

MALTA REGULATORY SERVICES

SINCE 1978 OUR EXPERIENCED INDEPENDENT PROFESSIONAL TEAM HAS FORGED A HARD-EARNED REPUTATION FOR PROVIDING A HIGHLY RESPONSIVE PERSONAL SERVICE, BACKED BY UNCOMPROMISING ATTENTION TO DETAIL. THAT'S WHY OVER 700 FUNDS WORLDWIDE, WITH AUM EXCEEDING \$50BN, SELECT US TO SUPPORT THEM.

RANGE OF REGULATORY SERVICES

We offer a comprehensive range of compliance, Anti-Money Laundering/Combating the Financing of Terrorism (AML-CFT), and other regulatory services to assist investment funds, fund managers, payment service providers and electronic money institutions in complying with their statutory obligations.

Compliance Services

- > Serving as the compliance officer of the licence holder and assisting its officers with regards to compliance matters in accordance with the licence issued to the fund or company
- > Implementing and maintaining a compliance monitoring programme and policies and procedures
- > Visiting the fund or company's principal service providers and evaluating them from a compliance perspective, as necessary
- > Communicating with the Malta Financial Services Authority (MFSA) on an ongoing basis, including filing updates and requests as necessary, and assisting MFSA personnel during compliance visits
- > Drafting a compliance report for the board at the required frequency, and advising them as necessary
- > Liaising with the fund or company's legal advisors, accountants, money laundering reporting officer (MLRO), auditors and other service providers as necessary

AML-CFT Services

- > Serving as the MLRO of the licence holder
- > Establishing and reviewing the fund or company's business, customer and jurisdictional risk assessments and customer acceptance policy
- > Reviewing, updating and implementing a sanctions policy and the AML-CFT policies of the fund or company, and ensuring compliance by employees and service providers
- > Reviewing reports of suspicious transactions and submitting the necessary filings, including suspicious transaction reports, to the competent authorities
- > Handling AML-CFT related requests from relevant authorities, including assisting their personnel during compliance visits
- > Drafting an AML-CFT report for the board at the required frequency, and advising them as necessary

Directorship Services

- > Serving as one of the directors of the licence holder
- > Attending and voting during board meetings
- > Offering guidance and being responsible for the general governance of the licence holder, its proper administration, management and supervision of its affairs

WHY MALTA?

Malta is a leading European financial centre that combines high regulatory standards and rigorous enforcement with a commercial, business savvy attitude.

Benefits of Malta include:

- > Highest regulatory standards
- > European financial services hub
- > An international financial services centre serving as a platform and base of operations for businesses seeking to tap into the European, North African and Middle Eastern markets
- > Very low set-up and operational costs and fiscal base
- > English speaking workforce
- > Well-connected geographical location

CONTACT

TRIDENT CORPORATE SERVICES

(MALTA) LTD

TRIDENT FUND SERVICES (MALTA) LTD

TRIDENT TRUST COMPANY (MALTA) LTD

TRI CONSULTANCY LIMITED

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- ▶ PEOPLE LED
- ▶ TECH ENABLED
- ▶ GLOBAL COVERAGE
- ▶ TAILORED SERVICE

- ▶ 1,000 STAFF
- ▶ 25 JURISDICTIONS
- ▶ 38,000 ENTITIES
- ▶ \$140BN AUA

- ▶ FUNDS
- ▶ PRIVATE CLIENTS
- ▶ CORPORATE CLIENTS
- ▶ MARITIME

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