

Business Breakfast

# Regulation and Financial Crime Compliance in the Funds Industry

**Date:**  
Tuesday 18th June 2019

**Time:**  
8:00 - 8:45 Registration & Breakfast  
8:45 - 10:45 Business Meeting

**Fee:**  
€120

**Venue:**  
Hilton Malta - St Julians

**Registration:**  
Email Ms Elise Ann Mifsud on [eamifsud@ifsmalta.org](mailto:eamifsud@ifsmalta.org)

Regulatory compliance is very important across all sectors in financial services, not least in the investment funds field. The aim of regulatory compliance is basically to ensure compliance with the laws and regulations applicable to the entity and that the latter is not subject to any form of regulatory censure, administrative penalty or any other form of regulatory action. More importantly, it aims to protect and safeguard the interests of the underlying investors in an investment fund. Indeed, regulatory compliance features prominently in a due diligence conducted by institutional investors before deciding to invest in a fund. The objective of this seminar is to discuss, with strong participation of senior MFSA officials, a number of topical subjects in relation to regulatory compliance and give insights to directors, compliance officers, MLROs and other senior management of funds (and their service providers) on the manner how the right regulatory compliance culture can be instilled.

## WHO SHOULD ATTEND?

The event is targeted at Directors, Compliance Officers, Senior Management of Funds and Collective Investment Schemes, Fund Accountants, Fund Administrators, Custodians, Auditors and Legal Professionals.

## WHY ATTEND?

Don't miss out on this opportunity to interact directly with the regulator and industry experts, to discuss the key regulatory and compliance issues affecting the Funds industry. The event will also enable you to interact and network with your peers and other industry professionals.

## Agenda

8:45 - 8:50	+	<p><b>Welcome address</b> <i>Dr Christopher P. Buttigieg - Chief Officer, Strategy, Policy and Innovation, MFSA</i></p>
8:50 - 9:20	+	<p><b>The Role of Directors in Managing Regulatory Compliance</b> <i>Mr Jonathan Bowdler - Head, Governance Risk and Compliance, ICA</i></p>
9:20 - 9:35	+	<p><b>Supervisory Visits Findings - Key Areas for Improvements</b> <i>Ms Clare Farrugia - Senior Manager, Securities and Markets Supervision, MFSA</i></p>
9:35 - 10:10	+	<p><b>Setting the Right Compliance Culture</b> <i>Mr Jonathan Bowdler - Head, Governance Risk and Compliance, ICA</i></p>
10:10 - 10:40	+	<p><b>Discussion Panel: Investment Fund Valuations - Issues, Regulatory Expectations and Best Practice</b> <b>Moderator:</b> <i>Mr Joseph J. Agius - Deputy Head, Securities and Markets Supervision, MFSA</i> <i>Mr Jonathan Bowdler - Head, Governance Risk and Compliance, ICA</i> <i>Dr Andre Zerafa - Partner, GANADO Advocates</i> <i>Ms Lucienne Pace Ross - Assurance Partner, PwC Malta</i> <i>Mr Christian Manicaro CFA - CEO, AQA Capital</i> <i>Mr Christ Briffa CFA - Manager, BOV Fund Services Ltd</i></p>
10:40 - 10:45	+	<p><b>Closing remarks</b> <i>Mr Joseph J. Agius - Deputy Head, Securities and Markets Supervision, MFSA</i></p>