



**MALTA STOCK EXCHANGE  
INSTITUTE**

**TOWARDS  
A BRIGHTER  
FUTURE**



# 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

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The compliance requirements facing the various investment services licence holders

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The monitoring and preparation of compliance reports

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The evolving concept of the three lines of defence

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The second line of defence, where the compliance function lies

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

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

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Reporting the findings

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Addressing the findings to senior level with clarity and assertiveness

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## General Information

**Time:** 09:30 - 12:00  
**Venue:** Online  
**Level:** Introductory

## Schedule

**Duration:** 2.5 hours  
**Dates:**  16 January  
 27 March  
 23 June  
 2 October  
 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.

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## 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.