



EDFIS/C/025/2015
13th October 2015

The Compliance Officer
All Investment Firm Licensees
Manama
Kingdom of Bahrain

Dear Sir,

CBB Rulebook: Volume 4 (Investment Business)
October 2015 Update

The October 2015 quarterly update to Volume 4 has now been incorporated in the website version of the Rulebook.¹

Changes for October 2015

The changes for October 2015 are listed in the attached table.

Further Information

Should you have any queries regarding these updates, you may contact the Director of Financial Institutions Supervision Directorate, or the CBB Rulebook team at (rulebook@cbb.gov.bh), on 17547968.

Yours faithfully,

Abdul Rahman Al Baker

Enclosure: Volume 4 Update Table.

¹ Volume 4 can be accessed from www.cbb.gov.bh : from the Home page, select 'CBB Rulebooks' and then 'Volume 4'.

CBB Rulebook (Volume Four) – October 2015 Update

PART A FOLDER		
Module Code	Module Title	Summary of Changes and Printing Instructions
All Modules	N/A	Print off the Table of Contents page for each Module and the Module History Section when changes have been made.
GR	General Requirements	GR-A.1.2, GR-B.1.2 and GR-5: Updated to reflect issuance of Resolution No. (27) of 2015 governing control in investment firm licensees.
FC	Financial Crime	FC-1.1.11: Clarified Rule for incomplete customer due diligence.
TC	Training & Competency	Appendix TC-1: Added additional example of certification for financial instruments trader.
BR	CBB Reporting	BR-1.4.1 and BR-2.3.11: Added cross reference to reflect update to Chapter GR-5. BR-2.2.23, BR-2.2.23A and BR-2.3.10: Amended to be in line with updated Chapter GR-5.

PART B FOLDER		
Glossary		
Added definition for ultimate parent undertaking.		
CBB Authorisation Forms		
Form 2	Application for Authorisation of Controller	Updated to reflect issuance of Resolution No. (27) of 2015 governing control in investment firm licensees.