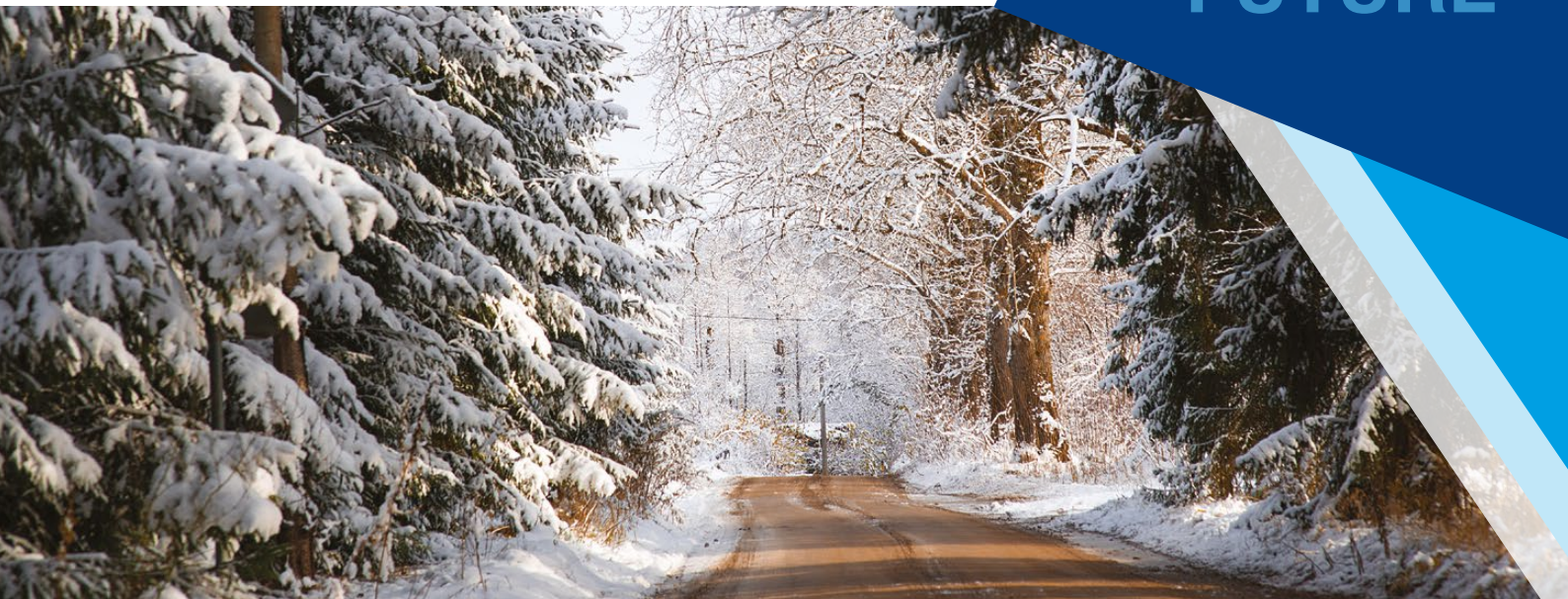




**MALTA STOCK EXCHANGE
INSTITUTE**

**TOWARDS
A BRIGHTER
FUTURE**



Due Diligence in Practice

Course No 212

This course is designed to familiarise attendees with the practical and real life circumstances of implementing a robust due diligence process. The Customer due diligence process (CDD) involves much more than carrying out research using the passport or other customer data available using one of the various monitoring systems and a 'Google' search. There are clear responsibilities that are related to AML/CFT, and this course will give a practical and hands-on approach on how to carry out the various CDD checks, how to deal with practical issues that are encountered on a day-to-day basis, and provide a practical insight to help subject persons, including compliance officers, compliance teams and MLROs, carry out their duties.

Supported by:

LEXCO COMPLIANCE
SOLUTIONS
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Sample Topics Covered:

Customer due diligence measures

Record - keeping procedures

Reporting procedures

The importance of "Know Your Customer" principles:

- Identification and verification
 - Customer profile
 - Screening and open source research
 - Monitoring
-

CDD on personal and corporate entities

The information and documents you need to collect

Verification of and types of documents for corporate entities

Who are the UBOs?

Common 'simple yet important' issues commonly encountered

General Information

Time: 13:00 - 16.00hrs
Venue: Online
Level: Intermediate

Schedule

Duration: 3 hours
Dates: 10 October

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

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 stakeholders 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
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.