

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 and Anti-Money Laundering/Combating the Financing of Terrorism (AML-CFT) services to assist investment funds and fund managers in complying with their statutory obligations.

Compliance Services

- > Serving as the compliance officer of the fund and assisting its officers with regards to compliance matters in accordance with the licence issued to the fund
- > Implementing and maintaining a compliance monitoring programme
- > Implementing and maintaining compliance policies and procedures
- > Visiting the fund'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'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 fund
- > Establishing and reviewing the fund's business and customer risk assessments and customer acceptance policy
- > Reviewing, updating and implementing the AML-CFT policies of the fund and ensuring compliance by employees and service providers
- > Reviewing, updating and implementing a sanctions policy
- > 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

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

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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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