



EDFIS/C/78/2020
16th September 2020

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

Dear Sir/Madam,

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

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

Changes for July 2020:

The changes for July 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) – July 2020 Update

PART A FOLDER		
Module Code	Module Title	Summary of Changes and Printing Instructions
AU		AU-1.1.13 Added new sub-paragraph (ff). AU-1.1.17 Added new sub-paragraph (c). AU-1.1.22A, AU-1.1.22B, AU-1.1.22C Added new Paragraphs on Arranging Credit and Advising on Credit suitability. AU-1.4.43 Deleted Paragraph. AU-1.4.47A, AU-1.4.47B, AU-1.4.47C, AU-1.4.47D, AU-1.4.47E, AU-1.4.47F, AU-1.4.47G Added new Paragraphs on Arranging Credit and Advising on Credit definitions.

Part B

PART B FOLDER
Glossary
Amended definition of Independent director.