

## CURRICULUM VITAE

Title : Advocate  
Names : Florence Tlupi  
Surname : Maleka  
Id Number :  
Date of Birth :  
Gender : Female  
Marital Status : Single  
Nationality : South African  
Drivers License : Code B  
Health : Excellent

## CONTACT DETAILS

Residential Address :  
  
Postal Address :  
  
Contact Numbers :  
  
Email Address :  
  
Website address :

## EDUCATIONAL QUALIFICATIONS

High school : Sohanguve High School  
Grade passed : Grade 12  
Subjects : English, North Sotho, Afrikaans, Biology  
Mathematics and Physical Science  
Year passed : 1995

#### **TERTIARY QUALIFICATIONS:**

1. Institution : University of Pretoria  
Qualification : LLB Law degree  
Courses : Labour law, Private law, Customary law,  
Criminal law, Civil law, Constitutional and  
Administrative law, Commercial law, Law of  
Evidence, Jurisprudence, Research &  
Methodology  
**Year Obtained : 2005**
2. Institution : VISTA University  
Qualification : B.luris law degree  
Year obtained : 1998

#### **MEMBERSHIPS**

1. Institution : Centurion Society of Advocates
2. Institution : Legal Practice Council (LPC)  
Membership No:

#### **SPECIAL TRAINING**

1. Institution : Legal Education and Development (Law Society of  
South Africa) Pretoria

Certificate	:	Practice Management Training (PMT)
Year	:	2022
2. Institution	:	Gauteng Society of Advocates (GSA)
Certificate	:	Pupillage (Legal Practice Training)
Year	:	2020
3. Institution	:	University of Pretoria (UP)
Certificate	:	Effective Risk Management
Year	:	2019
4. Institution	:	Wits Business School
Certificate	:	Management Advancement Programme (MAP)
Year	:	2017
5. Institution	:	Compliance Institute Southern Africa (CISA)
Certificate	:	Compliance Risk Management Plans (CRMP)
Year	:	2016
6. Institution	:	University of Pretoria (UP)
Certificate	:	Update of Key Principles & Statutory interpretation Under a Supreme Constitution
Year	:	2015
7. Institution	:	Corporate Business & Management Training
Certificate	:	Project Management5
Year	:	2014
8. Institution	:	Siyanqoba Praivate FET College
Certificate	:	Business Writing
Year	:	2014
9. Institution	:	University of Johannesburg (UJ)
Certificate	:	Anti Money Laundering Control (AML)
Year	:	2012
10. Institution	:	Department of justice and Constitutional Development
Certificate	:	Basic Legislative Drafting
Year	:	2011
11. Institution	:	Compliance Institute Southern Africa (CISA)
Certificate	:	Introduction to Compliance Management
Year	:	2009 & 2013

12. Institution	:	Regenesys Management
Certificate	:	Management
Year	:	2009
13. Institution	:	Maimela Consulting
Certificate	:	Junior Management Development Programme
Year	:	2009
14. Institution	:	Edge Training
Certificate	:	Coaching and mentoring
Year	:	2009
15. Institution	:	Special Investigating Unit (SIU)
Certificate	:	Interviewing Skills
Year	:	2007

#### LEADERSHIP RESPONSIBILITIES

1. Institution	:	Special Investigating Unit (SIU)
Responsibilities	:	Performance Agreement Development Task Team Member.
Year	:	2023
2. Institution	:	Social Housing Regulatory Authority (SHRA)
Responsibilities	:	Technical Evaluation Committee (TEC)
Year	:	2017
3. Institution	:	National Department of Human Settlements
Responsibilities	:	National Rental Housing Task Team member (NRHTT)
Year	:	2018
4. Institution	:	Small Enterprise Development Agency (Seda)
Responsibilities	:	Policy Review Committee (PRC) and Bid Specification
Year	:	2015
5. Institution	:	Financial Services Board (FSB)
Responsibilities	:	Risk Champion - FAIS Enforcement Department
Year	:	2013 - 2014
6. Institution	:	Financial Services Board (FSB)

Responsibilities	:	Determination Review Panel Member
Year	:	2013
7. Institution	:	Financial Intelligence Center (FIC)
Responsibilities	:	Inspector (ito Section 45A of the FIC Act)
Year	:	2011 - 2012
8. Institution	:	Government Employees Pension Fund (GEPF)
Responsibilities	:	Training and Skills Development Coordinator
Year	:	2009
9. Institution	:	Special Investigating Unit (SIU)
Responsibilities	:	Events Co-ordinator - Social Club
Year	:	2007

### CURRENT EMPLOYMENT

<b>1. Institution</b>	:	<b>Special Investigating Unit (SIU)</b>
<b>Position</b>	:	<b>Acting Head: Investigations</b>
<b>Division/Unit</b>	:	<b>Legal and Forensic Investigations (Operations)</b>

**Main purpose:**

- To 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.
- Manage Delivery of Provincial Portfolio of Projects and Programmes. Development of the Project Management and Investigations Areas. Stakeholder Management and Business Development. Staff Management.

**Period** : **01 February 2023 to date**

<b>2. Institution</b>	:	<b>Special Investigating Unit (SIU)</b>
<b>Position</b>	:	<b>Principal Forensic Lawyer (Senior Manager)</b>
<b>Division/Unit</b>	:	<b>Legal and Forensic Investigations</b>

**Core Responsibilities of the role:**

- I. Lead forensic legal participation on investigations requiring forensic legal expertise;
- II. Provide forensic 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;
- 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 organisation 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.

**Period** : **01 February 2022 to date**  
**Reason for leaving** : **Growth and more responsibilities**  
**EMPLOYMENT HISTORY**

**1. Institution** : **Advocate FT Maleka**  
**Position** : **Legal Practitioner practicing as an Advocate**  
**Duties** : **Legal Services**  
**Legal drafting (legal opinion, contracts, pleadings)**  
**Litigation (civil, criminal, labour etc)**  
**Compliance management**  
**Forensic Investigations**  
**Legal advice**  
**Court appearances**

**Period** : **May 2020 - 31 January 2022**

**3. Institution** : **Social Housing Regulatory Authority (SHRA)**  
**Position** : **Compliance and Monitoring Manager**  
**Division/Unit** : **Compliance, Accreditation and Regulatory (CAR)**

**Duties and Responsibilities** :

- Manage the Compliance and Regulatory function of the organisation
- Ensure compliance with the Social Housing Act and Regulations
- Develop and implement the compliance and monitoring processes
- Oversee inspections of all Social Housing Institutions (SHIs) and Other Delivery Agents to ensure compliance with all legal and regulatory requirements.
- Develop the compliance plans by analyzing the sector compliance status and performance, trends and patterns,

- 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.

**Critical and additional competencies:**

- Leadership
- Attention to detail
- Team work
- Time management
- Independence
- Analytical

**Year** : **01 October 2017 to 29 February 2020**

**Reason for leaving** : Legal training (attend pupillage) and to enhance my qualifications and career progression.

**4. Institution** : **Small Enterprise Development Agency (SEDA)**

**Position** : **Compliance Manager**

**Division** : **Risk and Compliance Unit**

**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 organisation
- Manage the implementation of compliance controls and non-compliance mitigation programmes
- Facilitate, promote and maintain a culture of risk awareness
- and accountability
- Develop compliance and forensic investigation guiding documents (policies, strategy and manual).
- Manage the investigation of reported allegations of theft, misconduct, maladministration and non compliance to legislation applicable to the organisation.

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- 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
- Investigate all non compliance issues within the organization, make recommendations on corrective actions necessary.
- Manage and train management and staff on compliance and ensure that corrective steps are taken to attain compliance
- Compile and present compliance reports to EXCO, MANCO and the board
- Manage the ethics, risk and compliance awareness initiatives within the organisation
- 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.

Year : 01 July 2015 - 30 September 2017  
Reason for leaving : Better career prospects and growth.

**4. Institution** : **Financial Sector Conduct Authority (FSCA)**  
**Position** : **Senior Analyst**  
**Division (s)** : **FAIS Enforcement Department (FAIS) and  
Insurance Compliance Department**

**Key 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.

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- Prepare and manage cases referred to the FAIS department for enforcement action and conduct investigation with regard to 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
- Plan and perform onsite visits in terms of the risk-based supervision approvals
- Prepare administrative penalties for prosecution in cases of contravention of the Insurance Act.
- Develop and present monthly enforcement and compliance reports
- Participate in meetings and share information with other regulatory bodies when required.

**Year** : **01 August 2012 - 30 June 2015**  
**Reason for leaving** : **Career progression and growth.**

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**5. Institution** : **Financial Intelligence Centre (FIC)**  
**Position** : **Assistant Compliance Officer**  
**Division** : **Compliance and Prevention (CAP)**

**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.

**Year** : **2010 March - 31 July 2012**  
**Reason** : **Growth and more responsibilities**

**6. Institution** : **Government Employees Pension Fund (GEPF)**  
**Position** : **Senior Forensic Investigator**  
**Division** : **Forensic Investigations**

**Duties and responsibilities:**

- Drawing up investigation project plans
- Budget and business resources implementation
- Prioritise, manage and conduct investigation audits
- 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

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- Testify in disciplinary and criminal hearings/proceedings

Year : 2008 July - February 2010  
 Reason for leaving : Exposure to new things

**7. Institution** : **City of Johannesburg** **Position**  
 : **Forensic Auditor**  
**Division** : **Risk and Audit Unit**

**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

Year : 2007 August - 2008 June  
 Reason : Growth

**8. Institution** : **Special Investigating Unit (SIU)**  
**Position** : **Trainee Forensic Investigator**

**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 licence
- Interviewing of witnesses and suspects;
- Drafting of statement, affidavits and investigation reports
- Liaising with the South African Police Services (SAPS) with regard to 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.

Year : 2006 August - 2007 July  
 Reason for leaving : Trainee programme

**REFERENCES**

- |               |   |  |
|---------------|---|--|
| 1. Name       | : | Advocate Celiwe Nkosi                      |
| Institution   | : | Social Housing Regulatory Authority (SHRA) |
| Position      | : | Company Secretary (COSEC)                  |
| Contact No.   | : |  |
| Email Address | : |  |
|               |   |  |
| 2. Name       | : | Mr. Stephens Seemane                       |
| Institution   | : | Seemane Attorneys                          |
| Position      | : | Lawyer                                     |
| Contact No.   | : |  |
| Email Address | : |  |
|               |   |  |
| 3. Name       | : | Mr. Mandla Tlabano                         |
| Institution   | : | Small Enterprise Development Agency (SEDA) |

Position : Specialist Compliance  
Contact No :

Email Address :

4. Name : Mr. Godfrey Dieta  
Institution : Special Investigating Unit (SIU)  
Position : Principal Forensic Investigator NW Provincial Office  
Contact No. :

Email Address :

