



**MALTA STOCK EXCHANGE
INSTITUTE**

**TOWARDS
A BRIGHTER
FUTURE**



Financial Markets Compliance and Regulation

Course No 306

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

Supported by:

ganado
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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

Name

Position

Company

Company Email

Address

ID Card

Mobile

Applicant Email

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

Registration fee: €165 per participant (Full time students and senior citizens are eligible to a 50% discount). Group bookings of 4 or more persons from the same organisation attract a 10% 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 Institute Ltd.

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General Information

Time: 13.00 - 15.30hrs
Venue: Malta Stock Exchange
Subject to COVID-19 related restrictions
Online
Level: Intermediate

Schedule

Duration: 10 hours

Dates: 11, 12, 15, 16 February
 15, 16, 17, 18 June
 26, 27, 28, 29 October

Target Audience

This course requires attendees to have an understanding of investment services and an understanding of the funds industry. The public, students, compliance officers, directors, industry practitioners, lawyers and accountants are invited to attend.

Lecturers

Dr Nicholas Micallef



Dr Nicholas Micallef is an Advocate within Ganado Advocates' Investment Services and Funds Team. His main areas of practice include the licensing of Collective Investments Schemes (UCITS, PIFs, AIFs and NAIFs) and investment services providers, as well as compliance, governance, regulatory advice, restructuring and winding-up of such entities. Prior to joining the firm, Nicholas assisted with the first transformation of an investment company with variable share capital (SICAV) to an incorporated cell under a Recognised Incorporate Cell Company (RICC) in Malta, as well as with the registration and recognition of the first Limited Partnership with Variable Capital (L.P.V.C.) in Malta.

Dr Ria Micallef



Dr Ria Micallef is an Associate within Ganado Advocates' Investment Services and Funds Team. She focuses on the structuring, setting up, licensing and winding up of investment funds, asset management firms and other related investment service providers. Ria also regularly assists clients in all corporate and commercial matters including formation of companies, corporate governance, corporate financing, M&A transactions and general company law. Prior to joining the Investment Services and Funds Team, Ria formed part of the corporate team and pursued an LL.M in Banking and Financial Regulation at the London School of Economics and Political Science.

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.