



**MALTA STOCK EXCHANGE
INSTITUTE**

**Towards a Brighter
Future**



A Practical Approach to Anti-Money Laundering: “Getting your hands dirty”

Course No 214

This course is designed to familiarise attendees with the practical and real life circumstances of implementing a robust anti-money laundering framework. This course will give a practical and hands-on approach on how to carry out the various AML/CFT checks, how to deal with issues that are encountered on a day-to-day basis, and provide an insight to subject persons including compliance officers, compliance teams and MLROs. This course will enable practitioners to ‘get their hands dirty’ in respect of anti-money laundering processes within their organization.

Supported by:

LEXCO

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COMPLIANCE
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Sample Topics Covered:

The ‘How’s and What’s’ of Customer Due Diligence

- Identification and Verification
- Sanction screening and open source checks
- Source of funds: The Do’s and Dont’s
- Source of wealth

Customer Risk Assessment

Ongoing monitoring

Screening solutions

Automated tools: Meeting the AML obligations more efficiently and effectively

Record keeping

Reporting

Policies and procedures

Business Risk Assessment

- Purpose of a Business Risk Assessment
 - Frequency of a Business Risk Assessment
 - How should a Business Risk Assessment be organised
 - Standard ML Risk Assessment Methodology
 - Actions to be taken following the Business Risk Assessment.
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Registration Course 214

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Name

Position

Company

Address

Mobile

Email

The data completed above is being compiled to enable the MSE Institute to communicate with you about the course when necessary.

Registration fee: €100 per participant
(Full time students and senior citizens are eligible to a 50% discount)

Terms and Conditions

Applicants who are registered for the course are not entitled to a refund if they are unable to attend, but may assign their booking to a 3rd party subject to confirmation by the MSE Institute.

Malta Stock Exchange plc

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Malta

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General Information

Time: 0930 – 1200hrs
Venue: Malta Stock Exchange
Level: Intermediate

Schedule

Duration: 5 hours
Dates: 11, 12 February
9, 10 October

Target Audience

Practitioners who work in the field of compliance and anti-money laundering, including CSPs, real estate agents, fiduciaries, iGaming officers, auditors, accountants, MLROs and legal professionals.

Lecturers



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.



Ms Joanne LaCava

Joanne currently heads the AML compliance team at LEXCO. 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 advise 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 Reputational Risk Committees and

other Risk Governance fora. Joanne holds a Diploma in Financial Services Operations and Compliance (MITC) and is currently in her third and final stage of the International Compliance Association Diploma in Anti-Money Laundering having passed the first two stages with distinction.

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.