



EDFIS/C/066/2020

30th June 2020

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

Dear Sir/Madam,

CBB Rulebook: Volume 4 (Investment Business)
April 2020 Update

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

Changes for April 2020:

The changes for April 2020 are listed in the attached table.

Licensees 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 2020 Update

PART A FOLDER		
Module Code	Module Title	Summary of Changes and Printing Instructions
BC	Business Conduct	BC-3.3.15 Amended Paragraph adding reference to CBB consumer protection. BC-3.5.6 Amended Paragraph adding reference to CBB consumer protection. BC-3.7.1 - BC-3.7.3 Amended Paragraph adding reference to CBB consumer protection.
FC	Financial Crime	FC-2.1.3 & FC-2.1.4 Added new Paragraphs on KPIs compliance with AML/CFT requirements.
GR	General Requirements	GR-7.1.8 Amended Paragraph.
HC	High Level Controls	HC-5.3.3 Added a new Paragraph on KPIs compliance with AML/CFT requirements.
UG	User Guide	UG-3.2.2 Amended Paragraph.

Part B

PART B FOLDER		
CBB Authorisation Forms		
Form 2	Application for Authorisation of Controller	<ul style="list-style-type: none"> • Amended Declaration. • Amended Section II -Individual Controller. • Amended Section III – Corporate Controller. • Amended Section IV – Additional Information.
Form 3	Application for Approved Person Status	<ul style="list-style-type: none"> • Amended Declaration. • Amended Section IV – Personal Background.