

# Compliance for VFAs

26th April 2019

ifs Malta, 60, G'Mangia Hill, Pieta 0930hrs—1300hrs



## Mr James Farrugia

James Farrugia spearheads GANADO Advocates' Investment Services and Funds licensing and regulatory consultancy activities. Leveraging his extensive experience working with the local competent authority, Mr Farrugia is able to offer clients regulatory sound insight and practical solutions throughout the licensing application process on an ongoing basis. More recently, he has been involved in assisting a number of blockchain-based projects.

Mr Farrugia regularly contributes to international journals associated with investment funds and has addressed a number of local and

international conferences focusing on this sector. He also regularly lectures on investment services and investment funds at training programmes organised by the Institute of Legal Studies, the Institute of Financial Services, the Malta International Training Centre and the Malta Financial Services Authority.

### Overview of session

In this session we will discuss:

- ◆ Overview of the regulatory requirements applicable to VFA Service Providers
- ◆ Assessment of the policies and procedures that VFA Service Providers should have in place
- ◆ Design of an effective compliance monitoring plan
- ◆ Escalation Procedure on compliance related matters



## Registration Form

26th April 2019 at ifs Malta premises at 0930hrs—1300 hrs

Registration

[ \_\_ ] € 90

### Personal Information

Name & Surname: \_\_\_\_\_

Date of Birth: \_\_\_\_ / \_\_\_\_ / \_\_\_\_\_ I.D. No.: \_\_\_\_\_ Contact No.: \_\_\_\_\_

Home Address: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

### Office Information

Office Address: \_\_\_\_\_

Office E-mail: \_\_\_\_\_ Office Tel: \_\_\_\_\_

I certify that the information hereby provided is true and correct:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Membership:** Registration entitles you to become a full registered local member of the ifs Malta. This membership is free and valid for a maximum period of twelve months, after which the Committee will evaluate and consider whether to extend such membership for another fixed period or for an indefinite period of time. Renewal of membership is valid for an additional twelve month period. The local membership is subject to review by the Committee at any time.

**Data Protection Notice:** ifs Malta holds and processes your personal data in order to give you the full benefits of being a student, for administration purposes and to inform you of any future ifs Malta events, services and other related information. In instances where employers sponsor their employees for all or parts of the course/s, ifs Malta is bound to inform such employers upon the performance and results of their relevant employees if any assessment parts are carried out. ifs Malta does not sell or give your personal data to any other third party. In the eventuality that ifs Malta would need to give any personal data to a third party, you will on a case-by-case basis, be duly informed and you will also be given the opportunity to refuse that such data be given. You have the right to request access to and rectification of, the personal data concerning you that is held by ifs Malta.