



MIFID II

Friday 6th November 2015

MFSA, Conference Hall, Attard

Programme Outline

08:45 - 09:00 Registration

- Investor Protection including Client categorization, conflicts of interest, Complaints handling, Communications with investors, segregation of clients money and assets, inducements, Suitability and appropriateness testing
- Internal Organisational Requirements including product approval process, information security, recording of phone and email communications

12:15 - 12:45 Networking Lunch

- Corporate Governance including composition of the board of directors and remuneration requirements
- Transaction Reporting and record keeping

14:15 - 14:30 Concluding Remarks

Speaker

James Farrugia



James Farrugia is a partner in the Investment Services & Funds practice of GANADO Advocates. James graduated as Bachelor of Accountancy (Hons) from the University of Malta in 2000. He was also awarded an M.A. in Financial Services from the same university and an MSc in International Securities Investments and Banking from the University of Reading both with distinction. He is also a Certified Public Accountant and a Mansion House Scholar.

Registration Form

Participant:

Title Mr / Ms

Name _____

Surname _____

Email _____

Position _____

Phone _____

Company:

Company Name _____

Address _____

Registration Fee: €150

Preferably, registration fees are to be made by cheque, payable to Institute of Financial Services by not later than Friday 4th November 2015 and are to be addressed to:

**Institute of Financial Services (Malta),
60, G'Mangia Hill, Pieta PTA 1316**

For more information please call us on 21240335 or email info@ifsmalta.org

training.ifsmalta.org