



**MALTA STOCK EXCHANGE
INSTITUTE**

**TOWARDS
A BRIGHTER
FUTURE**



Preparing for Inspections by the Regulators

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.

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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

General Information

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

Schedule

Duration: 3 hours
Dates: 2 June
 29 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.

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Lecturer

Dr Malcolm Mallia



Malcolm is the Founder of LEXCO compliance where he actively supports the Anti-Money Laundering (AML) compliance team in all legal matters relating to AML and Customer Due Diligence. The compliance team, which has extensive practical experience in AML/CFT, supports subject persons including CSPs, Fiduciaries, Accountants, Auditors, Notaries, Legal professionals and Real Estate Agents in all their AML compliance obligations such as development of AML manuals, procedures and policies, CDD and Risk Assessment tools. Malcolm is a warranted advocate and holds a Doctor of Laws degree from the University of Malta, a Bachelor of Commerce degree in accountancy and business management, and an MBA from Henley Management College (UK). He has been involved in the field of compliance for the last 20 years supporting organisations become compliant to their relevant industry and legal standards. Malcolm is also a visiting lecturer at the University of Malta in the Faculty of Economics, Management and Accounts, a member of the Chamber of Advocates and an ISO 9001 auditor. Malcolm is also an MFSA approved Compliance officer for CSPs and Trustees.

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

Payments by bank transfer

Bank: Bank of Valletta plc
IBAN Code: MT04VALL22013000000040025119059
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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.