



**MALTA STOCK EXCHANGE
INSTITUTE**

**TOWARDS
A BRIGHTER
FUTURE**



Preparing for Regulatory Inspections

Course No 214

Course description: The FIAU and the MFSA can and are given authority by law to perform inspections on subject persons and licensed entities. This course is aimed at Designated Non-Financial Business Providers and Corporate Service Providers and will give insight on the different supervisory engagements carried out.

Sample Topics Covered:

The expectations of the relevant Regulators

How to prepare for an FIAU or MFSA Inspection

The various stages of an FIAU and/or an MFSA inspection

Who would be requested to participate in an FIAU and/or an MFSA Inspection

Common issues raised as a result of an FIAU/MFSA inspection – what can be improved?

What to expect after the inspection

Potential penalties

Supported by:

LEXCO COMPLIANCE
SOLUTIONS
WWW.LEXCO.COM.MT

General Information

Time: 09:00 - 12.00hrs
Venue: Online
Level: Intermediate

Schedule

Duration: 3 hours
Dates: 27 November

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
email: msei@borzamalta.com.mt
tel: +356 21 244 051

Lecturer

Ms. Joanne La Cava



Joanne is the Head of the AML compliance team at LEXCO Ltd. She enjoys a long banking career having spent 17 years with a leading international bank. She is a specialised Financial Crime Compliance person, having spent the last seven and a half years of her banking career working in Financial Crime Risk and compliance. In her last role as Financial Crime Risk Manager, she was responsible for inter alia: impact analysis of regulatory changes; monitoring the execution of various FCC workstreams; providing AML and Sanctions advice to the first line of defence and assess products offered to clients; Compliance Risk Assessments as well as Compliance Monitoring and Reporting. During her career at the bank, she actively participated in local and Regional Reputational Risk Committees and other Risk Governance fora. Joanne holds ICA International Diploma in Anti-Money Laundering and an ICA Certificate in Managing Sanctions Risk.

Ms Lesley Ann Baldacchino



Ms Lesley Ann Baldacchino is a Compliance Manager with LEXCO. Within her role at LEXCO she acts as a consultant to various stakeholders. Before joining LEXCO, Lesley Ann formed part of the Financial Crime Compliance Unit of the MFSA as a Senior Manager. Her experience includes carrying out numerous AML/CFT examinations and investigations, reviewing AML documentation including regulations, EU consultation papers, Policies and Procedures, carrying out training to stake holders and providing support to the EBA internal committees and sub groups. Ms Baldacchino is a certified AML specialist by ACAMS and holds an ICA Diploma in Financial Crime.

Cheques to be made payable to: Malta Stock Exchange Institute Ltd.

Payments by bank transfer

Bank: Bank of Valletta plc
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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.