



Compliance Monitoring and Reporting

Course No 307

The Compliance Officer is the regulator's invisible arm in that it ensures that the institution's business is being conducted in line with regulations, internal policies and procedures.

Checks are carried out primarily through compliance monitoring programmes; be they on-site or desk based reviews. The fulcrum of the findings prompted by the reviews is to bring these to the attention of senior management. Senior management is ultimately responsible for the establishment and maintenance of the compliance function and in ensuring that the business is carried out in line with regulatory requirements.

Sample Topics Covered:

The importance of compliance and the role of the compliance officer

The compliance requirements facing the various investment services licence holders

The monitoring and preparation of compliance reports

The evolving concept of the three lines of defence

The second line of defence, where the compliance function lies

Drawing up a compliance monitoring programme and presenting it to senior management

Emphasis on conducting reviews: whether on-site or desk based

Reporting the findings

Addressing the findings to senior level with clarity and assertiveness

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: **€75 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: 09.30 - 12.00hrs

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

Level: Introductory

Schedule

Duration: 2.5 hours

Dates: 21 March

Target Audience

This course is an introductory course and requires little to no understanding of financial concepts. The general public, students, investors, industry practitioners, lawyers and accountants are invited to attend.

Lecturer

Dr Graziella Bray



Dr Graziella Bray graduated in Doctor of Laws in 2004, and was admitted to the bar the following year. She has over thirteen years experience working in the financial services sector. Graziella currently holds the position of Manager Legal & Compliance at APS bank Ltd. Throughout her career she has been involved in various regulatory and legal matters for both the Bank and its subsidiaries. She is currently compliance officer of the Bank, APS Funds SICAV plc and ReAPS Asset Management Ltd. She is also Company Secretary of the latter company. Dr Bray occasionally

lectures within the Institute of Health Care at the University of Malta and delivers professional training on a freelance basis.

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.