

RISKPRO INDIA

Internal Financial Controls



950+ Happy Clients

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

What are Internal Financial Controls

- The Companies Act 2013 requires to comment on whether the company has adequate internal financial controls system in place and operating effectiveness for such controls in -
 - ✓ Directors report for listed companies, including public companies with paid up capital of INR25 crores or more,
 - ✓ Auditors report for all companies
- For this purpose, the term 'internal financial controls' means,
 - ✓ the policies and procedures adopted by the company ensures orderly and efficient conduct of its business,
 - ✓ including adherence to company's policies,
 - ✓ safeguarding of its assets,
 - prevention and detection of frauds and errors,
 - accuracy and completeness of the accounting records,
 - timely preparation of reliable financial information.
- As per Section 177 of the 2013 Companies Act, the Audit Committee is required to evaluate the internal financial controls and risk management systems in the Company

IFC and the Law

Sec 134 (5) (e)

• Directors' Responsibility to state that they have laid down ICS to be followed by the company and such controls are adequate and operating effectively

Sec 177 (4) (vii)

• Audit committee to evaluate internal financial control and risk management systems

CFO – Clause 49 of listing agreement

 Accept responsibility for establishing and maintaining IC for FR and that they have evaluated the effectiveness of ICS of the company

Sec 143 (3) (i) & Sec 143 (12)

 The auditor's report shall also state whether the company has adequate internal financial control system in place and the operating effectiveness of such control

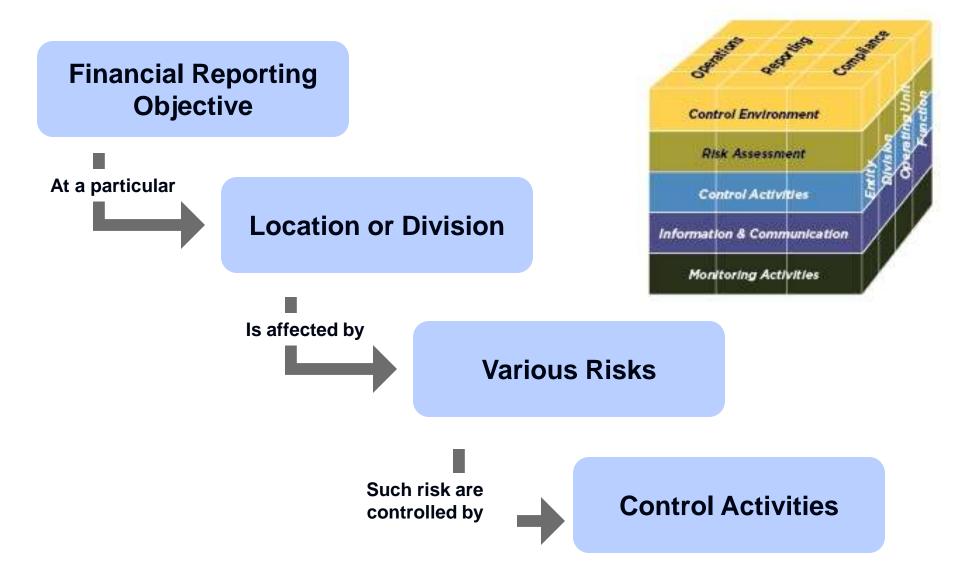
Schedule IV

• The independent directors should satisfy themselves on the integrity of financial information and ensure that financial controls and systems of risk management are robust and defensible.

Internal Financial Control Library Format

Format Section	Data Fields
Mapping	Business Function
	Main Business Process
	Sub Process / Activity
	IFC over Financial Reporting / Operational IFC
Control Description	Control Objectives
	Existing Control at the Company
	Key / Non Key
	Mapping to control assertions
	Sample Test plan to test internal control

Using COSO Framework for IFC



Internal Controls - Project Overview

Policy Process Documentation

- Review all material policy process documents
- Design of processes where there is a deficiency
- Inventory of SOPs

Design and Implementation of IFC

- Inventory of key controls across Financial Reporting cycles
- Development of Test Plans

Testing of Internal Controls

- Test of Key Controls
- Remediation and recommendations for control gaps

How Riskpro can help

Develop Internal Control Framework

- COSO 2013 Internal Control Framework
- Gap Analysis and adequacy of internal control documentation
- Process notes, process flows to meet guidelines

Develop Repository of key Internal Controls

- Internal Controls over Financial Reporting
- Other Operational level Internal Controls

Testing Of Internal Controls

- Assessment of the operating effectiveness of the internal controls
- Remediation of internal control gaps

Repository of Internal Financial Controls

- Excel based database of Key Internal Controls for various types of entities across various industries.
- Just get this database and build upon/customise your entity specific controls
- Saves you a lot of efforts to think through what key controls are usually present in a typical process.
- Savings of atleast 5-7 days of your staff efforts.

Case Study - Eureka Forbes IFC

Company Objectives

- Build a comprehensive Internal Financial Control framework
- Define robust policy and procedures
- Identify top IFC risks for the company across business verticals
- Define IT Controls for various processes in each vertical

Methodology

- Develop Risk Control Matrix according to best practices for various processes
- Review and develop robust Standard Operating Procedures
- Develop ITGC Controls Matrix across the various processes to identify risks
- Develop Entity Level Controls (ELC) across various Governance processes

Challenges

- Multiple business units with similar products but different market strategies
- Stakeholders included people from top, middle and low level management spread across locations
- Prioritizing risks amongst different levels of stake holders and business units with one objective but different strategies

Case Study - Alkem Laboratories IFC

Company Objectives

- Build a comprehensive IFC Risk Management framework prior to Listing
- Define Robust Standard Operating Procedures from scratch
- Identify IFC risks for the company across business verticals
- Define mitigation strategies for the risks to meet statutory requirements

Methodology

- Develop Risk Control Matrix according to best practices for various processes
- Develop robust Standard Operating Procedures from scratch
- Develop ITGC Controls Matrix across the various processes to identify risks
- Develop Entity Level Controls (ELC) across various Governance processes

Challenges

- Multiple business units spread across locations in India
- Multiple business units having its own unique market, product and R&D challenges
- Prioritizing top IFC risks for the company encompassing all verticals

Riskpro Experience: Sarbanes Oxley (SOX), IFC, ERM and Internal Audits

Client Name	Project Name	Project Description
Eureka Forbes Limited	IFC and SOPs	Documentation of Risks and SOPs – Payroll, Fixed Assets, Procure to Pay, Order to Cash, Financial Close Process, Inventory, ITGC, Entity Level Controls
Onsite Go	IFC and SOPs	Documentation of Risks and SOPs – Finance and Accounts, Operations and Sales
ING Vysya Bank, India	Key Risk Indicators (ORM Advisory)	Implementation of Key Risk Indicators as part of KRI Library
Commercial Bank of Dubai	KRI Library	Providing KRI Library to the Bank for enhancing its Operational Risk Management Framework
Kotak Mahindra Bank Limited, India	Enterprise Risk Management	Building Enterprise Risk Management (ERM) models using COSO and other leading frameworks. Performing gap analysis for determining current ERM efforts and required ERM goals. Documentation of various risk factors as Risk guidelines and defining Reporting framework for single view, aggregated exposure reporting.
Mphasis Ltd	ERM Benchmarking	Aligned the company's existing ERM framework to ISO 31000 and COSO ERM so that the company had good industry practices.
IFCI Factors Ltd, India	Corporate Fraud Risk Management	Provided wide ranging training on corporate frauds, Industry types, business impact and mitigation strategies to risk, business & operations senior management. A public undertaking company into factoring services
Al Masraf , Abu Dhabi	Basel II Implementation	Complete implementation of Basel II Advisory including credit risk market risk and operational risk,

^(*) Experience of team members during previous employments

Riskpro Experience: Sarbanes Oxley (SOX), IFC, ERM and Internal Audits

Client Name	Project Name	Project Description
TechnipFMC	SOX Walkthrough & Control Design Documentation	Documentation of Treasury, Sales, Financial Closure Process, Project Management, Tax, Procurement, Payroll, Subcontracting etc
Alkem Laboratories Limited	SOP, Internal Financial Control and Risk Management	Development of IFC Framework, development of processes and policies for the Company for compliance with IFC and Companies Act with respect to risk and internal controls
Future Consumer Enterprise Limited (*)	Risk Based Internal Audit (RBIA)	Procure to Pay, Vendor Development, Order to Cash, Discounts/ Schemes, Inventory & Warehousing, Logistics, Distribution, Category Management, Statutory Compliances etc
Tata Reality (*)	Risk Based Internal Audit (RBIA)	Procurement Mechanism, Vendor Payments, Revenue Agreements & Bookings, Finance and Accounts, Statutory Payments, Insurance, HR and Payroll, Fixed Assets and CWIP, Site Visit for verification of cash, Expenses incurred at site and Revenue booking etc.
Rama Newsprint (*)	Risk Based Internal Audit (RBIA)	Waste Paper and Coal Handling at the Mill, Coal Procurement at HO, Waste Paper procurement at HO, Human Resources, Finance and Accounts, Application review of applications at Plant and HO, Statutory Compliances, Sales and Marketing, Warehouse, Logistics., Production and processes.
CMS Group of Companies (*)	Risk Based Internal Audit (RBIA)	RBIA of various businesses: - E-governance, CMS Institute - Training, Field Engineering - AMC/ FMS, Printing and Card Personalization, Systime Computers (Software Company), CMS Securitas Ltd (Cash Management Services), Kaycee Industries Limited (Manufacturing Company), CMS Traffic Systems Ltd. (Road Traffic Signal Systems).

^(*) Experience of team members during previous employments

Riskpro Experience: Sarbanes Oxley (SOX), IFC, ERM and Internal Audits

Client Name	Project Name	Project Description
Kamarajar Port Limited	Enterprise Risk Management	Comprehensive Enterprise Risk Management Framework for the Port. Identification of key risks, development of Risk Registers and Risk Policy. Awarded contract after bidding as per Government Tender rules
SKS Ispat Limited	Development of Corporate Governance and Risk Policy	Developed Risk Policy, Corporate Governance Manual, Accounting Policy, Anti Bribery policies etc as per Company's Listing on London Stock Exchange
Himatsingka Siede	Enterprise Risk Management as per Sec 134 (5)	Complete development of ERM Framework for a large listed company. Risk Register and Risk Mitigation plans
Just Buy Live	Enterprise Risk Management and SOP	Complete development of ERM Framework for a large E Commerce Company
Tilak Nagar Industries	IFC and SOP	Development of IFC Framework, development of processes and policies for the Company for compliance with IFC and Companies Act with respect to risk and internal controls
TATA Motors, India	ERM Training	Provided comprehensive Enterprise Risk Management Training to senior Management of TATA Motors, World's leading automotive company
Kotak Mahindra Bank		Building Enterprise Risk Management (ERM) models using COSO and other leading frameworks.
Limited, India	Enterprise Risk Management	Performing gap analysis for determining current ERM efforts and required ERM goals. Documentation of various risk factors as Risk guidelines and defining Reporting framework for single view, aggregated exposure reporting.

^(*) Experience of team members during previous employments

Sample List of Policies that apply to a company

Risk Management and Internal Controls

- Risk Management Policy (Excludes risk identification/risk registers)
- Internal Audit Manual
- > ITGC Controls / IT Manual Covering key areas

Operational and Functional Policies

- Procurement Policy
- Human Resources Manual and Procedures / Payroll
- Marketing Sales / Logistics / Supply Chain

Production, Factories and Depot

- Stores/ Inventory Policies
- Dispatch Procedures
- Production Planning
- Depot Procedures
- Production Procedures
- Quality Procedures and Manual

Accounting and Finance

- Accounting Manual
- Finance Policies / Investment Policy
- Fixed Assets / Capex Policy
- Delegation Matrix

21

Key Project Deliverables



Some of Our Risk Advisory Clients

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 Pehchasan	PICICI PRUDENTIAL
TATA TATA ELECTRONICS	⊕ GIA'	marlabs driving digital ogility	allcargo logistics ltd.	منگیند MULKIA INVESTMENT	IndiaFirst
TATA STEEL	SS The Seksaria Group	MILES SOFTWARE FINANCIAL SERVICES TECHNOLOGY REDEFINED	FERTILITY & INF CENTRE	سيدرة المالية Sidra _{Capital}	NATIONAL LIFE & GENERAL INTERNANCE OCURRENCES OF THE STREET OCURRENCES
enel	INDIA	TECHNO BRAIN Empowering Lives	(ONSITE GO)	Circuit Place White State Stat	RELIANCE NIPPON LIFE INSURANCE
1 0		V.			











Some of Our BFSI Clients

Banking	Banking	Insurance	International	International	Others
WELLS FARGO	SvcBANK	AVIVA	OCEANIC	CIBEM John To Prince Landing, Hone to lace Management a backeraged Energy of Prince Land Landing Land a backeraged Energy of Prince Land Landing Landing	Cigna KK
YES BANK	DCB BANK	Universal Sompo General Insurance Co. Ltd.	Skye Bank	لىبدرة المالية Sidra capital	AND THE STATE OF THE PARTY OF THE STATE OF T
AXIS BANK	Bank of Baroda	IndiaFirst LIFE INSURANCE	المصروت AL MASRAF	excelledia°	Fis
Standard Schartered	FEDERAL BANK	Star Union Dai-ichi LIFE INSURANCE	عنگية MULKIA INVESTMENT	₩ QNB	
इंडियन बॅंक 🐼 Indian Bank 🛕 इसाहाक्ट्र सामाना	Saraswat Bank Saraswat Co-operative Bank Ltd.	SBI Life INSURANCE With Us. You're Sure	بنك دبي النجساري Commercial Bank of Dubai		
रोज्टूल बैंक आफ इंडिया Central Bank of India	(North East Small Finance Bank	SBIGeneral INSURANCE	البنث السعودي الفرنسس Banque Saudi Fransi	And	Many
GP PARSIK BANK Gopinath Patil Parsik Janata Sahakari Bank Ltd. Bananad hasi	janalakshmi	ENA EAST WEST ASSIST TPA	الأول Alawval الاستثمار ۱۹۷۴	More	Clients
बँक आँफ महाराष्ट्र Bank of Maharashtra क्षा कुडूब क्षा बैंड	ING ಖ	PRUDENTIAL	National Sank 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)D)/
MindTickle.	regalix	<> resilinc	protiviti* Global Business Consulting		And Ma lore Cli	
CleverTap	<u>h</u> ackerearth	XOPA:	🔀 Lakeba	IV		CIIIS

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	MILES SOFTWARE	eNoah Your Trusted Partner	Croesching Penn Kerry Aughs	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. Business & Technology Empowered	coditas	MAXVAL	> RWS	SOLIX*
STARTEK	integreon	We believe in relations, Business follows,	≺lentra	OptiSol Solutions Services	DROISYS	DISQO
Pusiness-friendly Solutions	BRISTLECONE	BrowserStack	emudhra	merilytics	O AITHENT	© NextSphere lactrologies

Some of Our SSAE Clients

Software	Software	Consulting	Others	Others
# quenliphi	eka Smart Commodity Management	KPMG	HEALTHCARE SERVICES	Paramount Health New First or gent Annals
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
In 21T 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	Pelatis Rigas	Portescap	inFeedo	MachBizz Maria Ray Carent and Datases
MPS	CleverTap	CONFIANCE			
EMIDS	S GAMES 24	BARRIER BREAK creating a limit less future		And Mai	1 V
Advent Modal	Sakon			Iore Clie	
SG Analytics	SILVERLINK TECHNOLOGIES AN IT SERVICE PROVIDER				

Some of Our HIPAA Clients

IT Services	IT Services	IT Services	Software	Others
Hexaware	emudhra Trust Delivered	Ace	VISTAAR*	GLOCAL
ienergizer	MindTickle.*	ALQIMI	sync	Equalize RCM
ıncedo	concerto	∳iMerit	<u>©</u> voiceoc	PURPLE KPO
✓ INNOVACCER	intellitech	🔐 appypie	CloudCodes [™]	□ GoSource
SUMA	Scogito	GenomeSmart*		
CleverTap	mirketa Think .Build .Transform	GLOBAL 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 📵	EQUILOR Small Finance Bank	SHRIRAM Transport Finence Company Limited A WINNING RELATIONSHIP	<i>Mankind⊪</i>	○ Grant Thornton
ArcelorMittal	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 Chartered Accountants
Ashok Leyland	LT Foods	AVIVA	MPS	Muthoot Homefin	Akums	Walker Chandiok & Co LLP
vinmar	kisan konnect	Polació dicad de cupació dicidad la polació dicad de cupación de c	eNoah Your Trusted Partner	JAGARAN		
RALLIS INDIA LIMITED A TATA Enterprise	STERLING & WILSON	OICICI PRUDENTIAL	adani Ports and Logistics			
PG P	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 - Reprint Customent				
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.

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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.

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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, Cost Management, Project 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.

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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.

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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).
- also has specialization in operational risk, Sarbanes Oxley and Internal Controls.
- prior experience with has Northern Trust, Ocwen Financial Services & ADC Telecommunications Inc.



Shalini Gundu

AVP – IT Risk Advisory

- Bachelor of Accounting 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

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

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