



EDFIS/C/039/2020
6th April 2020

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

Dear Sir/Madam,

CBB Rulebook: Volume 4 (Investment Business)
January 2020 Quarterly Update

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

Changes for January 2020:

The changes for January 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) – January 2020 Update

PART A FOLDER		
Module Code	Module Title	Summary of Changes and Printing Instructions
BR	CBB Reporting	BR-1B.4.1 Amended Paragraph to add requirements applicable to Cat. 1 and 2. BR-1B.4.2 Amended Paragraph on reports purpose. BR-1B.4.6 Added a new Paragraph on reporting requirements. BR-2.3.12 Amended Paragraph. BR-2.3.15 Amended Paragraph.
FC	Financial Crime	FC-1.1.1 Amended Paragraph on procedures approval. FC-1.2.1 Added a new sub-Paragraph. FC-3.2.1(d) Amended sub-Paragraph. FC-3.3.5 Amended Paragraph on report submission date. FC-3.3.7 Amended Paragraphs references.
GR	General Requirements	GR-1.2.1 Amended Paragraph.
HC	High Level Controls	HC-1.2.2 & HC-1.11.5 Amended Paragraphs on policy and procedures approval.

Part B

PART B FOLDER		
Reporting Forms		
QPR - Reporting instructions	Quarterly Prudential Returns Reporting Instructions	Deleted Paragraph B.8.
QPR Form	Quarterly Prudential Returns Reporting Form	Amended form.
Supplementary Information		
Appendix BR-2	Requirements for Report on Private Placements	Added approval date to the requirements.
Appendix PD-1	Instructions for Publication of Press Releases	New Appendix