Risk • Pro

Connecting Risk Professionals

SOC Advisory Services

(SOC 1 and 2 Audits)

2023

850+
Happy Clients

Riskpro's Overview

Riskpro is an "Indian" Risk Management and Compliance Consulting Firm

We connect Risk Professionals to Clients for maximum value add

Riskpro has five business verticals are Risk Advisory, IT Advisory, Trainings, Technology and Recruitment

- 12+ years of business
- 850+ Clients
- 7+ Cities
- 90+ Team Members
- 10+ strategic partners
- 500+ Cities Associate firm representation

Our growth story is continuous.

Delhi

Kolkata

Mumbai

Pune

Hyderabad

Bengaluru

Chennai

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Riskpro Clients & Partners Presence

Netherlands
Germany
UK
Switzerland
UK
USA
USA
Barbados
Egypt
Jordan
Bahrain
UAE
UAE
Qatar
Saudi Arabia
Oman
India
India
Marshall Island
Philippines
Singapore
Australia
Madagascar
Australia

◆ Riskpro Partner Presence

📍 Riskpro Client Presence

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SERVICES

Assurance & Advisory

- Risk Based Internal Audits (RBIA)
- Internal Financial Controls (IFC)
- Standard Operating Procedures (SOPs)
- Legal Compliance Audits
- Fraud and Forensics
- Fraud Risk Framework
- SOX – Documentation and Testing
- Internal Control Reviews
- Policy and Process Reviews
- Process Improvements
- Third Party due Diligence
- Loan File Hind Sighting
- Corporate Governance Advisory
- Forex Risk/ Treasury Operations Advisory
- Physical Security Advisory
- Pharma Compliance Advisory
- Cost Optimisation

IT Risk

- GDPR
- SSAE (SOC Audits)
- HIPAA Compliances
- Cyber Security Advisory
- Penetration Testing VA/ PT
- IS Audit
- IT Service Management
- IT Assurance
- IT Governance
- End User Computing (EUC)
- Information Produced by Entity (IPE)
- Business Continuity/ Disaster Recovery
- Firewall Audits
- IT General Controls (ITGC)
- Data Analytics
- PCI DSS Certification
- ISO Certification
- ISO 22301 (Business Continuity)

Enterprise Risk

- Enterprise Risk Management (ERM)
- Specific Risk Assessments (Reputation, Compliance etc)
- Enterprise Risk Assessments
- KRI Library
- Risk Library
- Operational Risk Management
- Business Strategic Risks
- ERM Benchmarking
- ERM Framework Implementation
- Risk Management Policy
- Diagnostic Review of SME Risk Framework
- India Entry Due Diligence/ Risk Assessment
- Social Media Risk Management

Technology / Softwares

- Compliance Management Software
- Internal Audit Software
- Risk Management Software
- AML Software
- Insider Trading Software
- ACL Software & Services
- Data Analytics Tool
- Contract Management Software
- Document Management/ Process Efficiency Software
- People Risk Rating Tool
- Board Governance Software
- HRMS Software for SME
- Business Process Digitization
- BLISS Secretarial Automation
- Treasury Management System

Trainings

- Banking Trainings & E Learnings
- ERM Training
- Risk Assessment/ Risk Mitigation Training
- Fraud Risk Training
- AML Training
- Board Training (Short Duration)
- ISO 31000 Training
- Business Continuity Training
- Information Security Awareness Training
- Third Party Risk Management Training
- Women Safety Training
- Business Ethics Master Class
- Management of Stressed Assets
- Cyber Security Training
- Anti Bribery / Corruption Training
- DCPP (Data Privacy Certificate)

Basel II/III

- Market Risk
- Credit Risk
- Operational Risk
- ICAAP

Recruitment

- Independent Directors for Corporates
- Virtual Risk Managers
- Full Time Risk/ Internal Audit Professionals
- Part time Risk/ Internal Audit Professionals

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You need to find a balance between RISK and REWARD and Connect

SAS 70 / SSAE 16 / SOC 1 / SSAE 18 / SOC 2 etc

SAS 70 → **SSAE 16** → **SSAE 18**

Effective May 1, 2017

SSAE 16 is now SSAE 18

All SOC 1, SOC 2 and SOC 3 reports are done under the SSAE 18 standards

SAS 70, SSAE16 are old terms

AICPA SOC

aicpa.org/soc4so

SOC for Service Organizations ™

This logo is worth a lot to YOU….. and us

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SOC Report Background

What are SOC Reports

- ❖ "Service Organization Control reports are designed to help service organizations, organizations that operate information systems and provide information system services to other entities, build trust and confidence in their service delivery processes and controls through a report by an independent certified public accountant."

- ❖ – American Institute of Certified Public Accountants (AICPA)

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Types of SOC Reports

SOC 1
- Previously called SSAE 16

- Mainly financial reporting and operations related controls

SOC 2
- Trust Principles

- Defined list of criteria

- Restricted use

SOC 3
- Trust Principles

- Can be shared to general public and on website

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Examples of Principles and Criteria

Security

- IT Security policy
- Security Awareness and communication
- Risk Assessment
- Logical Access
- Physical Access
- Security Monitoring
- User authentication
- Incident Management
- Asset Classification
- Personnel Security
- Configuration Management
- Change management

Availability

- Availability Policy
- Backup and restoration
- BCP
- DRP

LIST OF POLICIES AND PROCEDURES

- ❖ Organisation Charts
- ❖ Setup of Committees, Meetings, Charters, roles etc
- ❖ Roles and Responsibilities, Job Descriptions of all positions
- ❖ Information Security Policy (various sub policies forming part of Security policies)
- ❖ Logical and Physical Access procedures
- ❖ System / network diagrams, boundaries
- ❖ Change Management Policy, process and formats/logs
- ❖ Incident Management Policy, Process and formats/Logs
- ❖ Release Management
- ❖ Data Classification Policy
- ❖ Periodic Security monitoring Framework / Dashboards
- ❖ Risk Identification and Assessment Process
- ❖ Disaster Recovery
- ❖ Business Continuity Policy
- ❖ Code of Conduct
- ❖ HR Manual
- ❖ Performance appraisals
- ❖ Information Security Awareness Training

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Typical Project Execution Plan

Engagement → Concept/ Scoping → Readiness / Implementation → Audit/ Attestation, Reporting → Handover → Maintenance

Phase	Elements	Timelines
Engagement	•In person meeting /phone meeting •Contract Signing	Day 1
Diagnostic and Gap review	Review of current operations and recommend additional controls based on SSAE checklist	2-3 days onsite and 2-3 weeks offline.
SOC 2 Type 1	Once all the gaps, are fixed, we select an audit date/ cut off date and review all evidences. Issue of SOC 2 Type 1 Report	Within 3-4 weeks
SOC 2 Audit	Test of controls covering period (6 months or 9 months)	2-3 days onsite. This is usually after 6-9 months from Type 1 report.
Report	Issue of SOC 2 Report	4-5 weeks from audit completion

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Other related Services

GDPR - How Riskpro can help

GDPR Maturity Assessment
- Review current practices against GDPR requirements
- Full data audits
- Establish frameworks to address GDPR
- Align to Best practices

GDPR Transition Plan
- Develop a roadmap to smoothly implement GDPR once the gaps are known
- Privacy policy

Integration with other Frameworks
- You may already be doing a lot more than you think.
- Mapping of current framework with GDPR
- We will integrate GDPR framework with ISO 27001, Privacy

GDPR Self Assessment / Certification
- Carry out a self assessment review of your GDPR implementation against the requirement and issue a review / certification report

Data Protection Officers
- We can provide data protection officers on a retainership basis to help with the implementations
- Recruit a full time DPR if needed

Privacy Impact Assessments
- Riskpro can perform one time or periodic Privacy Impact assessment as required by law

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Riskpro Clients

"Served Market Research, Analytics, SaaS platform companies and more with compliance to GDPR"

Riskpro Clients

"Through our partner firms, we have implemented Various GRC softwares in several Corporates and Conducted Online and Classroom trainings in the field of Governance, Risk and Compliance for various Corporates"

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Type of HIPAA Compliances

Extended Compliance

Exposed to Electronic protected health information (ePHI).

Have to implement a lot more process based as well as technical controls from the security/privacy rules..

Riskpro also need to see the physical location since physical safeguards are also involved and hence a visit is often required.

Simple Compliance

Just develop/sell the software that is used by clients in HIPAA processes then the software & its implementation has to have certain technical controls to be HIPAA compliant

For assessing a software system to be HIPAA compliant, Riskpro can do a checklist approach after understanding the situation.

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HIPAA Framework – Where you need to be

Administrative Safeguards	§164.308(a)(1)(i)	Security Management Process
	§164.308(a)(2)	Assigned Security Responsibility
	§164.308(a)(3)(i)	Workforce Security
	§164.308(a)(4)(i)	Information Access Management
	§164.308(a)(5)(i)	Security Awareness and Training
	§164.308(a)(6)(i)	Security Incident Procedures
	§164.308(a)(7)(i)	Contingency Plan
	§164.308(a)(8)	Evaluation
	§164.308(b)(1)	Business Associate Contracts and Other Arrangements
Physical Safeguards	§164.310(a)(1)	Facility Access Controls
	§164.310(b)	Workstation Use
	§164.310(c)	Workstation Security
	§164.310(d)(1)	Device and Media Controls
Technical Safeguards	§164.312(a)(1)	Access Control
	§164.312(b)	Audit Controls
	§164.312(c)(1)	Integrity
	§164.312(d)	Person or Entity Authentication
	§164.312(e)(1)	Transmission Security
Organizational Requirements	§164.314(a)(1)	Business Associate Contracts and Other Arrangements
	§164.314(b)(1)	Requirements for Group Health Plans
Policy, Procedures, & Documentation	§164.316(a)	Policy and Procedures
	§164.316(b)(1)	Documentation

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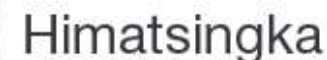"Provided - Risk & IT Advisory Services like Legal Compliance Audits, Internal Audits, ISO 27001, SOPs, IFC, Cybersecurity Regulatory reviews, Anti Bribery & FCPA and many more"

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"Provided - Risk & IT Advisory Services like Legal Compliance Audits, Internal Audits, SOPs, CFR21, ISMS Audit, IFC, Cybersecurity Regulatory reviews, Anti Bribery & FCPA and many more"

Riskpro Clients

> "Helped banks to implement Basel II covering credit risk, market risk, Operational Risk, cyber security and many more"

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"Helped banks to implement Basel II covering credit risk, market risk, Operational Risk, cyber security and many more"

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Riskpro Clients

"Riskpro helps a mid sized Bank in Abu Dhabi implement Basel II covering credit risk, market risk and Operational Risk. The project was carried out for over a year"

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Riskpro Clients

JSW

Enovation Analytics

esds enabling futurability..

PIRM

Systenics Solutions

QUALITEST

ServicePRO

MAXIML

ROOTBRIDGE ...stay connected

talentica DREAM · BUILD · DISRUPT

tyfone

HealthAsyst Your Partner for Healthcare Transformation

CleverTap

Emtec Business & Technology Empowered

krowd

VERITY GLOBAL SOLUTIONS

UZIO

BARRIER BREAK creating a limitless future

nanoheal

"Performed SSAE 18 / SOC 1 /SOC 2 audits for Indian Software Companies / ITES/BPO firms etc. Riskpro has done more than 500+ SSAE 18 audits"

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TIMES INTERNET

UPSIDE LEARNING

SPIRO

FinBox

GOCOMET

GAMES 24 SEVEN

DiligenceVault

Quolum

MCB
MY CLASSBOARD

bizbrain

BLUCOGNITION
DATA · INSIGHTS · ANALYTICS

TECHNO BRAIN
Empowering Lives

STARDOG

trisk

RuleZero

GLOCAL
HEALTHCARE

PHOX
HEALTH

VXceed

Rabbit&Tortoise
TECHNOLOGY SOLUTIONS

accelalpha

EvokeTechnologies

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Companies / ITES/BPO
firms etc. Riskpro has
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Riskpro Clients

> "We provide Full time & Part time Audit professionals and Risk Managers, as per the client requirements"

New decisions bring new risks and to manage them better, connect with one of our team members!

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Manoj Jain

Founder and Director

- CA, CPA, MBA-Finance (USA), FRM (GARP)
- Over 10 years international experience – 6 years in Bahrain and 4 years USA
- More than 25 years exp in risk management consulting and internal audits, Specialization in Operational Risk, Basel II, Sox and Control design
- Worked for Ernst & Young (Bahrain), Arab Investment Company (Bahrain), Navigant Consulting(USA), Kotak Mahindra Bank (India) and Credit Suisse(India)
- Sox Compliance project for Fannie Mae, USA ($900+ Billion Mortgage Company)

manoj.jain@riskpro.in
98337 67114

Laxmikant Gupta

Principal

- CA, CMA, CS, FRM,
- Laxmikant has over 25 years experience in risk management, governance, compliance, ethics, control, internal audit.
- His experience has been across areas like operational risk, market risk, settlement risk in addition to SEBI Compliances, internal compliances, governance norms based on new Companies Act, new Insider Trading laws etc.
- He headed risk management / compliance function for Franklin Templeton, Tata TD Waterhouse, Birla Sun Life, ICICI Venture, NCDEX. He also worked with I-Sec, A F Ferguson & Co.

Laxmikant.gupta@riskpro.in
98330 00436

Rita Shewakramani

EVP – Internal Audit & Risk Advisory

- Chartered Accountant, a Certified Internal Auditor (CIA) and a Certified Risk Mgmt Professional (CRMA).
- She has more than 25 years of post qualification experience into Internal Audits, Risk, Application Reviews, Operations / Process/ Internal control reviews, Fraud Investigations.
- She has worked with consulting firms like Baker Tilly Singhi Consultants Pvt Ltd, Price Waterhouse Coopers, EY, Aneja Associates and Corporates like Reliance (Internet Exchange), GE Capital, CMS Computers etc.

rita.s@riskpro.in
98204 85504

Ashok K Agarwal

EVP – IT Risk Advisory

- CISA, CRISC, ISO27001, ISO/ IEC 20000 qualified
- Over 30 yrs of work experience in IT Risk Management and Assurance, of which 3 years of global experience.
- Worked in multiple Banks (Punjab National Bank- Delhi, AXIS Bank, DCB Bank – Mumbai and Bank Dhofar – Muscat) heading Technology Audit.
- As principle project assurance lead, done project review of Core Banking Solution upgradation and data migration adopting big bang approach.
- Core expertise in Cyber and Cloud Security, Concurrent Audit of Data Centre and Privilege User Access review.

ashok.agarwal@riskpro.in
96199 22010

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Vivek Dixit

EVP – Risk Management and Governance Advisory

- B.Com; DFM. Numerous Work related and Leadership trainings in Corporate World.
- Experienced, multi faceted, techno functional corporate professional with 35 yrs in the industry. Worked in top notch organizations viz. Dell, Microsoft, IBM, Atos (Origin), Ingersoll-Rand, Siemens. Global judge for certification of YB and GB Six Sigma projects in Dell.
- Associated with PMI significantly. Initially Vice President of PMI-Pearl City Chapter when it was started. Invited as a Speaker for various PMI events.

Vivek.dixit@riskpro.in
88066 73322

Priti Sikdar

EVP – Risk Advisory and Training

- FCA, CISA, ISO 27001:2013 LA, CISM, BCCS, CRISC, BS 25999 LA, PRINCE 2 FC
- Information security and Data privacy professional with over 28 years of experience in IT sector
- Experience in implementation of systems to comply with ISO 27001, GDPR, Privacy Shield and GLBA, conducting ISMS audits, security and privacy risk assessments as well as SOC 2 audits
- Worked for leading firms such as Grant Thornton, KPMG London and Sharp & Tannan

Priti.sikdar@riskpro.in
99307 21992

Venkatkrishnan G

EVP-Internal Audit & Risk Advisory

- Chartered Accountant, CISA. ISO 27001 Certified
- More than 25 years of experience in the space of Internal audits, process and controls, IT audits, operations and finance
- In the past Venkat has worked with audit and consulting firms like Price Waterhouse, Deloitte and GT. In addition he has also worked in multinational corporates like IBM, Shell, SCB.
- He also did a stint in Muscat, Oman and has worked in various engagements in the USA, Far East and UK.

Venkat.g@riskpro.in
9731775000

Atul Kitchlu

EVP – Risk Advisory

- He has nearly 25 years of consulting experience, having successfully conducted Internal audit, Risk & Business consulting engagements in India & the Middle East in sectors as: Oil & Gas, Logistics, Automotive, Healthcare, FMCG, Info-tech, Financial institutions & Retail.
- He has led internal audit engagements in some of the prominent chain of hospitals in North India involving business review of business processes & control environment
- He has led business review engagement of a US based automotive manufacturing company in India involving factory & management audit.
- He has also led Internal Controls Review (ICRs), SOPs engagements in major investment companies in the Middle East & GCC Region, involving Asset management, Treasury, operations.

Atul.kitchlu@riskpro.in
9654727965

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Nitesh Shanbhag

Senior Advisor – Strategy & New Initiatives

- PGDM – IIMA, B.E (Mech) – NITK, Financial Risk Manager (FRM - GARP)
- Over 25 years experience in Risk Assessment and Management covering credit risk analysis and credit rating, credit underwriting for corporate and equipment finance, impact and social financing, and Enterprise Risk
- Prior work engagements with National Skill Development Corporation, a PPP in the skilling sector; GE Capital Services India, and credit rating agency ICRA Limited.

nitesh.shanbhag@riskpro.in
98203 64288

Sucheta V. Upendra

SVP – Information Security

- MCA, CISA, ISO 27001:2013 LA
- Information security and data privacy professional with over 25 years of experience in IT sector
- Experience in implementation of systems to comply with ISO 27001, GDPR, Privacy Shield and GLBA, conducting ISMS audits, security & privacy risk assessments as well as SOC 2 audits.
- Worked for leading firms such as TCS and Siemens Technology Services

sucheta.upendra@riskpro.in
98456 48521

Sudip Mal

SVP – Information Security

- Sr. Risk & Compliance Advisor, a Certified Lead Auditor (ISO 27001) and a Certified Fellow of Information Privacy (FIP, CIPM, CIPP), DCPP, CCSK
- He has around 16 years of hands on experience into Information Security consulting, Data Privacy consulting, Risk & Compliance & Information Security Audits
- He has completed several engagements in Information Security at Shell, Titan, TCS, Happiest Minds, Wipro Technologies, PwC erc.

sudip.mal@riskpro.in
98369 80044

Natarajan Mohan

SVP – Risk Advisory

- CMA, CISA, DCPLA, PMP, CSM
- He has over 23+ Years of varied experience in Internal Audit, Risk Management, Regulatory and Compliance audit, Cost Management, Project Management and PMO.
- He has worked for leading companies like Sundaram Finance, Satyam Computers, Cognizant, Hexaware & Tech Mahindra

Natarajan.mohan@riskpro.in
97909 21820

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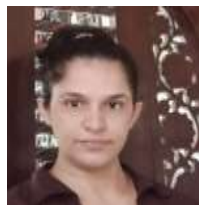
Ritu Thakkar

VP – Information Security

- Certified Lead Auditor (ISO LA), CEH, Six Sigma Green Belt/Black Belt, ITIL Professional.
- She has around 15+ years of post qualification experience into Internal Audits, Enterprise Risk Management, CMMi, SOC 2, ISAE 3402, GDPR, COSO, NIST, ISMS, ITIL, Six Sigma, CMMi ML3, QMS, Operations/ Process/ Internal control reviews Banking & Financial sector, ISO & System audit, Project management, threat Intelligence & compliance management etc.
- She has worked with Vakrangee Limited, Network Solutions – An IBM Company, CMS Computers, Ministry of Defence etc.

Ritu.thakkar@riskpro.in
98206 59207

Poonam Khandwani

VP – Risk Advisory

- FCA,LLB, Certified Forensic & Concurrent auditor ,with over 15 years of professional experience.

- Experience in Internal Audit, Statutory Audit, Risk based audits , ICFR reviews, SOX compliances , ERM engagements & Fraud risk assessment etc.

- Performed risk based internal audits across multiple industry segments namely, Irrigation, Cement, Chemical, Textile & Garment , Insurance, Banking industry, Telecom, FMCG, etc

Poonam.Khandwani@riskpro.in
9881716511

Sudipta Datta

VP – IT Risk Advisory

- B.E,CRISC,ISO31000:2018,ISO 27017:2015,PCIDSSV3.2,ISO 27001:2013-LA/LI

- Information Security professional with over 19 years of experience in IT sector.

- Experienced in Risk Assessment, Internal Audits, ISMS Audits, SOC2 Audits and in implementation of systems to comply with ISO 27001, GDPR.

- Worked for leading firms such as Dell International and Tata Consultancy Services.

sudipta.datta@riskpro.in
95000 32004

Vinaya Punekar

Consultant – IA and Risk Advisory

- Chartered Accountant and Certified Information Systems Auditor (CISA)
- She has 20+ years of post qualification experience in Internal Audit, management reviews/support, SOC2 Type 1 and Type 2, Review of automated / manual Business Cycle controls and IT General controls, SOX, IFC and ICoFR.
- She has worked with Deloitte, P G Bhagwat and R B Dubash. She has also worked with the clients in Software, Manufacturing, Power and Telecommunications domain.

vinaya.punekar@riskpro.in
98901 09188

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Nehal Mapara

SVP – Information Security

- Chartered Accountant
- Over 20 years of post qualification experience in internal audits, risk assessments, process enhancements, ISO 9001 & 27001 audits, compliances, commercial reviews, GDPR implementation and audits
- Established Commercial function in Hutchison Global Services & Compliance function for Datamatics Business Solutions Ltd
- Worked with consulting firms like Axis Risk Consulting, Aneja Associates and corporates like Hutchison Global Services, Jet Airways, Datamatics Business Solutions Ltd

nehal.mapara@riskpro.in
9819184351

Anita Balasubramanian

AVP – IT Risk Advisory

- ISACA CISM Trained, Certified ISO 27001 Lead auditor, ITIL V3 Expert, Prince 2 Practitioner, Certified Internal Auditor for ISO 9001,20000-1 standards
- She has around 14+ years of experience in ISO 27001, Governance , Risk and Compliance, Internal Audits, Risk Management, Process/ Internal control reviews, Data Privacy and GDPR.
- She has worked with IBM, Oracle, Microland, Mindtree, Thirdware, Computer Science Corporation, Ramboll Etc.

Anita.balasubramanian@riskpro.in
7550005736

Niveditha Hampiholi

AVP - Risk and Compliance

- MBA (Finance)
- She has over 15 years experience in Risk Management and Internal Audits (mainly in Banking and Financial Sector).
- She also has specialization in operational risk, Sarbanes Oxley and Internal Controls.
- She has prior experience with Northern Trust, Ocwen Financial Services & ADC Telecommunications Inc.

niveditha.hampiholi@riskpro.in
99001 00827

Madhavi Chandraseckariah

AVP – IT Risk Advisory

- Bachelor of Engineering (BE – Electronics and Communications), Bangalore University.
- Over 15 years experience in Business Operations, Complaint Management and Customer Experience. Certified from Mortgage Banker's Association, USA for US Residential Mortgage Servicing.
- Brief experience in implementation of systems to comply with ISO 27001, GDPR, conducting SOC 2 audits.
- Worked for leading firms such as Ocwen Financial Services Pvt. Ltd., Pierian Services Pvt. Ltd.

madhavi.chandraseckariah@riskpro.in
99457 57828

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Vijay Shankar

Senior Manager – IT Risk Advisory

- B.E Computer Science, Masters in Business Administration, CISA certified professional and ISO 27001 Lead Auditor
- He has around 14 years of post qualification experience into ISO 27001 Implementation, Risk Application Reviews, Incident Management, Vulnerability Management , IT Audits, SOC Audits , GDPR compliance
- He has worked with Various firms like Royal Bank of Scotland Pvt Ltd, Hewlett Packard, TVS Supply Chain Solutions PVt Ltd, Hexaware Technologies, Sutherland Technologies

Vijay.shankar@riskpro.in
9884481812

Rhucha Vartak

EVP – Risk Advisory and Training

- B.Sc. Tech, CISA, ISO 27001:2005 LA, CEH, GDPR FAS Certification, Diploma in Cyber Law
- Information Security and Data Privacy professional with over 15 years of experience, Prior to that, Visiting faculty to various colleges for MCA, MBA (Systems), IT & Electronics
- Experience in Systems Audit, Cyber Security Audits,, Technology Effectiveness Reviews, Implementation of systems to comply with ISO 27001, GDPR, Security and Privacy Risk Assessments as well as SOC 2 audits, Data Analytics in Auditing, Functional Testing
- Worked for a leading Indian Chartered Accounting Firm

rhucha.vartak@riskpro.in
98214 72740

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Key Contacts

Corporate	Mumbai	Mumbai	Pune
Riskpro India Ventures (P) Limited info@riskpro.in www.riskpro.in B-44, Glaxo Building, Near Mt. Mary's Steps Bandra West, Mumbai 400050	**Manoj Jain** Director M- 98337 67114 manoj.jain@riskpro.in **Rita Shewakramani** EVP - Risk Advisory M- 98204 85504 rita.s@riskpro.in	**Laxmikant Gupta** Principal M- 98330 00436 laxmikant.gupta@riskpro.in **Ashok Agarwal** EVP - IT Risk Advisory M- 9619922010 ashok.agarwal@riskpro.in	**Vivek Dixit** EVP- Risk and Governance 880 667 3322 vivek.dixit@riskpro.in **Mayur Satpute** Associate -Sales and Marketing M-80802 04742 mayur.satpute@riskpro.in
Bangalore	**Bangalore**	**Gurgaon**	**Delhi, NCR**
Niveditha Hampiholi AVP - Risk and Compliance M- + 91 99001 00827 niveditha.hampiholi@riskpro.in **Venkatkrishnan G.** EVP – Internal Audit & Risk Advisory M- 9731775000 venkat.g@riskpro.in	**Sudip Mal** SVP - Information Security M- 9836980044 sudip.mal@riskpro.in	**Atul Kitchlu** EVP – Risk Advisory M- 9654727965 atul.kitchlu@riskpro.in	**Raghvendra Mishra** Senior Manager – Business Development M-98184 50423 raghvendra.mishra@riskpro.in **Mayur Satpute** Associate -Sales and Marketing M-80802 04742 mayur.satpute@riskpro.in
Chennai	**Hyderabad**	**Kolkata**	**Let's Innovate Together**
Natarajan Mohan SVP – Risk Advisory M- 97909 21820 natarajan.mohan@riskpro.in **Anita Balasubramanian** AVP – IT Risk Advisory M- 7550005736 anita.balasubramanian@riskpro.in	**Manoj Jain** Director M- 98337 67114 manoj.jain@riskpro.in **Sonali Thakur** Associate – Sales & Marketing M-70047 74682 sonali.thakur@riskpro.in	**Sonali Thakur** Associate – Sales & Marketing M-70047 74682 sonali.thakur@riskpro.in	If you have substantial risk management experience and want to join a growing consulting firm, send an email to partners@riskpro.in and lets join hands and innovate together.

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