



**MALTA STOCK EXCHANGE
INSTITUTE**

**TOWARDS
A BRIGHTER
FUTURE**

A Practical Approach to Customer Due Diligence and Risk Assessment - “Getting your Hands Dirty” (Part 2)

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 an overview of AML obligations with a focus on Source of Funds and Source of Wealth and risk assessment which are core parts of the CDD process. It will provide a practical and hands-on approach on Source of Fund and Wealth Verification and how to carry out the various customer and business risk assessments. It provides 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 organisation.

Sample Topics Covered:

AML obligations - overview

Source of wealth and source of funds

How to carry out a risk assessment and on whom

Case studies

Customer Risk Assessment (CRA)

What is a CRA

How does one develop and carry out a CRA

Business Risk Assessment

The purpose of a Business Risk Assessment

How a Business Risk Assessment should be organised

Being prepared for a compliance visit

Supported by:

LEXCO LEGAL & BUSINESS
COMPLIANCE
www.LEXCO.COM.MT

Registration Course 214

A Practical Approach to Customer Due Diligence and Risk Assessment
- "Getting your Hands Dirty" (Part 2)

2021

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: €95 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: 09:00 - 12.00hrs
Venue: Malta Stock Exchange
Subject to COVID-19 related restrictions
Online
Level: Intermediate

Schedule

Duration: 3 hours

Date: 9 March
 2 November

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.

Lecturer

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.

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.