



**MALTA STOCK EXCHANGE  
INSTITUTE**

**TOWARDS  
A BRIGHTER  
FUTURE**



# Red Flags and AML Regulatory Reporting

## Course No 161

This course is designed to familiarize attendees with red flags and Money Laundering (ML) indicators, as well as the robust measures required to manage ML risks. In today's world, robust AML controls are not only necessary to safeguard reputation, but also mandated by the Regulator. As ML risk cannot always be controlled and reduced to an acceptable level, the course delves into the reporting requirements imposed by the Regulator, including the reporting of suspicious activities and transactions, requests for information and the annual Risk Evaluation Questionnaire. Specifically concerning the latter, the course goes into the purpose and aim of the REQ, the sections and the information that is normally requested by the Regulator. Reference will be made to the FIAU implementing procedures Part 1, as well as official guidance issued by the FIAU on the subject matter.

## Sample Topics Covered:

Red flags and ML indicators

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CDD measures to control the risk

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Role of the MLRO

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Internal and External Reporting

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Types of reports and how to report on GoAML

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Requests for Information

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The REQ, purpose, aim, sections and data required

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## General Information

**Time:** 13.30 - 15.30hrs (October)

**Venue:** Online

**Level:** Introductory

## Schedule

**Duration:** 2 hours

**Dates:** 29 October

## Target Audience

Subject persons and their MLROs, compliance teams, compliance officers and internal auditors will find this course useful.

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. Elizabeth Sammut Borg



Dr. Elizabeth Sammut Borg, a seasoned lawyer and compliance specialist, currently holds the position of Money Laundering Reporting Officer (MLRO) for both CSP and Retirement Pension Scheme companies. Previously, Elizabeth headed the the compliance and legal division as Director of Legal and Compliance at Dixcart Management Malta Limited, serving also as MLRO and Compliance Officer on companies licenced to offer CSP and trustee services. As a dedicated compliance specialist, Elizabeth focuses on navigating the intricate landscape of anti-money laundering and counter-financing of terrorism regulations as well as specialising in regulatory compliance for CSPs and trustees. Her extensive experience extends to serving as MLRO for CSPs, Trustees, and Fiduciaries, as well as retirement pension schemes companies. Beyond her role, Elizabeth provides AML training and guidance contributing to the development and enhancement of compliance standards within the industry. Dr Borg graduated as a lawyer in 2010, subsequently reading Master's Degree in International Criminal Law, with the United Nations Interregional Crime Institute in Turin. Before joining Dixcart, Elizabeth served as an employment law prosecutor and also worked at the Court of the European Union in Luxembourg, as a legal jurist in the research and documentation department.

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

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