



Due Diligence in Practice “Getting your Hands Dirty”

Course No 212

This course is designed to familiarise attendees with the practical and real life circumstances of implementing a robust due diligence process. The Customer due diligence process (CDD) involves much more than carrying out research using the passport or other customer data available using one of the various monitoring systems and a ‘Google’ search. There are clear responsibilities that are related to AML/CFT, and this course will give a practical and hands-on approach on how to carry out the various CDD checks, how to deal with practical issues that are encountered on a day-to-day basis, and provide a practical insight to help subject persons, including compliance officers, compliance teams and MLROs, carry out their duties.

Supported by:



Sample Topics Covered:

Customer due diligence measures

Record - keeping procedures

Reporting procedures

The importance of “Know Your Customer” principles:

- Identification and verification
 - Customer profile
 - Screening and open source research
 - Monitoring
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CDD on personal and corporate entities

The information and documents you need to collect

Verification of and types of documents for corporate entities

Who are the UBOs?

Common ‘simple yet important’ issues commonly encountered

Applicant Name

Applicant ID Card

Applicant Mobile Number

Applicant Email Address

Invoice is to be issued in the name of:

the Applicant or Organisation

If Invoice is to be issued in the Entity's name, please input the details below marked with (*)

Organisation Name(*)

Organisation Email Address
(where invoice will be sent) (*)

Organisation Purchase Order No.
(if applicable)

Address of Organisation on which the invoice is to be issued (*)

Registration fee: **€95 per participant**

Discount (tick only if applicable)

- Full time student (50% discount)
 Senior citizen (50% discount)
 Group booking of 4 or more applicants
from the same Organisation (10% discount)

I would prefer to attend the course online classroom

Classroom courses will only be held if we have at least 4 persons in the classroom.

The data completed above is being compiled to enable the MSE Institute to communicate with you about the course when necessary.

Terms and conditions: Applicants who are registered for the course are not entitled to a refund if they are unable to attend, but may assign their booking to a 3rd party subject to confirmation by the MSE Institute.

Malta Stock Exchange Institute Ltd.

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General Information

Time: 09.00 - 12.00hrs

Venue: Malta Stock Exchange
Subject to COVID-19 related restrictions
Online

Level: Intermediate

Schedule

Duration: 3 hours

Dates: 8 February

Target Audience

Practitioners who work in the compliance or customer due diligence areas, including CSPs, real estate agents, fiduciaries, iGaming officers, accountants, compliance officers, auditors, MLROs, and legal professionals.

Lecturer

Dr Malcolm Mallia



Malcolm is the Founder of LEXCO compliance where he actively supports the Anti-Money Laundering (AML) compliance team in all legal matters relating to AML and Customer Due Diligence. The compliance team, which has extensive practical experience in AML/CFT, supports subject persons including CSPs, Fiduciaries, Accountants, Auditors, Notaries, Legal professionals and Real Estate Agents in all their AML compliance obligations such as development of AML manuals, procedures and policies, CDD and Risk Assessment tools. Malcolm is a warranted advocate and holds a Doctor of Laws degree from the University of Malta, a Bachelor of Commerce degree in accountancy and business management, and an MBA from Henley Management College (UK). He has been involved in the field of compliance for the last 20 years supporting organisations become compliant to their relevant industry and legal standards. Malcolm is also a visiting lecturer at the University of Malta in the Faculty of Economics, Management and Accounts, a member of the Chamber of Advocates and an ISO 9001 auditor. Malcolm is also an MFSA approved Compliance officer for CSPs and Trustees.

Cheques to be made payable to: Malta Stock Exchange Institute Ltd.

Payments by bank transfer

Bank: Bank of Valletta plc
IBAN Code: MT04VALL22013000000040025119059
IBAN BIC: VALLMTMT

Kindly insert your NAME, SURNAME, ID CARD NUMBER and COURSE NUMBER in the transaction narrative.

This application is to be accompanied by payment or proof of payment by bank transfer.