



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

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
 22 June
 28 September
 23 November

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.

Registration fee: **€75 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
email: msei@borzamalta.com.mt
tel: +356 21 244 051

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.