

CURRICULUM VITAE
of
ADV. FLORENCE MALEKA

PERSONAL INFORMATION

ADV. FLORENCE T MALEKA
PRINCIPAL LAWYER
(FORENSIC)

PROFILE

I am an admitted Advocate of the High Court of South Africa and a member of the Centurion society of Advocates.

I have a cumulative of more than 20 years' experience in the following fields: Compliance Management, Risk Management, ethics, Forensic Investigation, enforcement, and legal services. I successfully led and managed Risk, Investigations and Compliance Units in well-

EDUCATION

University of Pretoria

LLB Law Degree
2005

Vista University

B. Uris Law Degree
1998

Legal Education and Development (Law Society of South Africa) Pretoria

Practice Management Training (PMT) Certificate
2022

Gauteng Society of Advocates (GSA)

Pupillage (Legal Practice Training)
2020

University of Pretoria (UP)

Effective Risk Management Certificate
2019

Witwatersrand University

Management Advancement Programme (MAP)
2017

Compliance Institute Southern Africa (CISA)

Compliance Risk Management Plans (CRMP)
2016

University of Pretoria (UP)

Update of Key Principles & Statutory interpretation
Under a Supreme Constitution
2015

Corporate Business & Management Training

Project Management5
2014

Siyanqoba Praivate FET College

Business Writing
2014

University of Johannesburg (UJ)

Anti Money Laundering Control (AML)

known and established state-owned entities.

I have a thorough knowledge and understanding of the legal and compliance management principles, the Public Finance Management Act (PFMA); Municipal Finance Management Act (MFMA), Treasury Regulations and related public sector regulations in the Republic of South Africa.

LEADERSHIP RESPONSIBILITIES:

Special Investigating Unit (SIU): Organisational Culture Change Champion
2024

Special Investigating Unit (SIU): Performance Agreement Development
Task team member
2023

Social Housing Regulatory Authority (SHRA)
Technical Evaluation Committee (TEC)
2017

National Department of Human Settlements
National Rental Housing Task Team member NRHTT)
2018

2012

Department of justice and Constitutional Development

Basic Legislative Drafting
2011

Compliance Institute Southern Africa (CISA)

Introduction to Compliance Management
2009 & 2013

Regenesys Management

Management
2009

Maimela Consulting

Junior Management Development Programme
2009

Edge Training

Coaching and mentoring
2009

Special Investigating Unit (SIU)

Interviewing Skills
2007

WORK EXPERIENCE

Principal Lawyer (Forensic) Special Investigating Unit (SIU)

February 2022 – to date

Duties and responsibilities

- I. Lead forensic legal participation on investigations requiring legal expertise;
- II. Provide legal technical input to develop solutions for investigation problems;
- III. Lead the provision of expert interpretation as required during the consolidation and drafting of Combined, Interim and Presidential Reports a per prescribed standards.
- IV. Draft legal opinion on selected legal issues raised in the process of investigations and attend to all legal documents in all projects;
- V. Settle all relevant project documentation, for example, referral letters and section 5(2) documentation, as required;

Small Enterprise
Development Agency
(Seda)
Policy Review Committee
2015

Financial Services Board
(FSB) Risk Champion - FAIS
Enforcement Department
2013 - 2014

Financial Services Board
(FSB)
Determination Review Panel
Member
2013

Financial Intelligence Center
(FIC) Inspector (ito Section
45A of the FIC Act)
2011 - 2012

Government Employees
Pension Fund (GEPP)
Training and Skills
Development Coordinator
2009

Special Investigating Unit
(SIU)
Events Co-ordinator - Social
Club
2007

OTHER SKILLS

- Leadership and management
- Attention to detail
- Report writing
- Legal advice

VI. Settle investigation, Closure, Combined, Interim, Presidential and Supplementary Reports as required as per prescribed standards;

VII. Monitor the quality of work delivered by Forensic Lawyers and Chief Forensic Lawyers on projects;

VIII. Conduct legal research for purposes of correctly aligning legal findings to the factual information,

IX. Cooperate with other law enforcement agencies or institutions in support of criminal, disciplinary and /or civil litigation proceedings when required;

X. Participate in legal/litigation activities when required;

XI. Enforce compliance to policies, practices and procedures in the conduct of investigations;

XII. Contribute towards the creation and implementation of appropriate quality assurance framework and mechanisms;

XIII. Develop performance contracts for subordinates and conduct performance reviews in consultation with the Project Manager, to measure performance against agreed objectives and identify training needs;

XIV. Manage the recruitment of subordinates according to approved organization structure, job requirements, EE targets and guidelines;

XV. Conduct regular scheduled team meetings to discuss updates, process improvements, process changes and other issues affecting the team

XVI. Provide input into the strategy and approach from provincial projects and where applicable for national investigation projects;

XVII. Contribute to the cultivation and maintenance of sound working relationships and communication channels with relevant stakeholders, consultants and contractors to enhance business development.

Acting Head: Investigations Special Investigating Unit (SIU)

February 2023 – June 2024

- Lead and oversee the delivery of provincial portfolios of projects and programmes in accordance with predetermined quality standards and project management principles, ensuring optimal business delivery and in support of the Multi-disciplinary approach ("MDA") to all projects / assignments within the SIU.

- Monitoring non-compliance with the provisions of the Social Housing Act and Regulations through the analysis and assessment of quarterly and annual reports received from Social Housing Institutions;
- Investigate non compliance complaints reported against SHI and Other Delivery Agents
- Develop and implement enforcement processes
- Manage the sector data by managing the monitoring reporting tools, data collection and the capturing of data for analysis purposes.
- Attending internal and external meetings on behalf of the Compliance and Monitoring function.
- Manage the preparation and issuing of quarterly compliance analysis reports; circulars and compliance notices.
- Support and implement interventions in the social housing sector.
- Reporting to EXCO and Regulations Committee on the performance of the Compliance and Monitoring function.

**Compliance Manager (Compliance Consultant)
Small Enterprise Development Agency (SEDA)**

Duties and responsibilities:

- Manage Seda's compliance with applicable legislation, policies, codes of good practice, standards and procedures. Ensure that there is compliance within the organization;
- Develop and review compliance guiding documents
- Manage the implementation of compliance controls and non-compliance mitigation programmes,
- Manage the analysis of declaration of interests submitted by the employees.
- Promote a culture of good corporate governance and compliance within the organization,
- Facilitate, promote and maintain a culture of risk awareness and accountability

- Manage and review compliance plans and monitoring / inspection reports
- Manage compliance monitoring and the reporting of compliance inspection programs and procedures.
- Manage the integration of compliance processes into the business practices
- Manage compliance by all business units and ensure that all applicable legislative and policy provisions are implemented
- Manage and facilitate ethics and compliance training and awareness initiatives within the organization.
- Compile and present compliance reports to EXCO, MANCO and the board.
- Facilitate and present documents at Risk and Compliance Forums and operations meetings,
- Manage and drive the ethics, risk and compliance awareness initiatives within the organization.
- Manage and report on the investigation of reported non-compliance, fraud and corruption
- Develop and maintain an effective case management system
- Manage financial resources of the compliance function
- Oversee publication of compliance articles, compliance notices and any other compliance communication within the organisation.

Financial Sector Conduct Authority (FSCA)

Senior Analyst

August 2012 - June 2015

Duties and responsibilities:

- Ensure compliance with the Financial Advisory and Intermediary Services Act (FAIS Act) and take enforcement action against financial services providers who do not comply or have contravened the provisions of the Financial Advisory and Intermediary Services Act and any other legislation governing the financial industry, and any person rendering financial services without authorization.
- Prepare and manage cases referred to the FAIS department for enforcement action and conduct

investigation regarding reported contraventions of the FAIS Act which include the rendering of certain financial and intermediary services to clients, the general conduct of financial services providers and financial services representatives

- Interact with the Enforcement Unit regarding enforcement cases and provide technical support where required;
- Deal with debarment of representatives in terms of the FAIS Act;
- Collaborate and coordinate enforcement action with FAIS Compliance and Insurance Departments;
- Provide support to the SAPS and Director of Public Prosecutions regarding investigations and prosecutions of FAIS contraventions;
- Perform administrative and other activities relating to the regulatory framework;
- Train and supervise staff with regard to enforcement process systems;
- Assist with the development of a policy for Enforcement Referral Criteria for staff;
- Attend and testify in court proceedings when required;
- Develop and keep the following reports: Enforcement cases; Bi-monthly team meeting minutes and Enforcement Committee matters; and
- Participate in meetings and share information with other regulatory bodies when required Other Key Competencies
- To conduct investigations relating to unregistered insurance business;
- Ensure compliance with the provision of the Long-term and Short-term Insurance Act 9;
- Monitor compliance with legislation to ensure the protection of investors
- Prepare administrative penalties for prosecution in cases of contravention of the Insurance Act.
- Develop and present monthly enforcement and compliance reports

Financial Intelligence Centre (FIC)

Assistant Compliance Officer

2010 March - 31 July 2012

Duties and responsibilities:

- Conduct inspections and prepare reports in accordance with operational standards within 5 days of the audit/inspection date;
- Provide inspection report with findings and recommendations to the Enforcement Division to inform its decision;
- Monitor data quality and compliance of registration information;
- Provide guidance to regulated institutions regarding the application and interpretation of relevant anti money legislation and trends;
- Liaise and maintain professional relationships with relevant stakeholders, including regulated institutions, on FICA and AML compliance matters;
- Participate in the review and enhancement of the information and communication, reporting documents, forms (STR - Suspicious Transaction Report forms) to support the business processes and the goal of FIC.

Government Employees Pension Fund (GEPF)

Forensic Investigator

July 2008 - 2010 February

Duties and responsibilities:

- Drawing up investigation project plans
- Budget and business resources implementation
- Prioritise, manage and conduct investigation audits
- Conduct ethics and fraud prevention awareness and training
- Monitor project financial including work progress
- Provide a clear sense of direction to the team
- Coach, mentor and develop staff

- Liaise with law enforcement agencies, consultants and stakeholders
- Testify in disciplinary and criminal hearings/proceedings

City of Johannesburg

Forensic Auditor

August 2007- June 2008

Duties and responsibilities:

- Conduct investigations on allegations of fraud and corruption within the
- Johannesburg Metropolitan area;
- Plan, conduct, execute and report on investigation projects;
- Prepare reports with findings and recommendations,
- Prepare evidence to support the recommendations

Special Investigating Unit (SIU)

Trainee Forensic Investigator (JFI)

August 2006- July 2007

Duties and responsibilities:

- Conduct investigation on allegations of fraud, corruption and maladministration in any government institution in terms of the relevant proclamation;
- Investigation of fraudulently acquired drivers license
- Interviewing of witnesses and suspects;
- Drafting of statement, affidavits and investigation reports
- Liaising with the South African Police Services (SAPS) regarding effecting arrests; and other law enforcement agencies. (NPA)
- Tracing witnesses through the department of Home Affairs, Information Trust Corporation and the National Transport Information System.

REFERENCES:

Advocate Celiwe Nkosi
Company Secretary SHRA

Mr Stephens Seemane
Attorney
Cell
Offic
Emc

Mr Mandla Tlabano
Specialist Compliance SEDA

Mr Godfrey Dieta
Principal Forensic Investigator Office: 012 843 0221
Cell: 082 900 1234
Emc