



EDFIS/C/050/2019
13th May 2019

The Chief Executive Officer
All Investment Firm Licensees
Manama
Kingdom of Bahrain

Dear Sir/Madam,

CBB Rulebook: Volume 4 (Investment Business)
April 2019 Update

The April 2019 quarterly update to Volume 4 has now been incorporated in the website version of the Rulebook.¹

Changes for April 2019:

The changes for April 2019 are listed in the attached table.

Investment firms must ensure that all relevant staff are informed of the latest amendments and that where needed, appropriate action is taken to ensure full compliance. Licensees which are not in full compliance must notify the CBB with immediate effect and provide an action plan for compliance on a quarterly basis.

Further Information:

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

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) – April 2019 Update

PART A FOLDER		
Module Code	Module Title	Summary of Changes and Printing Instructions
AU	Authorisation	AU-1.4.41A Added a new Paragraph on digital investment advice.
DA	Digital Financial Advice	New Module DA.
EN	Enforcement	EN-4.3.3 Moved guideline to Section EN-B.2. EN-6 Deleted Chapter.
GR	General Requirements	GR-5.1.1A Added a new Paragraph on exposure to controllers. GR-5.1.1B Added a new Paragraph on exposure to controllers.
RM	Risk Management	RM-9.1 Added a new Chapter on Cyber Security Risk.