



Financial Markets Compliance and Regulation

Course No 306

This course aims to offer participants an overview of the regulatory and compliance landscape by introducing elements of the AIFMD, MiFID, and UCITS directives.

Students will be provided a foundation to be able to understand financial regulation and compliance requirements of an MFSA licensed company.

The course will explore the optimal compliance structure of a fund or management company including their basic legal structure, the fiduciary duties of a board of directors, investment committee, MLRO, and compliance officer.

Furthermore various AIFMD policies will be discussed including risk management, remuneration, valuation, insider dealing polices, etc.

Sample Topics Covered:

The European legal and regulatory landscape

Role of the MFSA as regulator

The MFSA licensing process

The Investment Services Act

Understanding AIFMD, MiFID, UCITS Directive

The UCITS, PIF, AIF and NAIF fund regimes

Role and responsibilities of compliance officers and compliance obligations

The roles of the board and investment committee

The board meeting, company secretary and the board minutes

The compliance manual and AIFMD policies

Risk management frameworks in terms of AIFMD obligations

The prospectus and the investment management agreement

Understanding the investment manager framework and delegation structures under AIFMD

Registration

Course 306 Financial Markets Compliance and Regulation

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: €150 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: 1700 - 1930hrs
Venue: Malta Stock Exchange
Level: Intermediate

Schedule

Duration: 10 hours

Dates: 13, 14, 15, 18 March
 23, 24, 25, 26 September

Target Audience

It is recommended participants would have completed course number 100. This course requires attendees to have an understanding of basic financial concepts and an understanding of the funds industry. The general public, students, compliance officers, directors, industry practitioners, lawyers and accountants are invited to attend.

Lecturer

Dr Marina Grech



Dr Marina Grech is a Senior Associate at GANADO Advocates_ Investment Services and Funds Department. She specialises in the setting up, licensing and ongoing structuring of investment services licence holders, including AIFMs, UCITS Management Companies and Brokers as well as UCITS schemes, AIFs, Venture Capital Funds, Real Estate Funds and Private Equity Funds. Marina regularly assists and advises clients on various corporate matters. This includes the setting up in or continuation to Malta of legal entities and the restructuring of authorised entities. Working with licensed entities also entails the provision of ongoing regulatory assistance. Marina actively assists investment services and fund clients with various ongoing regulatory matters, including compliance with EU legislation and MFSA requirements, in order to ensure that licence holders operate within the parameters of the applicable regulatory framework.

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.