Foundation,

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Workshop Fee:

₹10,000/- + GST per participant for a one-day non-residential program. The fee includes tuition fees, lunch, tea, program material, and certification from EGROW.

*Beneficiary Name: Foundation for Economic Growth and Welfare

Bank Name: ICICI Bank Express Trade Tower 2, Sector 132, Noida-201303

Current A/C No.: 157905001700 IFSC Code: ICIC0001579

GST No.: 09AADC5527B1ZW. PAN.: AADC5527B

Venue:

India International Centre, 40, Max Mueller Marg New Delhi 110003

Duration:

One Day (Non-Residential)

Date: Saturday, 5th July, 2025

Time: 9:00 AM – 6:00 PM

The EGROW Advantage

EGROW Foundation stands as a premier think tank, blending the expertise of globally renowned economists, policymakers, and academicians with in-depth research rooted in India's economic and public policy framework. With a legacy of over 255 high-impact webinars featuring Nobel Laureates and global thought leaders, EGROW offers an unparalleled platform for insightful discussions and practical learning. Through strategic collaborations with esteemed organizations like NITI Aayog, CII, and ASSOCHAM, the foundation ensures participants gain actionable knowledge, innovative tools, and meaningful networks to elevate their professional and academic pursuits.

Foundation for Economic Growth and Welfare

The Foundation for Economic Growth and Welfare (EGROW Foundation) is a non-profit, multi-disciplinary public policy organization engaged in independent, high-quality research in the areas of macroeconomic policy, public welfare, national security and diplomacy. EGROW Foundation, established on Oct 31, 2018 is a policy-oriented think-tank in NCR, India. The vision of EGROW is to be a premier think tank globally, showcasing India's research while contributing to formation of sound public policies, especially in India and the region. The aim of EGROW is to provide research-based support to policy making.

EGROW Activities:

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- Shadow Monetary Policy – Bimonthly.
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Founding Advisor (Oct 2018 – Apr 2022) (Now VC, NITI Aayog)

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