

2024

Risk · Pro

Connecting Risk Professionals

RISKPRO INDIA

Legal Compliance Audit



Risk Advisory IT Risk Advisory GRC Technology Training Recruitment

www.riskpro.in | info@riskpro.in

950+
Happy Clients

Riskpro's Overview



12+ years of business



950+ Clients



7+ Cities



90+ Team Members



10+ Strategic Partners



500+ Cities
Associate Firm Representation



Our growth story is continuous.

Riskpro Clients & Partners Presence



Our Service Verticals

A hand in a white shirt cuff is pointing towards a futuristic digital interface. The interface features various gears, circular data visualizations, and a network of nodes connected by lines. The background is a light blue gradient with a subtle pattern of gears and nodes.

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
- DCPD (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





You need to find a balance between RISK and REWARD

Why Legal Compliance is Required?

Companies Act, 2013

- ❖ **Sec 205(1)(a)** – Company secretary should report to the Board about compliance with the provisions of all laws applicable to the company. (In order to do that, he needs to have a proper compliance system. Compliance audits help ensure that)
- ❖ **Sec 134(5)(f)** - In the Director's Report included in annual report to shareholders, a declaration needs to be given that directors had devised a proper systems to ensure compliance with the provisions of all applicable laws and that such systems were adequate and operating effectively. The clause states that the Board shall periodically review reports prepared and steps initiated to rectify instances of non-compliance under all laws applicable to the company.

SEBI LODR Regulations, 2018

- ❖ **Regulation 4(f)(ii)(7)** - Responsibility of Board of directors - Ensuring the integrity of the listed entity's accounting and financial reporting systems, including the independent audit, and that appropriate systems of control are in place, in particular, systems for risk management, financial and operational control, and compliance with the law and relevant standards.
- ❖ **Regulation 17(3)** - Board shall periodically review compliance reports pertaining to all laws as well as steps taken to rectify instances of non-compliances.
- ❖ **Regulation 67(2)** - The listed entity shall comply, at all times, with the rules / regulations / laws of the country of origin

Reasons for conducting a Legal Compliance Audit

Risk of Loss of Reputation from prosecution

Risk of Disruption in Operations

Increased vigilance by activists, unions and government officials

Requirement of compliance with local laws by foreign partners / importers

Being a good employer and corporate citizen

Penalties Under Various Acts

- ❖ Penalties of different types have been defined in various Acts such as Factories Act for non-compliance to regulatory requirements.
- ❖ Some of these penalties are money in nature and some include criminal liabilities such as imprisonment.
- ❖ In most Acts, the person who is liable for the penalty is an occupier or one who is in charge of the business and this person has to be a member of the Board who will take responsibility for compliance to regulations.

Penalty as per Sec 134 (8) for non-compliance under Companies Act, 2013

For the Company:

- ❖ Fine ranging from Rs. 50,000 – Rs. 25 lakhs for every Officer in Default (which could mean all Directors and Key Managerial Personnel)

For mis-statement or suppression of fact in the Directors Report (part of Annual Report):

For every defaulting officer of the company who signs the Directors Report

- ❖ Imprisonment upto 3 years OR
- ❖ Fine ranging from Rs. 50,000 – Rs. 5 lakhs or both

For deliberate misstatement in the Directors Report (considered as fraud)

- ❖ Directors can be debarred from holding position of director in any company for 5 years.

Legal Compliance Audits - Objectives



To identify the level of compliance of an organisation

Identify the compliance risk

Enable management to take steps to make the organisation compliant with laws and regulations

Educate stakeholders on the importance and benefits

Riskpro's Legal and Compliance Audit

Identification of Regulatory scope and laws that apply to Company

Location Visit (Main Location, Other sites) and/or Telephonic audits/reviews

Interviews and discussions with Management

Issue of Audit Report

Follow up and remediation by Management



Compliance Audit Deliverables

Report outlining Non-Compliances and their levels

Risks associated with the above

Compliance Checklist and Calendars

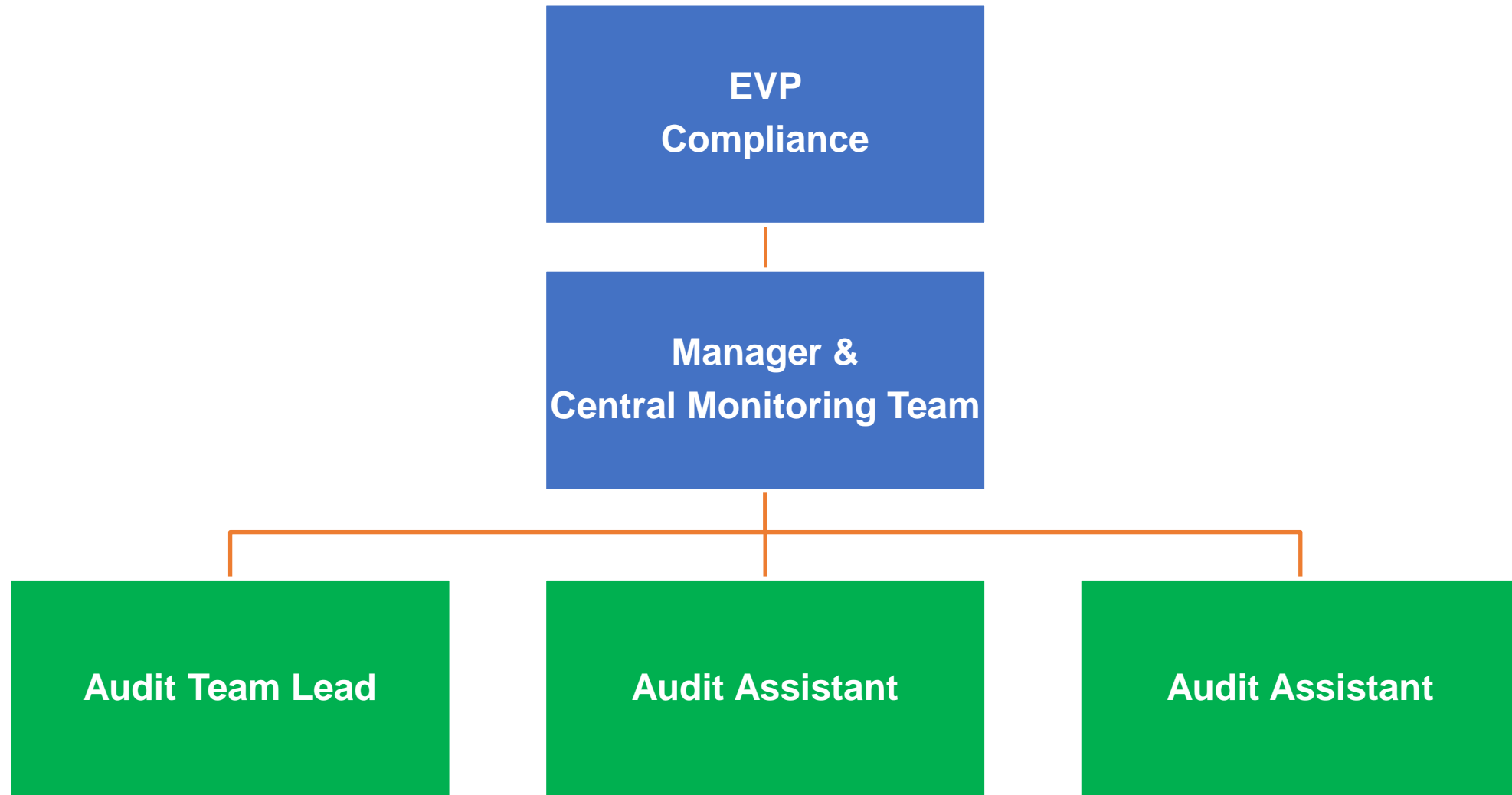
Standard Operating Procedures related to Compliance

Compliance Management Software

Assessment Rating for improvement during future assessments



Audit Team



Why choose Riskpro for Legal Compliance Audits & Services?

- ❖ Riskpro India offers Legal and Compliance Audits, Legal Risk Management, Legal Compliance Management Software and related advisory to our clients
- ❖ We have offered our Legal Compliance related services to clients across various industries like manufacturing, retail sector, technology among others.
- ❖ In addition, we have been working on Risk Management functions for both small, mid-sized and large clients partnering with them to meet their compliance requirements.

Reliable & Quality Services

Ongoing & Updated

Comprehensive Reviews

OUR AREAS OF EXPERTISE

- ❖ Internal, Management and Revenue Audits
- ❖ Retail and Store Audits
- ❖ Legal Compliance Audits
- ❖ Contract Management
- ❖ Design and Implementation of Standard Operating Processes (SOP)
- ❖ Assistance in implementing ERP
- ❖ Business advise for owners and professional management on strategy, policy, growth plans, profitability and related matters
- ❖ Industry, Market and Techno-Economic Feasibility Studies
- ❖ Investment Appraisal and Project Evaluation

Scope : Acts generally covered for Audits

Human Resources (HR) Related Acts

Act Name
The Factories Act, 1948
The Payment of Wages Act, 1936
The Minimum Wages Act, 1948
The Equal Remuneration Act, 1976
The Industrial Employment (Standing Orders) Act, 1946
The Payment of Bonus Act, 1965
The Employees Provident Fund and Misc Provisions Act, 1952
The Contract Labour (Regulation and Abolition) Act, 1970
The Employees Compensation Act, 1923
Sexual Harassment of Women at Workplace (Prevention, Prohibition & Redressal) Act, 2013
Local Labour Welfare Acts (State acts)
Local Shops & Establishment Acts (State acts)
The Maternity Benefits Act, 1961
The Payment of Gratuity Act, 1972

Scope : Acts generally covered for Audits

Human Resources (HR) Related Acts

Act Name
The Employees State Insurance Act, 1948
The Apprentices Act, 1961
The Employment Exchanges (Compulsory Notification of Vacancies Act), 1959
The Private Security Agencies Regulation Act, 2005
The Trade Unions Act, 1926
The Industrial Disputes Act, 1947
The Sales Promotion Employees (Condition of Service) Act, 1976
The Inter-State Migrant Workmen (Regulation of Employment and Conditions of Service) Act, 1979
The Building And Other Construction Workers (Regulation of Employment And Conditions of Service) Act, 1996
The Bonded Labour System (Abolition) Act, 1976
The Child Labour (Prohibition & Regulation) Act, 1986
The Children (Pledging of Labour) Act, 1933
The National and Festival Holidays Act (Relevant State Acts)
Profession Tax Regulations (for each state)

Scope : Acts generally covered for Audits

Environmental & Engineering Related Acts

Act Name
The Environment Protection Act, 1996
The Water Pollution Act, 1974
The Water Cess Act, 1977
The Air Pollution Control Act, 1981
The Indian Electricity Act, 2003
The Petroleum Act, 1934
The Indian Boilers Act, 1923
Explosives Act, 1884
Hazardous Waste Management Rules, 2008
The Motor Vehicles Act, 1988

Act Name
Legal Metrology Act, 2009
The Foreign Trade (Development and Regulation) Act, 1992
The Export (Quality Control and Inspection) Act, 1963
Poison Act, 1919;
The Inflammable Substances Act, 1952;
Public Liability Insurance Act, 1991;
Employers Liability Act, 1938
Industrial establishments (National & Festival Holidays) Act (State level acts, where they apply)
Payment of Subsistence Allowance Act (state acts)

Miscellaneous Acts

Act Name
Profession Tax of company and employees
Negotiable Instruments Act, 1881
Information Technology Act, 2000
GST (Major compliance requirements only)

Act Name
Company Laws & SEBI Regulations
FEMA Regulations
Income Tax Act
Industry Specific regulations

Service Offerings for Legal Compliance Audits



One-time Legal Compliance Audit / Assessment

Yearly or Half Yearly Compliance audits / review

Monthly remote monitoring of Compliances

Legal Compliance Due Diligence before Acquisition

Trainings on Legal Compliance Awareness

Regular updates on Compliance Requirements

Combination of audit and periodic monitoring

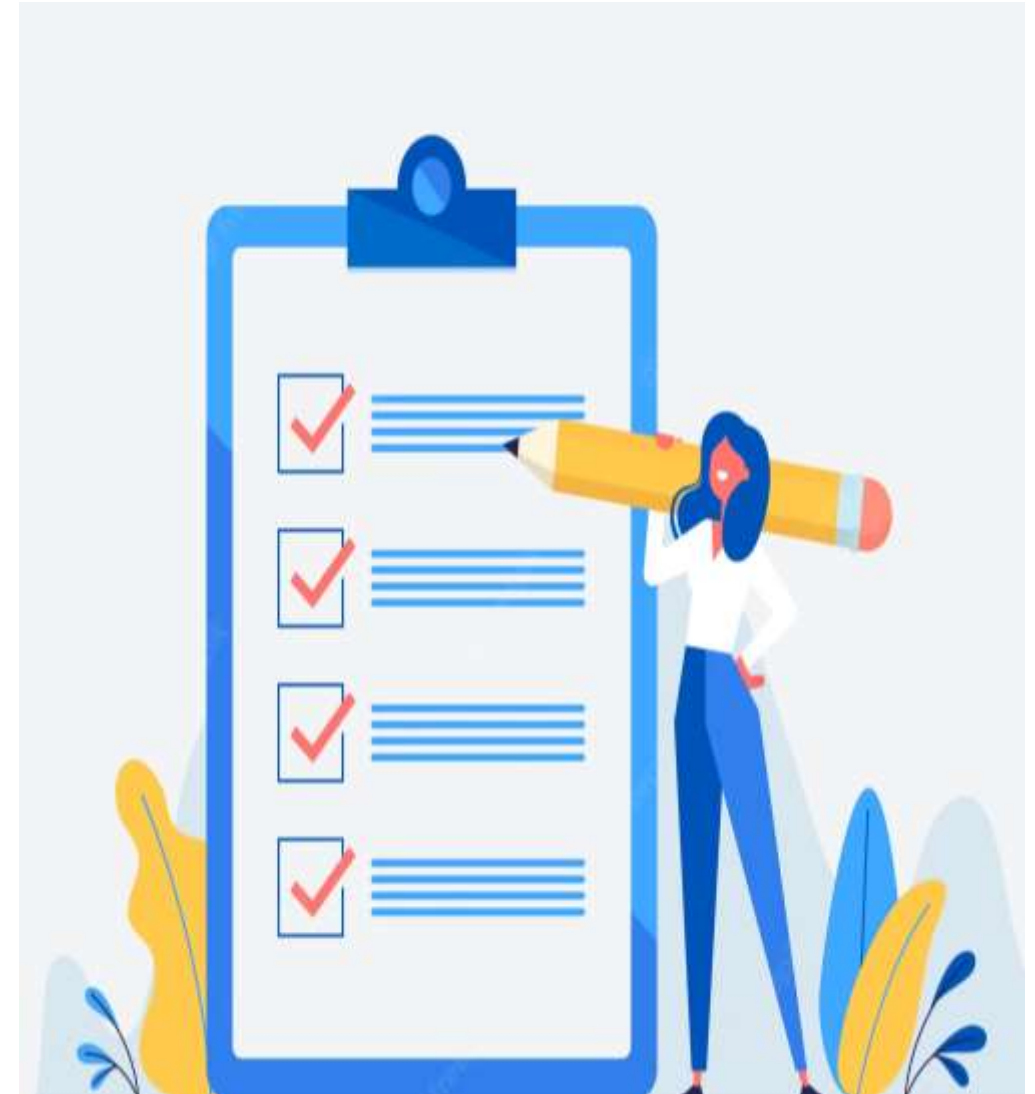


Legal Compliance Audits Requirements & Commercials

Your Requirements

Based on our discussions, the following are your requirements:

- ❖ Legal Compliance Audits of 14 manufacturing sites
- ❖ One time, low cost assessment of your 140+ office locations
- ❖ Remote monitoring of sites
- ❖ Legal Compliance Training at your manufacturing sites and sales offices.
- ❖ Compliance and Business Ethics Trainings to senior management



OVERVIEW

India's Compliance Requirements are Complex & Time Consuming

- ❖ In India, the regulatory climate is ever changing. Every year, there are about 3,000 changes to these compliances.
- ❖ Many of these changes have an impact on an organization's compliance duties.
- ❖ The Companies Act of 2013 added provisions for criminal prosecution and prison time for directors and KMPs. Directors must design a system to guarantee compliance with all relevant regulations and make sure it is sufficient and functional.
- ❖ Additionally, SEBI Listing Regulation mandates that the Board should routinely



OVERVIEW

- ❖ Due to the very ad-hoc, paper-based, and human-reliant nature of their operations, Indian companies now struggle to deliver the assurance.
- ❖ To plan, manage, monitor, and report Compliance Assurance, companies require external expertise.
- ❖ This places a great deal of responsibility on compliance officers to handle their obligations under the law and make sure that the company complies with them.



Challenges in Compliance

COMPLEX COMPLIANCE ENVIRONMENT

- Too many Applicable Act / Compliances for the organisation and Vendors

RESOURCES

- Scarcity of resources working on compliance planning, management & execution

EXPERTISE

- Niche expertise required to manage the nuances complex compliances

EVER CHANGING

- Frequent Regulatory Changes leading to additional compliance requirements

STATUTORY REQUIREMENT

Companies Act

- ❖ **Sec 134(5)(f)**:- Directors to devise system for adherence with all applicable Compliances and ensure that system is adequate and operate effectively.
- ❖ **Sec 92(2) & 204**:- Requirement of a Compliance Certificate / Secretarial Audit form a practicing Company Secretary

Listing Regulation

- ❖ **Reg 4(1)(g)**- Entity to ensure adherence with all applicable laws including Securities laws
- ❖ **Reg 17(3)**: Board shall periodically review the Compliance Reports covering all applicable laws along with the steps taken to rectify non-compliance

OUR OFFERING

Periodic & One-time Reviews

- ❖ Comprehensive understanding of the client's business
- ❖ Detailed assessment of acts and compliances
- ❖ Finalization of list of Acts and Compliances applicable to the client

Vendor Audit

- ❖ Assisting in creation of a comprehensive Compliance Framework for vendors
- ❖ Detailed review of applicable compliances for vendors
- ❖ Regular monitoring and reporting of compliance status of vendors



SCOPE OF WORK AND REVIEW COVERAGE

1

- **Reviewing List of Applicable Laws basis client's sector**

2

- **Reviewing the list of locations including corporate offices and other sub entities**

3

- **Checking compliances as per client's requirements for frequency of review**

ASSIGNMENT APPROACH

1

Scope & Business Understanding

- ❖ Sharing of business understanding questionnaire
- ❖ Detailed discussions with Business Head to understand business operations and key processes
- ❖ Documenting detailed understanding of the business

2

Compliance Applicability Review

- ❖ Analysis of information Sought and Clarification
- ❖ Review of Compliance Applicability
- ❖ Preparation draft Compliance List

3

Preliminary Document Requirement

- ❖ Based on the draft listing, we will provide a “Preliminary document requirement list” for review.
- ❖ Prefer to get the soft copies if feasible, upfront to reduce the on-site audit time

4

Location Visit and Draft report Discussion

- ❖ Audit Team will visit the location
- ❖ Team will do a detailed review leading to Correctness, timeliness and Completion of compliance requirement.
- ❖ “Gap Report” highlighting non-compliances, related root causes & proactive Draft Audit report will be prepared.
- ❖ The draft will be discussed with the location team and management responses will be updated

5

Finalization of Draft Report

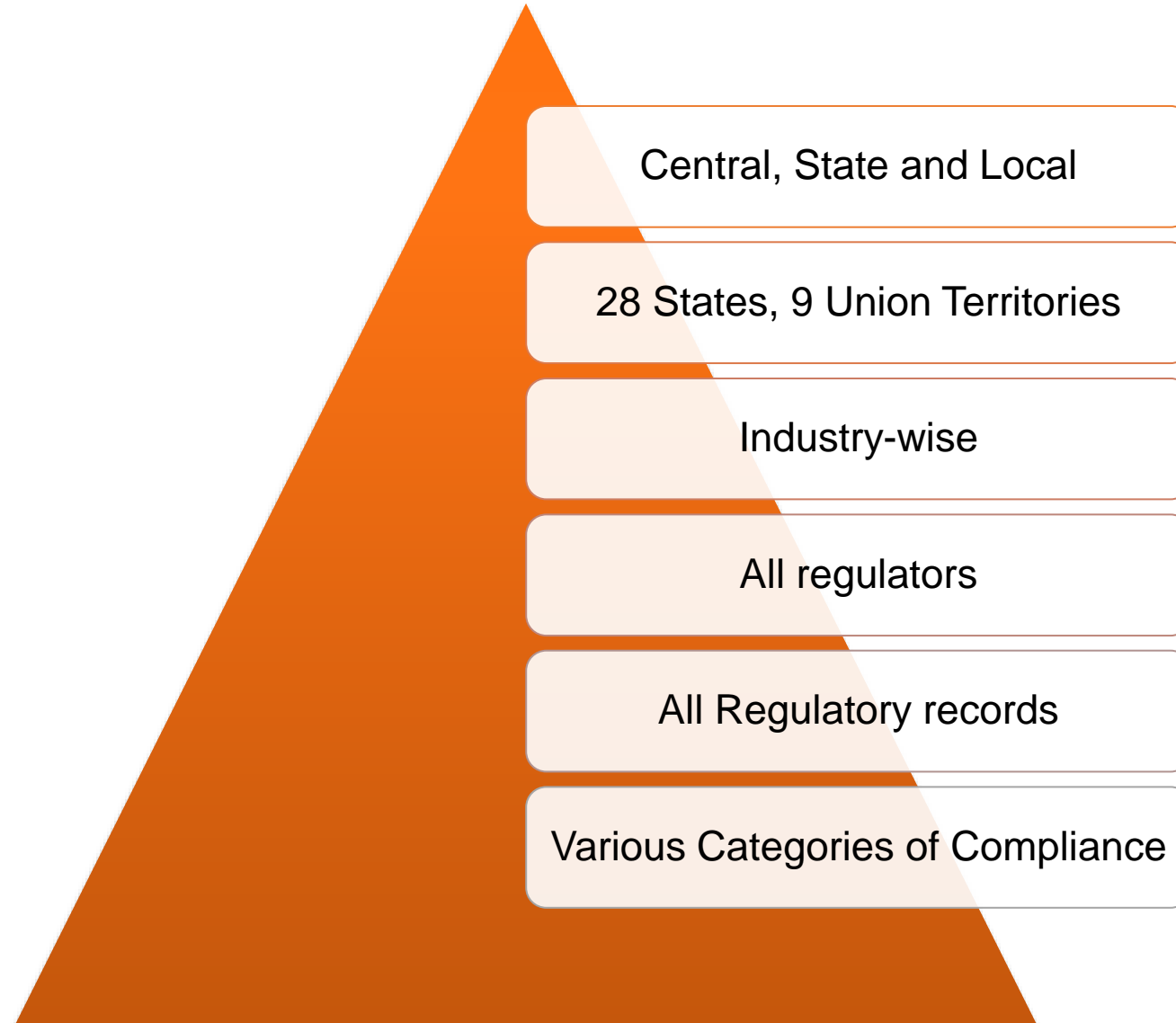
- ❖ Riskpro will release the draft report to the management
- ❖ On receipt of the final responses, Final Compliance report will be released
- ❖ Riskpro will present the “key Observation” to Management / Board

BUSINESS DISCOVERY FRAMEWORK

- 1 • Nature of Entity
- 2 • Type of Incorporation
- 3 • Type of Business
- 4 • Type of industry
- 5 • Locations of business
- 6 • Employee & Contract Staff
- 7 • Types of machines
- 8 • Areas of business



COMPLIANCE AUDIT SERVICE



COMPLIANCE AUDIT SERVICE – Gap Reporting

Risk Wise

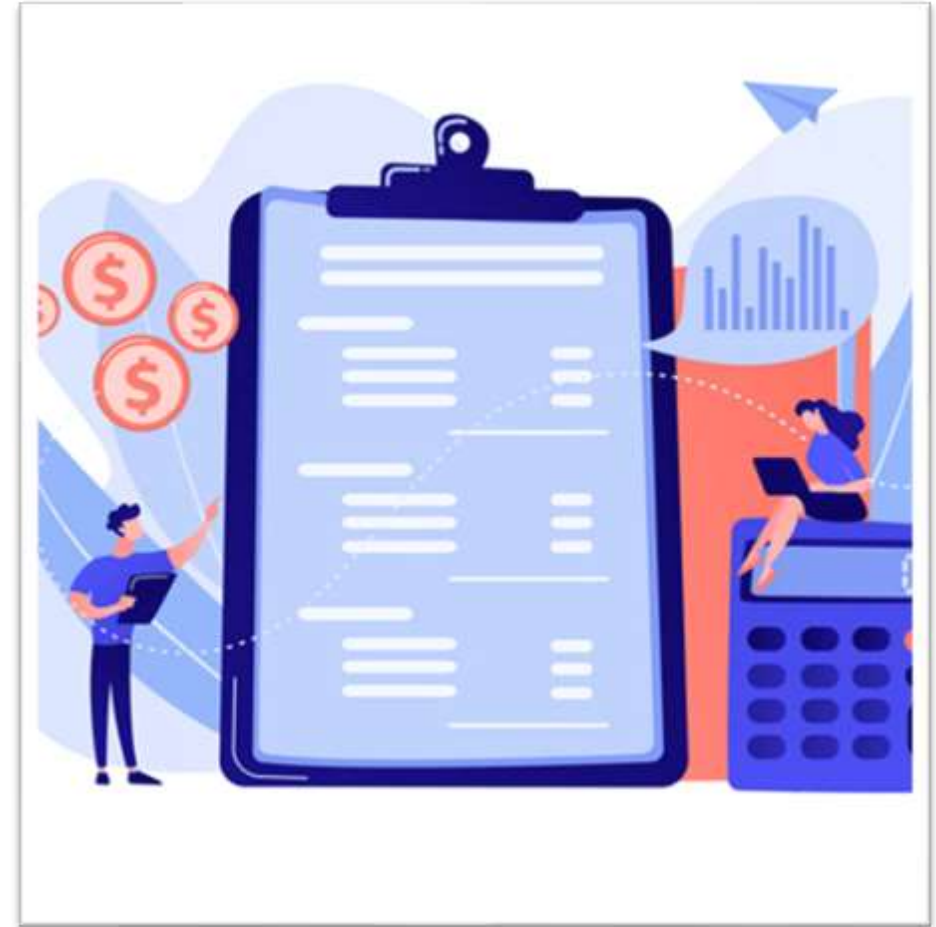
Location Wise

Period Wise

Compliance
Wise

Status Wise

Delay Wise






















Commercials – use only text, not this slide.

Scope	Pricing	Notes
Legal Compliance Assessment of Major Factory Locations	Rs 1.25 Lacs per major factory	This is a per manufacturing location pricing. This includes single follow up on the observations 2-4 months later. (onsite visit or over calls, emails) Pricing can be discounted slightly for all sites.
Legal Compliance Assessment of minor Factory or warehouse	Rs 0.65 Lacs per minor factory or a warehouse/depot	This is a per location pricing. This includes single follow up on the observations 2-4 months later. (onsite visit or over calls, emails)
Legal Compliance Assessment of Sales Offices (140+)	Rs 30,000 - Rs 45,000 per sales office	This is a per location pricing. Final pricing will be based on the number of offices allocated during the year. (volume based pricing / discounts possible).

1. Travel Expenses extra for gap assessment site visits.
2. 25% advance payment. Balance payment within 15 days from date of completion against invoice.
3. Service Tax additional

Compliance Audits done by Riskpro and its associate firms

Company	Consulting Details	Company	Consulting Details
	<input type="checkbox"/> Audit of 20 plants across India, being done since 2007	 A Novartis Division	<input type="checkbox"/> Audit of 4 plants (second round of audits)
	<input type="checkbox"/> Updated Checklist for their software, Audit of Mother Plants, Planned audit of satellite plants		<input type="checkbox"/> Audit of 19 manufacturing locations across the country covering all divisions and subsidiaries
	<input type="checkbox"/> Audit of 3 main plants		<input type="checkbox"/> Compliance audits of all 6 Plants across India <input type="checkbox"/> Training of plant managers and HR managers / HODs on compliances required and risk in compliance gaps
	<input type="checkbox"/> Audit of Bhushan steel plants		<input type="checkbox"/> Audit of the then newly setup plant at Chennai
	<input type="checkbox"/> Audit of Compliance in 94 IVF Medical Centers, covering all laws including medical regulations		<input type="checkbox"/> Audit of 5 locations quarterly
	<input type="checkbox"/> 2 rounds of audit, 2 rounds of follow up audits, covering 7 mother plants		<input type="checkbox"/> 2 rounds of audit, covering 19 manufacturing locations
	<input type="checkbox"/> Audit of all manufacturing locations, additivation sites, offices and select retail / under-construction Fuel Pumps (total 19 locations)		<input type="checkbox"/> Audit of main and support plants at Jamshedpur unit
	<input type="checkbox"/> Compliance Audit for the software training company		<input type="checkbox"/> Compliance Audit of 2 school and colleges in Pune and one in West Bengal
	<input type="checkbox"/> Compliance Audit of Retiral benefits and Trusts operating the same		<input type="checkbox"/> Compliance Audit of 2 project sites, regional offices and warehouse in South India
	<input type="checkbox"/> Compliance audit of 4 out of the 6 manufacturing units.		

Some of Our Risk Advisory Clients

Manufacturing	Manufacturing	IT Services	Others	NBFC	Insurance
					
					
					
					
					
			<p>And Many More Clients</p>		
					
					

Some of Our BFSI Clients

Banking	Banking	Insurance	International	International	Others
					
					
					
					
					
					
					
					

And Many More Clients

Some of Our IT Advisory Clients































IT Services	IT Services	Technology	Consulting	Manufacturing	Others	Others
						
						
						
						
						
						
						
						

And Many More Clients

Some of Our SSAE Clients

IT Services	IT Services	IT Services	IT Services	IT Services	IT Services	IT Services
						
						
						
						
						
						
						
						

Some of Our SSAE Clients

Software	Software	Consulting	Others	Others
				
				
				
				
				And Many More Clients
				
				
				

Some of Our GDPR Clients

IT Services	IT Services	Consulting	Manufacturing	Software	Others
					
					
					
					
					
					
					
					

And Many
More Clients

Some of Our HIPAA Clients

IT Services	IT Services	IT Services	Software	Others
				
				
				
				
			<h2>And Many More Clients</h2>	
				
				
				

Some of Our ISO 27001 Clients

IT Services	IT Services	Software	Consulting	Others
				
				
				
				
			<h2>And Many More Clients</h2>	
				
				
				

Some of Our Technology Clients

Manufacturing	Manufacturing	Insurance	Others	NBFC	Pharma	Consulting

And Many
More Clients

Some of Our Training Clients

IT Services	Consulting	Manufacturing	NBFC	Insurance	Others	Public Sector (PSE)
						
	Walker Chandio & Co LLP					
						
						
						
						
						

And Many
More Clients

Some of Our Recruitment Clients

IT Services	Others	Consulting	Manufacturing	Banking	Insurance	Software
						
						
						
						
						
						
						
						

And Many
More Clients



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



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)

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.ir
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| 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, FinTech’s and SEBI regulated entities. like Cyber Security, Digital security consulting, Network and Technology Infrastructure of Data Centre, IT Governance, and other regulatory compliances
- He earned a Master in Economics. He is banker turned technocrat with rich experience.

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.

vivek.dixit@riskpro.in
88066 73322



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

vikas.gupta@riskpro.in
7838368526



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.

venkat.g@riskpro.in
9731775000



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.

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.

nitesh.shanbhag@riskpro.in
98203 64288



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.

sucheta.upendra@riskpro.in
98456 48521



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.

ritu.thakkar@riskpro.in
98206 59207



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.

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.

nehal.mapara@riskpro.in
9819184351



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

poonam.khandwani@riskpro.in
9881716511



Pragma 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

pragya.pranati@riskpro.in
9677022331



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.

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.

niveditha.hampiholi@riskpro.in
99001 00827



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

shalini.gundu@riskpro.in
77385 88488



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/ ITCSoX / 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.

vinaya.punekar@riskpro.in
98901 09188



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.
- She has experience in IPR, 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.

sonakshi.sinha@riskpro.in
8850849651



Key Contacts

Corporate	Mumbai	Mumbai	Pune
<p>Riskpro India Ventures (P) Limited</p> <p>info@riskpro.in www.riskpro.in</p> <p>B-44, Glaxo Building, Near Mt. Mary's Steps Bandra West, Mumbai 400050</p>	<p>Manoj Jain Director M- 98337 67114 manoj.jain@riskpro.in</p> <p>Rita Shewakramani EVP - Risk Advisory M- 98204 85504 rita.s@riskpro.in</p>	<p>Laxmikant Gupta Principal M- 98330 00436 laxmikant.gupta@riskpro.in</p> <p>Ashok Agarwal EVP - IT Risk Advisory M- 9619922010 ashok.agarwal@riskpro.in</p>	<p>Vivek Dixit EVP- Risk and Governance 880 667 3322 vivek.dixit@riskpro.in</p> <p>Mayur Satpute Assistant Manager -Sales and Marketing M-80802 04742 mayur.satpute@riskpro.in</p>
Bangalore	Bangalore	Gurgaon	Delhi, NCR
<p>Niveditha Hampiholi AVP - Risk and Compliance M- + 91 99001 00827 niveditha.hampiholi@riskpro.in</p>	<p>Venkatkrishnan G. EVP – Internal Audit & Risk Advisory M- 9731775000 venkat.g@riskpro.in</p>	<p>Raghvendra Mishra AVP – Business Development M-98184 50423 raghvendra.mishra@riskpro.in</p> <p>Mayur Satpute Assistant Manager -Sales and Marketing M-80802 04742 mayur.satpute@riskpro.in</p>	<p>Raghvendra Mishra AVP – Business Development M-98184 50423 raghvendra.mishra@riskpro.in</p> <p>Mayur Satpute Assistant Manager -Sales and Marketing M-80802 04742 mayur.satpute@riskpro.in</p>
Chennai	Hyderabad	Kolkata	 Let's Innovate Together
<p>Natarajan Mohan SVP – Risk Advisory M- 97909 21820 natarajan.mohan@riskpro.in</p> <p>Anita Balasubramanian VP – IT Risk Advisory M- 7550005736 anita.balasubramanian@riskpro.in</p>	<p>Manoj Jain Director M- 98337 67114 manoj.jain@riskpro.in</p> <p>Sonali Thakur Assistant Manager – Sales & Marketing M-70047 74682 sonali.thakur@riskpro.in</p>	<p>Sonali Thakur Assistant Manager – Sales & Marketing M-70047 74682 sonali.thakur@riskpro.in</p>	<p>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.</p>

A person wearing a white shirt is holding a smartphone in their right hand, positioned over a laptop keyboard. The background is slightly blurred, focusing on the hand and the phone. The overall scene suggests a professional or business context.

Risk • Pro

Connect with Risk Professionals

**www.riskpro.in
info@riskpro.in**

Risk • Pro