



**MALTA STOCK EXCHANGE
INSTITUTE**

**TOWARDS A
BRIGHTER
FUTURE**

Financial Markets Compliance and Regulation

Course No 306

This course aims to offer participants an overview of the regulatory and compliance landscape, introducing elements of the AIFMD, MiFID and UCITS directives. Participants will be provided a foundation to be able to understand financial regulation and compliance requirements of an MFSA licensed company. The course will explore the optimal compliance structure of a fund or management company, including their basic legal structure, the fiduciary duties of a board of directors, investment committee, MLRO and compliance officer. Furthermore, various AIFMD policies will be discussed, including risk management, remuneration, valuation and insider dealing policies.

Supported by:

ganado
advocates

Sample Topics Covered:

The European legal and regulatory landscape

Role of the MFSA as regulator

The MFSA licensing process

The Investment Services Act

Understanding AIFMD, MiFID, UCITS Directive

The UCITS, PIF, AIF and NAIF fund regimes
Role and responsibilities of compliance officers and compliance obligations

The roles of the board and investment committee

The board meeting, company secretary and the board minutes

The compliance manual and AIFMD policies

Risk management frameworks in terms of AIFMD obligations

The prospectus and the investment management agreement

Understanding the investment manager framework and delegation structures under AIFMD

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: **€165 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.

Garrison Chapel,
Castille Place,
Valletta VLT 1063,
Malta

website: www.borzamalta.com.mt

email: msei@borzamalta.com.mt

tel: +356 21 244 051

General Information

Time: 13.00 - 15.30hrs

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

Level: Intermediate

Schedule

Duration: 10 hours

Dates: 14, 15, 16, 17 February

Target Audience

This course requires attendees to have an understanding of investment services and an understanding of the funds industry. The public, students, compliance officers, directors, industry practitioners, lawyers and accountants are invited to attend.

Lecturer

Dr Nicholas Micallef



Dr Nicholas Micallef is an Advocate within Ganado Advocates' Investment Services and Funds Team. His main areas of practice include the licensing of Collective Investments Schemes (UCITS, PIFs, AIFs and NAIFs) and investment services providers, as well as compliance, governance, regulatory advice, restructuring and winding-up of such entities. Prior to joining the firm, Nicholas assisted with the first transformation of an investment company with variable share capital (SICAV) to an incorporated cell under a Recognised Incorporate Cell Company (RICC) in Malta, as well as with the registration and recognition of the first Limited Partnership with Variable Capital (L.P.V.C.) in Malta.

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.