



# 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
- 

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

---

## 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  
 25 October

## 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.

Registration fee: **€95 per participant**

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

Applications are to be made by clicking the **'apply now'** button and completing the online application process.

### Malta Stock Exchange Institute Ltd.

Garrison Chapel,  
Castille Place,  
Valletta VLT 1063,  
Malta

**website:** [www.borzamalta.com.mt](http://www.borzamalta.com.mt)  
**email:** [msei@borzamalta.com.mt](mailto:msei@borzamalta.com.mt)  
**tel:** +356 21 244 051

## 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.