



**MALTA STOCK EXCHANGE  
INSTITUTE**

**TOWARDS  
A BRIGHTER  
FUTURE**



# The Importance of Ongoing Compliance Monitoring

## Course No 239

Once a subject person forms a business relationship with a customer, the PMLFTR states that ongoing monitoring obligations shall need to be adhered to. The extent and level of ongoing monitoring shall vary from subject person to subject person based on the services provided, the risk ratings of the customer population and any trigger events which may materialize.

## Supported by:

**LEXCO** COMPLIANCE  
SOLUTIONS  
[WWW.LEXCO.COM.MT](http://WWW.LEXCO.COM.MT)

## Sample Topics Covered:

---

An overview of the Obligations of the Ongoing Monitoring

---

Sector Specific Obligations – focusing mainly on CSPs and Auditors and Accountants

---

Detection of an unusual transaction

---

Reporting obligations

---

Record keeping obligations

---

## General Information

**Time:** 09:00 - 12.00hrs  
**Venue:** Online  
**Level:** Introductory

## Schedule

**Duration:** 3 hours  
**Dates:** 26 January

## Target Audience

All business owners, managers, accountants, lawyers, notaries and business consultants.

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](http://www.borzamalta.com.mt)  
**email:** [msei@borzamalta.com.mt](mailto: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  
**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.