



FINANCIAL CRIME MODULE

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APPENDICES (included in Volume 4 (Investment Business), Part B)

CBB Reporting Forms

<i>Form Name</i>	<i>Subject</i>	
STR	Suspicious Transaction Reporting Form [Deleted in July 2016]	07/2016
MLRO	[This form is deleted 07/2010]	

Supplementary Information

<i>Item Number</i>	<i>Subject</i>	
FC-(i)	Decree Law No. 4 (2001)	04/2006
FC-(i)(a)	Decree Law No. 54 (2006)	07/2007
FC-(i)(b)	Decree Law No.58 (2006)	07/2007
FC-(ii)	UN Security Council Resolution 1373 (2001)	04/2006
FC-(iii)	UN Security Council Resolution 1267 (1999)	04/2006
FC-(iv)	Examples of Suspicious Transactions	04/2006
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CHAPTER	FC-1: Customer Due Diligence Requirements

FC-1.2 Face-to-face Business

Natural Persons

FC-1.2.1

If the customer is a natural person, investment firm licensees must identify the person's identity and obtain the following information before providing financial services of any kind:

- (a) Full legal name and any other names used;
- (b) Full permanent address (i.e. the residential address of the customer; a post office box is insufficient);
- (c) Date ~~and place~~ of birth;
- (d) Nationality;
- (e) Passport number (if the customer is a passport holder);
- (f) Current CPR or residency permit number (for residents of Bahrain or GCC states) or government issued national identification proof;
- (g) Telephone/fax number and email address (where applicable);
- (h) Occupation or public position held (where applicable);
- (i) Employer's name and address (if self-employed, the nature of the self-employment);
- (j) Type of account, and nature and volume of anticipated business dealings with the licensee;
- (k) Signature of the customer(s);
- (l) Source of funds; ~~and~~
- (m) Reason for opening the account; ~~and~~
- (n) Place of birth.

FC-1.2.1A

Investment firm licensees obtaining the information and customer signature electronically using digital applications must comply with the applicable laws governing the onboarding/business relationship including but not limited to the Electronic Communications and Transactions Law (Law No. 54 of 2018) for the purposes of obtaining signatures as required in Subparagraph FC-1.2.1 (k) above.

FC-1.2.2 See the Guidance Notes (filed under Supplementary Information in Part B of Volume 4) for further information on source of funds (FC-1.2.1 (1)) and CDD requirements for Bahrain residents (FC-1.2.1 (c) & (f)).