

Role of Compliance officers of listed companies

August 26-27, 2016, NISM Bhavan, Vashi, Navi Mumbai

Program

Session Timings	Topic	Resource Person
Day 1		
09:15 AM to 09:30 AM	Registration & Tea	
09:30 AM to 09:55 AM	Inauguration	Mr. Sandip Ghose, Director, NISM Dr.Rajesh Agrawal, Director ICSI- CCGRT
09:55 AM to 10:00 AM	Group Photo Session	
10:00 AM to 11:30 AM	Role of Compliance Officers under Securities Law	Ms. Shaileshri Bhaskar, Practising Company Secretary
11:30 AM to 11:45 AM	Tea Break	
11:45 PM to 01:15 PM	Issuer's compliance under Companies Act 2013	Ms. Shaileshri Bhaskar, Practising Company Secretary
01:15 PM to 02:00 PM	Lunch	
02:00 PM to 03:30 PM	Issuer's compliances under SEBI (ICDR) 2009	Ms. Neelam Bharadwaj, Ex-General Manager, SEBI and Independent consultant
03:30 PM to 03:45 PM	Tea	
03:45 PM to 05:15 PM	Compliance under SEBI Takeover and Substantial Acquisition Regulations	Ms. Neelam Bharadwaj, Ex-General Manager, SEBI and Independent consultant
Day 2		
Session Timings	Topic	Resource Person
10:00 AM to 11:30 AM	SEBI (Listing Obligations and Disclosure Requirements) Regulations 2015 : Industry Perspective	Mr. Narayan Shankar, Executive Vice- President Mahindra and Mahindra
11:30 AM to 11:45 AM	Tea	
11.45 AM to 1:15 PM	Compliance : Industry Perspective	Mr. Narayan Shankar, Executive Vice- President Mahindra and Mahindra
01:15 PM to 02:00 PM	Lunch	
02:00 PM to 03:30 PM	SEBI (Listing Obligations and Disclosure Requirements) Regulations 2015 :Stock Exchange Perspective	Mr.Kamlesh Patel, Compliance Department, NSE
03:30 PM to 03:45 PM	Tea	
03:45 PM to 05:15 PM	SEBI (Prohibition of Insider Trading) Regulations 2015	Mr.Kamlesh Patel, Compliance Department, NSE
05:15 PM to 05:30 PM	Valedictory Ceremony	Mr. Sandip Ghose, Director, NISM

a. Session wise summary of the program

Day I

Session 1: Introduction to role of Compliance Officer

In this session, all the parameters of role of compliance officers were discussed in detail, in context with provisions under Companies Act 2013 and SEBI regulations. The paradigm shift due to recent changes in Companies Act and Securities Laws. The liabilities on compliance officers in case of default and how the compliance officers should update themselves in the dynamic regulatory and business environments etc.

Session 2: Issuance of Securities under Companies Act 2013

The provisions under Companies Act related to issuance of prospectus of equity and debt instruments, private placement, shelf prospectus, offer for sale, allotment, refunds, filing with Registrar of Companies etc

Session 3: Issuance of Securities under SEBI (ICDR) Regulations 2009

Regulatory overview of primary market, types of issues, types of instruments, listing procedures, SME, ITP trading platforms.

Session 4: Compliance under SEBI (Takeover Regulations) 2011

Understanding definitions and provisions of takeover regulations, open offer requirements, exemptions and disclosure requirements to be borne in mind by the compliance officers.

Day II

Session 1: Corporate Governance

Companies Amendment Bill 2016 – Related Party Transactions, Loans to Directors, Managerial Remuneration, Directors Liability, Board Evaluation, Transparency and Disclosure, Private Placement.

Session 2: Industry Perspective compliance

SEBI (LODR) Regulations 2015 Transparency and Disclosure, Loans and advances, disqualification of directors, Prevention of Insider Trading, procedures, code of conduct and case studies

Session 3: Stock Exchange Perspective

Compliance SEBI (LODR) Regulations 2015, new requirements, dealing with schemes of arrangements, quarterly financial results, board meetings reporting to stock exchanges

Session 4: Stock Exchange Perspective

Compliance SEBI (Insider Trading) Regulations 2011, dealing with unpublished price sensitive information, trading plans, connected persons, compliance officers' responsibilities

b. Outcomes and deliverables of the program

The participants appreciated the program contents and actively interacted with speakers on various practical issues faced by them.

c. Details of Participants :

1	NSE	Mr. Ishan Takalkar
2	NSE	Ms. Bhumika Makhija
3	NSE	Ms.Ritu Farsaiya
4	NSE	Ms.Jyotsna
5	NSE	Mr.Janardhan Gujuran
6	Indusind Bank	Mr. Prasad Keluskar
7	Indusind Bank	Ms. Akshata Shete
8	Indusind Bank	Mr.Shailesh Rakhasiya
9	Chambal Fertilisers and Chemicals Ltd	Ms. Jyoti Malhotra
10	TSS Consultancy	Ms.Divya.gowri
11	Others	Ms.Meenakshi Anchlia
12	MONSANTO	Ms.CHANDANA.DHAR
13	Hinduja foundries	Mr.S.Venkatasubramaniam
14	SML ISUZU LIMITED	Mr. Parvesh Madan
15	State Bank of India	Ms. Babita Singh
16	Credila	Ms.Akanksha
17	Religare Industries	Mr. Vikas Maheshwari
18	APM Terminals Pipavav	Mr. Manish Agnihotri
19	Ajanta Pharma Ltd	Mr. Gaurang Shah
20	EPC Industries	Mr. Ratnakar Nawghare

6 NISM Students also attended workshop on nomination basis.

d. Summarized feedback on the program:

Sessions	Percentage
1	81.43
2	80.71
3	74.29
4	48.29
5	60.49
6	90.71
7	73.57
8	48.29

The participants liked the detailed discussion and coverage of the topics along with practical case studies. Overall the workshop was to the satisfaction of the participants.
