KOENIG SOLUTIONS · COURSE OUTLINE

# NBFC Compliance: Capital Adequacy & KYC/AML

Learn to navigate NBFC regulation, capital adequacy, governance, risk and KYC/AML compliance requirements.

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| **2 Days**<br>16 HOURS | **12**<br>MODULES | **48**<br>TOPICS |

## COURSE OVERVIEW

This course covers the structure, regulatory framework and licensing process for Non-Banking Financial Companies, followed by capital adequacy and prudential norms, corporate governance and risk management. It then addresses anti-money laundering and know-your-customer procedures, compliance monitoring and reporting, and data protection and cybersecurity obligations. Case studies, emerging trends such as fintech integration and ESG compliance, and a course recap close out the programme.

## WHO THIS COURSE IS FOR

- Compliance Officers
- Risk Managers
- Internal Auditors
- NBFC Board Members
- AML Analysts
- Regulatory Affairs Professionals

## PREREQUISITES

- Educational Background: A bachelor's degree in a related field such as finance, economics, business, law, or accounting is often recommended. Some courses may also be suitable for professionals with relevant work experience but without formal qualifications.
- Basic Knowledge of Finance: A fundamental understanding of financial concepts, including financial statements, accounting principles, and financial markets, is helpful.
- Legal and Regulatory Awareness: A basic understanding of financial regulations and legal frameworks is beneficial, but not always mandatory.

LEARNING OBJECTIVES

## What You Will Learn

- Describe the types, role and regulatory framework of NBFCs
- Explain licensing and registration requirements for NBFCs
- Apply capital adequacy ratio and Net Owned Fund requirements
- Analyse asset classification, provisioning and investment norms
- Evaluate corporate governance and board oversight practices
- Identify credit, operational and fraud-related risks
- Apply KYC due diligence and AML reporting procedures
- Assess data protection and cybersecurity obligations for NBFCs

COURSE SYLLABUS

## 12 Modules, 48 Topics

**01**

### Introduction to Non-Banking Financial Companies (NBFCs)

TOPICS

- Understanding NBFCs
- Types of NBFCs
- Significance and Role of NBFCs in the Financial Sector
- Regulatory Framework for NBFCs

**02**

### Compliance and Regulatory Environment

TOPICS

- Regulatory Authorities Governing NBFCs
- Key Regulations and Guidelines
- Compliance Obligations and Reporting Requirements
- Recent Developments in NBFC Regulation

## 03

### Licensing and Registration

**TOPICS**

Prerequisites for NBFC Registration · Application Process · Licensing Requirements and Conditions · Post-Licensing Obligations

## 04

### Capital Adequacy and Prudential Norms

**TOPICS**

Minimum Net Owned Fund (NOF) Requirements · Capital Adequacy Ratio (CAR) · Asset Classification and Provisioning · Investment Norms

## 05

### Corporate Governance and Board Oversight

**TOPICS**

Board Composition and Responsibilities · Role of Independent Directors · Governance Practices for NBFCs · Ethics and Conduct Standards

## 06

### Risk Management and Internal Controls

**TOPICS**

Identifying and Managing Financial Risks · Credit Risk Management · Operational Risk and Fraud Prevention · Internal Audit and Control Mechanisms

## 07

### Anti-Money Laundering (AML) and Know Your Customer (KYC) Procedures

**TOPICS**

AML Regulations for NBFCs · KYC Guidelines and Customer Due Diligence · Suspicious Transaction Reporting · Case Studies and Best Practices

## 08

### Compliance Monitoring and Reporting

**TOPICS**

Compliance Monitoring Framework · Reporting Requirements and Timelines · Regulatory Inspection and Examination · Compliance Audits

## 09

### Data Protection and Cybersecurity

**TOPICS**

Data Privacy and Protection Laws · Cybersecurity Framework for NBFCs · Incident Response and Data Breach Management · GDPR and International Data Transfers

## 10

### Case Studies and Practical Scenarios

**TOPICS**

Real-life Compliance Challenges · Problem-Solving Exercises · Compliance Solutions in Action · Group Discussions and Analysis

11

## Emerging Trends and Future Challenges

TOPICS

Digital Transformation in NBFCs · Fintech Integration · Evolving Regulatory Landscape · Sustainability and ESG Compliance

12

## Conclusion and Course Recap

TOPICS

- Key Takeaways
- Certification and Continuing Education
- Feedback and Course Evaluation
- Looking Ahead in the World of NBFC Compliance Management

WHAT IS INCLUDED

# Everything You Need to Succeed

- Koenig course material for every module
- Delivery by certified instructors and subject matter experts
- Hands-on exercises throughout the course
- Course completion certificate from Koenig

ABOUT KOENIG

## Who We Are

Established in 1993, Koenig Solutions is a globally recognised training provider with 35+ technology partnerships, 5,000+ training programmes and a network of certified instructors and subject matter experts, supporting individuals and enterprise teams worldwide.

FLEXIBLE DELIVERY

## Learn the Way That Suits You

- Classroom Training
- Live Online Classes (ILO)
- Fly-Me-A-Trainer (FMAT)
- Flexi (Self-Paced)
- 1-on-1 Training

### Ready to Get Started?

Talk to a learning advisor about schedules, group training and customised delivery.

Visit koenig-solutions.com

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