

RISKPRO INDIA

SOC Advisory Services (SOC 1 and 2 Audits)



Riskpro's Overview





Our growth story is continuous.

Riskpro Clients & Partners Presence



Our Service Verticals

Risk Advisory

IT Advisory

Technology

Trainings

Recruitment



Our Services



Risk Advisory

- Risk Based Internal Audits
- Internal Financial Controls
- Standard Operation Procedures (SOPs)
- Legal Compliance Audits
- Environment Social Governance (ESG)
- Vendor Risk Management (TPRM)
- Fraud and Forensics
- Fraud Risk Framework
- SOX Compliance
- · Internal Control Reviews
- Policy and Process Reviews
- Process Improvements
- Third Party Due Diligence
- Loan File Hind sighting
- Corporate Governance Advisory
- · Branch Audits
- Integrity And Ethics
- Prevention of Insider Trading



IT Advisory

- GDPR
- SSAE(SOC Audits)
- HIPAA Compliances
- · Cyber Security Advisory
- Penetration Testing VA/PT
- Business
 Continuity/Disaster
 Recovery
- Firewall Audits
- PCI DSS Certification
- ISO 27001
- ISO 22301 (Business Continuity)
- IS Audit/ ITGC
- IT Service Management
- IT Assurance & Governance
- Personal Data Protection (PDP)
- CMMC
- 21 CFR Part 11
- NIST Compliance
- · Microsoft SSPA



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
- Social Media Risk Management
- Market Risk
- Credit Risk
- Liquidity Risk
- ICAAP
- End User Computing (EUC) Risk



GRC Technology

- Third Party Risk (TPRM) Software
- Internal Audit Software
- Risk Management Software
- Prevention of Insider Training Compliance Software
- Legal Compliance management Software
- Board & Secretarial
 Compliance Software
- Labour Compliance Automation Software
- Contract Management Software
- Litigation Management Software
- Document Management Software
- Whistleblowing Software
- Cyber Security Software
- Automating Accounts Function Software
- Treasury Management Software
- Data Analytics Tool



GRC Trainings

- E Learnings
- ERM Training
- Risk Assessment & 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
- Cyber Security Training
- Anti Bribery/ Corruption Training
- DCPP (Data Privacy Certificate)
- Privacy Awareness Training
- Operational/ Credit Risk Training



GRC Recruitment

- Independent Director For Corporates
- Virtual Risk Manager
- Full Time Risk / Internal Audit Professionals
- Part Time Risk / Internal Audit Professionals Full-Time



Risk · Pro



You need to find a balance between RISK and REWARD

SAS 70 / SSAE 16 / SOC 1 / SSAE 18 / SSAE 21/ SOC 2 etc

SAS SSAE SSAE SSAE 70 16 18 21

Effective June 15, 2022

SSAE 18 is now SSAE 21

All SOC 1, SOC 2 and SOC 3 reports are done under the SSAE 21 standards

SAS 70, SSAE16, SSAE 18 are old terms



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

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)

Types of SOC Reports

SOC₁

- Previously called SSAE 18
- 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

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

Typical Project Execution Plan

Engagement Concept/ Scoping Readiness / Attestation, Reporting Handover Maintenance

Phase	Elements	Timelines
Engagement	In person meeting /phone meetingContract 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

Case Study – Times Internet Limited – SOC 2

Company Objectives

- The Times Cloud Platform exists for one purpose: to better enable user to access, discover, and enjoy products and services that they'll love.
- Define robust policy and procedures and
- Define IT controls for various processes in each vertical

Methodology

- Develop Governance controls based on requirements of SOC 2 standard
- Adopt a risk based methodology for identifying, assessing and mitigating risks and monitoring them for keeping risks under control.
- Review and develop robust Standard Operating Procedures for key processes.
- Develop ITGC Controls Matrix across the various processes to identify risks

Challenges

- Multiple business units with a lot of customer interface.
- Obtaining sign-in from a variety of stakeholders including people from top, middle and low level management spread across locations
- Prioritizing risks and maintaining a secure infrastructure to ensure that design of controls promotes the confidentiality, integrity and availability of IT systems

Other related Services





GDPR - How Riskpro can help

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

GDPR Maturity Assessment



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

GDPR Transition Plan



- 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

Integration with other Frameworks



•Carry out a self assessment review of your GDPR implementation against the requirement and issue a review / certification report

GDPR Self Assessment / Certification



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

Data Protection Officers



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

Privacy Impact Assessments



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.

HIPAA Framework – Where you need to be

Administrative	§164.308(a)(1)(i)	Security Management Process
Safeguards	§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	§164.314(a)(1)	Business Associate Contracts and Other Arrangements
Requirements	§164.314(b)(1)	Requirements for Group Health Plans
Policy, Procedures, &	§164.316(a)	Policy and Procedures
Documentation	§164.316(b)(1)	Documentation
		201

Some of Our Risk Advisory Clients

747

Manufacturing	Manufacturing	IT Services	Others	NBFC	Insurance
BLUE STAR INFOTECH	ALKEM	III CitiusTech	TRENT A TATA Enterprise	AVANSE FINANCIAL SERVICES	ADITYA BIRLA GROUP
	TCL	Hexaware TECHNOLOGIES	FEDERAL BANK YOUR PERFECT BANKING PARTNER	SMFG IndiaCredit Pragati Ki Nayi Pehchaan	PICICI PRUDENTIAL
TATA ELECTRONICS	⊕ GIA	marlabs driving digital ogility	allcargo logispies ind.	منگید MULKIA INVESTMENT	IndiaFirst
TATA STEEL	SS The Seksaria Group	MILES SOFTWARE FINANCIAL SERVICES TECHNOLOGY REDEFINED	FERTILITY & NF CENTRE	لىيدرة المالية Sidra capital	Potenting distance of the particular instrumence of the Community of the particular instrumence
enel	INDIA	TECHNO BRAIN Empowering Lives	ONSITEGO	Service SRE	RELIANCE NIPPON LIFE INSURANCE
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Global Expertise, Local Knowledge. We know baking!







Some of Our BFSI Clients

Banking	Banking	Insurance	International	International	Others
WELLS FARGO	SvcBANK	AVIVA	OCEANIC	CIBEM Louise Andrews Lander, Hones are Management a transferent Rennyal Pleases, transferent a transferent Rennyal Pleases, transferent	Cigna Like
YES BANK	DCB BANK	Universal Sompo General Insurance Co. Ltd.	Skye Bank	لىبدرة المالية Sidra _{Capital}	WIND STATE OF THE PARTY OF THE
AXIS BANK	Bank of Baroda	IndiaFirst	الم طروب AL MASRAF	excelledia°	Ëis
Standard Schartered	FEDERAL BANK	Star Union Dai-ichi LIFE INSURANCE	عنگیخ MULKIA INVESTMENT	₩ QNB	
इंडियन बैंक 🐼 Indian Bank	Saraswat Bank Saraswat Co-operative Bank Ltd.	SBI Life INSURANCE With Us. You're Sure	بنك دبي النجساري Commercial Bank of Dubai		
रोज्ट्रल बैंक ऑफ इंडिया Central Bank of India	North East Small Finance Bank	SBIGeneral INSURANCE	البند السعودي الفرنساب Banque Saudi Fransi	And	Many
GP PARSIK BANK Goplinath Patil Paralli, Januta Sahakari Bank Ltd. Bendelad bed	janalakshmi	EVA EAST WEST ASSIST TPA	الأول Alawval الاستثمار ۱۸۷۶۶۲	More	Clients
बँक ऑफ महाराष्ट्र Bank of Maharashtra एक कुट्टेस एक बैंक	ING ಖ	PRUDENTIAL	National Bank of Oman		

Some of Our IT Advisory Clients

IT Services	IT Services	Technology	Consulting	Manufacturing	Others	Others
Coforge	○ LAMBDATEST	vsoft ingenuity at work	kbg	wipro) PARI	© Go Khana	JM FINANCIAL
Innodata.	HSV.Digital	Extravel technology exports	SNIPP!	AMNEX	OXANE -PARTNERS-	DCB BANK
Diyar United Company PARTMERS IN TECHNOLOGY	SOLIX* Enqueeting the Dala-driver Sintegrale	Clistomer Value Maximization	BARRIER BREAK creating a funitional future	# Biofourmis	affinity	♦ FinBox
d darwinbox	intelltech	SoftSol Toking IT to the next level	ELP ECONOMIC LAWS PRACTICE AMPLICATIONS	AMI ORGANICS LIMITED	MALCA-AMIT	
Sakon	First Advantage	MY CLASSBOARD	SISA	\$	Marketing Channel for Business	
emudhra	Your Payments Partner	intelliswift	PIERIAN SERVICES	And Many)D)/
MindTickle.	regalix	<> resilinc	protiviti* Global Business Consulting			
CleverTap	<u>h</u> ackerearth	XOPA:	🔀 Lakeba	More Clients		

Some of Our SSAE Clients

IT Services	IT Services	IT Services	IT Services	IT Services	IT Services	IT Services
Cognizant	DATAMATICS® Data to Intelligence	MOURITECH"	datametica	MindTickle.	A3logics IT Consulting & Development Services	™M⊿STECH INFOTRELLIS
CISCO	Mastek •	majesco	™MASTECH DIGITAL	Your Payments Partner	K kastech	ADAEQUARE
CES	QUALITEST	MILS SOFTWARE FINANCIAL SERVICES TECHNOLOGY REDERINED	eNoah Your Trusted Partner	Crosselling From Kerry Augh	NUWARE	cloud
Persistent	Insider	NOUS INFOSYSTEMS	ive	accelαlpha	R LAMBDATEST	ATLAS SYSTEMS
RICOH imagine. change.	Mu Sigma	Diyar United Company PARTNERS IN TECHNOLOGY	Claysys	CleverTap	annexmed	III CitiusTech
CYIENT	Cigniti	Emtec. Bushess & Technology Empowered	coditas	MAXVAL	≯ RWS	SOLIX* Ergossering the Data-dilven Enlegance
STARTEK	integreon	We believe to colutions, Resistants inflores.	≺lentra	OptiSol Solutions Services	DROISYS	DISQO
Dustriess-friendly Solutions	BRISTLECONE	BrowserStack	emudhra	merilytics	O ATTHENT	NextSphere lactrologies

Some of Our SSAE Clients

Software	Software	Consulting	Others	Others
™ quenliphi	eka Smart Commodity Management	KPMG	(HEALTHCARE SERVICES)	Paramount Health New First is gentliked?
Robosoft Technologies® EMOTION ENGINEERING & DESIGN	SEQURETEK	Grant Thornton	" SBI	ECLAT HEALTH SOLUTIONS
e-Zest	<> resiling	protiviti® Global Business Consulting	OXANE -PARTHERS	₩ МАНАТНІ
SmartStream	K©Vai .co	yivetic GROUP	niver	Equalize RCM
Ofinicity"	Ozonetel	Aparajitha Your Compilance Partner	Coca Cola Company	And
IRIS	*SoftSol Taking to the next level	KARVYIII	RuleZero	Many
In2IT Technologies	SNOVASYS We Love To Help You Succeed	PIERIAN SERVICES	∷ Biofourmis	More
PALADION HIGH SPEED CYBER DEFENSE	VSOft Ingenuity at work	TekEssence Doing IT Right	SUDRANIA	Clients

Some of Our GDPR Clients

IT Services	IT Services	Consulting	Manufacturing	Software	Others
Prodapt,	hurixdigital	CogniSaaS	TOSHIBA	e-Zest	معهد الإمارات للسياقة Emirates Driving Institute
Mu Sigma	d darwinbox	PIERIAN SERVICES	KRBLLimited	RateGain	
NSE NSEIT	ENAV	# aranca	MANLIFT 000	OMNEX	affinity
Cigniti	BrowserStack	PelatisRigas Rept/People-Reptis Customent	Portescap	inFeedo	MachBizz
MPS	CleverTap	CONFIANCE			
EMIDS	S GAMES 24	BARRIER BREAK creating is limit-loss future		And Mar	ΛV
Advent Modal	Sakon		١	Iore Clie	
SG Analytics	SILVERLINK TECHNOLOGIES AN IT SERVICE PROVIDER				

Some of Our HIPAA Clients

IT Services	IT Services	IT Services	Software	Others
Hexaware TECHNOLOGIES	emudhra Trust Delivered	Ace	VISTAAR*	GLOCAL MODELLOCAL MODELLOCAL
ienergizer	MindTickle*	ALQIMI	sync	Equalize RCM
ıncedo	concerto	∳iMerit	voiceoc	PURPLE
✓ INNOVACCER	intelltech	🔐 appypie	CloudCodes	□ GoSource
SUMA	Scogito	Genome Smart*		
CleverTap	mirketa Think .Build .Transform	GL BAL SOFTWARE TECHNOLOGIES	And Many	
flowz	Centaur Billing		More Clients	
Sakon	actionable science			

Some of Our ISO 27001 Clients

IT Services	IT Services	Software	Consulting	Others
actionable science	Sakon	agiledge 🌼	protiviti [®] Global Business Consulting	Zapdesk
Ravira	propel	🐎 airgram	PIERIAN SERVICES	Allianz (11)
built.io®	techbl:::cks	Funnel Story	SNIPP!	♦ FinBox
content RAVEN	K kastech	HappSales [®]	LOYALTY JUGGERNAUT REIMAGINE LOYALTY —	inventia
ESOP Direct	concerto	W-H		
regalix	SYNERGYCONNECT Employed for Humanity History Brights Franchisen	Pixaera	And	Many
TUPSIDE LMS	synersys	Sales Panda°	More	Clients
(krowd	vantageo	THE AUTOMATION OFFICE		

Some of Our Technology Clients

Manufacturing	Manufacturing	Insurance	Others	NBFC	Pharma	Consulting
TATA STEEL	SULA	8 BAJAJ Allianz 📵	EQUIEDS Equator Small Finance Bank	SHRIRAM Transport Fience Company Limited A WINNING RELATIONSHIP	<i>Mankind⊪</i>	Grant Thornton
Arcelor Mittal	ASK AUTOMOTIVE (P) LTD.	Universal Sompo General Insurance Co. Ltd.	Narayana Health	الهينة الملكية لمحافظة العلد Royal Commission for AlUla	(i) Indoes	O.P. Bagla & Co. LLP
Ashok Leyland	LT Foods	AVIVA	MPS	Muthoot Homefin	Akums	Walker Chandiok & Co LLP
vinmar vinmar	Kisan	PRINCE OF THE STREET OF THE ST	eNoah Your Trusted Partner	JAGARAN		
RALLIS INDIA LIMITED A TAYA Enterprise	STERLING & WILSON	OICICI PRUDENTIAL	adani Ports and Logistics			
PG P GLASS	UNITED SPIRITS			And	Many	
PARRYS	WALCHANDHAGAR INDUSTRIES LTD.				Client	S
YASH papers						

Some of Our Training Clients

IT Services	Consulting	Manufacturing	NBFC	Insurance	Others	Public Sector (PSE)	
Honeywell	arcion	पावरगिड POWERGRID	MANAPPURAM FINANCE LIMITED Meke Life Easy	AKA	Standard Schartered	एनदीपीसी NTPC	
R1 .	Walker Chandiok & Co LLP	BAYER R	SMFG IndiaCredit Pragati Ki Nayi Pehchaan	SBI Life INSURANCE With Us. You're Sure	O C W E N	DST	
YOKOGAWA	EVALUESERVE POWERED BY MIND HARCHINE	Polyplastics	Nippon india Funds Wealth sets you free	€ Edelweiss	≱ JLT	METAL & ENERGY Trade with Trust	
HCL	firstsource Stay Ahead	MO NDDB DAIRY	IIFL FINANCE	Cigna	ACCEL		
regalix	Mynd Solutions	TITAN	<u>DSP</u>				
A3logics IT Consulting & Development Services	O.P. Bagla & Co. LLP Chartered Accountants			And Many			
ANTWORKS Resinaging - Rothink - Recreate	○ Grant Thornton			More Clients			

Some of Our Recruitment Clients

IT Services	Others	Consulting	Manufacturing	Banking	Insurance	Software
Coforge	meesho	KPMG	EUREKA FORBES	AXIS BANK	® LALAE ®	Økapture
Datagain'	EUNZO	protiviti® Global Business Consulting	AMI ORGANICS LIMITED	Saraswat Bank Saraswat Co-operative Bank Ltd.	PICICI PRIDENTIAL TO	& Sales Panda [®]
TechnipFMC	POSHMARK	BDO	wipro PARI	SURYODAY A BANK OF SMILES	PRINCE OF THE STREET OF T	
RAVEN APPS	WNS	EY Building a better anothing world	Crompto- Sreazek	UNITY Small Pieranse Bank		
A ATHENA"	♦ FinBox	PelatisRigas RepryRegals-Reprise Cutorient				
III CitiusTech	COMMUNIQUE			And	Many	
intelltech	HCL			More	Clients	
vxceed	CONSTRUCT					



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

Risk · Pro



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 27 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)



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.



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.



Ashok K Agarwal

EVP – IT Risk Advisory

- CISA | CRISC | ISO 27001 | ISO 20000 |CAMS | CENTS | CAIIB | Cyber, Cloud, and Cyber Security Professional
- Over 25 years of experience in the multiple Banking (Punjab National Bank- Delhi, AXIS Bank - Mumbai, DCB Bank - Mumbai and Bank Dhofar - Muscat - Oman) in IT leadership roles like eg. IT Management, Information Security Management and IT Audit.
- Since last 5 years, He is heading IT Risk Advisory and consulting practises across multiple sectors BFSI, Insurance, and SEBI regulated entities. FinTech's Cyber Security, Digital security consulting, Network and Technology Infrastructure of Data Centre, IT other Governance, and regulatory compliances
- He earned a Master in Economics. He is banker turned technocrat with rich experience.

manoj.jain@riskpro.in 98337 67114





Laxmikant.gupta@riskpro.ir 98330 00436







ashok.agarwal@riskpro.in 96199 22010









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 38 years in the industry. 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 for past decade.
- Invited as a Speaker for various events.
- Passionate Graphologist, & conduct Logo Analysis.
- Career Mentor & Advisor.



Vikas Gupta

EVP - Risk Advisory

- CFA, MBA Finance (USA)
- Over 28 years experience in global Financial Services Industry.
- More than 15 years international experience in the USA, UK and APAC.
- Deep expertise setting and managing global deliveries in credit, market and operational risk, regulatory compliance, and corporate governance.
- Has held several executive positions with MNC banks including Chief Risk Officer (Wells Fargo), Chief Compliance Officer (Credit Suisse) and Head of Risk (RBS).
- Eminent industry connected leader with recognitions and credibility



Venkatkrishnan G

EVP-Internal Audit & Risk Advisory

- Chartered Accountant, CISA. ISO 27001 Certified
- More than 25 plus 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.



Saswata Banerjee

EVP – Legal Compliance

- B.Com LLB, FCMA, DISA, MBA Fin, ISO27001 and ISO45001 certified
- Experienced of 26 years in the Internal Audit & Business Consulting
- Worked in Legal Compliance Gap Analysis & Audits, Costing & Profitability, Process & Controls Internal audit of a large number of large companies as well as SMEs.
- Exposure in Retail, Pharma, Chemicals, Textiles, Real Estate & Infrastructure, Educational Institutions, Shipping & Logistics and Petrochemical Industries.

vivek.dixit@riskpro.in 88066 73322





vikas.gupta@riskpro.in 7838368526





venkat.g@riskpro.in 9731775000



saswata.banerjee@riskpro.in 9821084313







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.



Sucheta V. Upendra

Senior Vice President -**Information Security**

- MCA, CISA CRISC, CDPSE
- **PCI-DSS QSA**
- ISO 27001 and ISO 27701 LA
- DCPLA (DSCI Certified Privacy Lead Assessor)
- GRC professional with over 25 years of experience in the IT sector.
- Experience in consultancy and audits for various information security and data privacy standards.
- Worked for leading firms such as TCS, Siemens, and Cerner.



Ritu Thakkar

SVP – Information Security

- Around 20+ years of experience as an Implementer, Lead, Executor, Trainer, Information Security Auditor and IT Compliance in ISMS.
- Experience in SOC 2, ISAE 3402, ERM, Business Continuity, ITIL, GDPR, HIPAA, Enterprise Risk Management, Cloud Security, ITGC, Quality Management, Lean, QAI, Process Implementation, IT Operations, CMMI, Agile and Software Development Lifecycle (SDLC), Threat Intelligence, Data Protection and Compliance Management.
- Certified LA/LI ISO/IEC 27001, Certified ISO/IEC 27001 Information Security Associate, ISO/IEC 20000 IT Service Management Associate, Certified Project Management Essentials, Certified Foundations of Business and Entrepreneurship, Certified Lead Auditor ISO/IEC 9001, 14001, Certified ITIL, CEH, Certified Six Sigma White Belt, Green Belt, Black Belt.
- · Company worked Riskpro India, Vakrangee Limited, Network Solutions - An IBM Company, CMS Computers, Ministry of Defence (MoD).
- Winner of Datacenter Summit & Awards under the category Risk Management, Bronze in the 13th Annual IT World Award in Women IT Category, World Award Information Security Awareness Program Excellence Awards (MediaPro), Info Sec Speaker for CISO Platform. Judge for Golden Bridge Awards, DG Award.



Natarajan Mohan

SVP – Risk Advisory

- ACMA, CISA, DCPLA, ISO 27001:2013 LA, PMP, CSM
- Over 27+ Years of varied experience in Internal Audit, Risk Management, Regulatory and Compliance audit, Management, **Project** Cost Management and PMO.
- Expertise in SSAE 21 (SOC) audits and consulting, ITGC, ISMS audits, internal audit, privacy & security risk assessment.
- Worked for leading companies like Sundaram Finance, Satyam Computers, Cognizant, Hexaware & Tech Mahindra.

nitesh.shanbhag@riskpro in 98203 64288

sucheta.upendra@riskpro.in 98456 48521





ritu.thakkar@riskpro.in 98206 59207





natarajan.mohan@riskpro.in 97909 21820









Nehal Mapara

SVP – Information Security

- Chartered Accountant, ISO 27001 Lead Auditor
- 22 years of post qualification experience in internal audits, risk assessments, process enhancements, ISO 9001 & 27001 audits, compliances, commercial reviews, GDPR implementation and audits and SOC 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.



Poonam Khandwani

VP – Risk Advisory

- FCA,LLB, Certified Forensic & Concurrent auditor ,with over 17 years of professional experience.
- Experience in Internal Audit, Statutory Audit, Risk based audits, ICFR reviews, SOX compliances, SSAE audits, 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,, Software development ,BPO etc



Pragya Pranati

VP-Risk Advisory

- Chartered Accountant, ISA (ICAI) MBA (Finance), ISO 27001, M.Com,
- She has over 16 years of experience with a mix of both corporate and consultancy.
- She has worked previously with Barclays (Pune) , Flextronics Technologies P. Ltd (Chennai/Pune), Exl Services P Ltd. (Noida)
- Her professional experience includes, ITGC compliance and review, SOP, internal audit, Application access management and Role management, Implementation of GRC Tool which includes preparation of functional specification, conducting UAT, training to WW stake holders and Go-live management



Anita Balasubramanian

VP – 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 16 plus 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.

nehal.mapara@riskpro.in 9819184351



988°

poonam.khandwani@riskpro in 9881716511 pragya.pranati@riskpro.in 9677022331





anita.balasubramanian@riskpro.in 7550005736







Niveditha Hampiholi

AVP - Risk and Compliance

- MBA (Finance) | DSCI Certified Privacy Lead Assessor (DCPLA) | ISO 27001:2022 Lead Auditor
- She has over 18+ 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.



Shalini Gundu

AVP – IT Risk Advisory

- Bachelor of Accounting and Finance (B.A.F.)
- Certified Lead auditor for ISO 27001: 2022 and ISO 9001:2008, Certified Six Sigma Green Belt and ITIL Professional.
- She has more than 13 years of experience in External Audit, consulting and implementation for SSAE 21 and ISAE 3402. Internal audit for SSAE 16 and 18, ISAE 3402, ISMS, Integrated audits, QMS and CMMI.
- She has worked with firms like Softtek India Pvt Ltd, eClerx India Pvt Ltd, WNS Global Services, Intellinet Global services etc



Vinaya Punekar

Information Security Consultant

- Chartered Accountant and Certified Information Systems Auditor (CISA), ISO 27001 – LA, CCSK
- Vinaya has 23+ years of post qualification experience in
- SOC1, SOC2 audit/ readiness assessments/implementation
- ISMS implementation, audits
- ITGC/ ITSoX / IFC testing, Internal Audit
- She has worked with Big4 and other consulting forms.
- She has also worked across industries such as Software, Manufacturing, Power and Telecommunications.



Sonakshi Sinha

Senior Manager – Data Privacy and Legal

- Legal professional with years of experience in the domain of data privacy, risk advisory and legal advisory.
- Implementation and Audits, Data Privacy Implementation and Audits, Data Privacy Impact Assessment, Operations/ Process reviews, Data Protection Training and awareness for various data privacy regulation around the globe.
- She has handled multiple roles over the years.

niveditha.hampiholi@riskpro.in 99001 00827



shalini.gundu@riskpro.in 77385 88488





vinaya.punekar@riskpro.in 98901 09188



sonakshi.sinha@riskpro.in 8850849651







Key Contacts

Corporate	Mumbai	Mumbai	Pune
Riskpro India Ventures (P) Limited info@riskpro.in www.riskpro.in	Manoj Jain Director M- 98337 67114 manoj.jain@riskpro.in	Laxmikant Gupta Principal M- 98330 00436 laxmikant.gupta@riskpro.in	Vivek Dixit EVP- Risk and Governance 880 667 3322 vivek.dixit@riskpro.in
B-44, Glaxo Building, Near Mt. Mary's Steps Bandra West, Mumbai 400050	Rita Shewakramani EVP - Risk Advisory M- 98204 85504 rita.s@riskpro.in	Ashok Agarwal EVP - IT Risk Advisory M- 9619922010 ashok.agarwal@riskpro.in	Mayur Satpute Assistant Manager -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	Venkatakrishnan G. EVP – Internal Audit & Risk Advisory M- 9731775000 venkat.g@riskpro.in	Raghvendra Mishra AVP – Business Development M-98184 50423 raghvendra.mishra@riskpro.in Mayur Satpute Assistant Manager -Sales and Marketing M-80802 04742 mayur.satpute@riskpro.in	Raghvendra Mishra AVP – Business Development M-98184 50423 raghvendra.mishra@riskpro.in Mayur Satpute Assistant Manager -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	Manoj Jain Director M- 98337 67114 manoj.jain@riskpro.in	Sonali Thakur Assistant Manager – 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.
VP – IT Risk Advisory M- 7550005736 anita.balasubramanian@riskpro.in	Sonali Thakur Assistant Manager – Sales & Marketing M-70047 74682 sonali.thakur@riskpro.in	40	

