



EDFIS/C/094/2019  
8<sup>th</sup> December 2019

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

Dear Sir/Madam,

**CBB Rulebook: Volume 4 (Investment Business)**  
**October 2019 Update**

The October 2019 quarterly update to Volume 4 has now been incorporated in the website version of the Rulebook.<sup>1</sup>

**Changes for October 2019:**

The changes for October 2019 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](mailto:rulebook@cbb.gov.bh).

Yours faithfully,

**Abdul Rahman Al Baker**

Enclosure: Volume 4 Update Table.

<sup>1</sup> Volume 4 can be accessed from [www.cbb.gov.bh](http://www.cbb.gov.bh) : from the Home page, select 'CBB Rulebooks' and then 'Volume 4'.

## CBB Rulebook (Volume Four) – October 2019 Update

PART A FOLDER			
Module Code	Module Title	Summary of Changes and Printing Instructions	
AU	Authorisation	AU-5.1.12H AU-5.1.12I AU-5.1.12J AU-5.6.1	Changed from Rule to Guidance. Changed from Rule to Guidance. Changed from Rule to Guidance. Changed from Rule to Guidance.
BR	CBB Reporting	BR-1.4.5A	Added a new Paragraph on disclosure of financial penalties.
CA	Capital Adequacy	CA-1.1.1 CA-1.1.4 CA-2.1.3 CA-3.2.1 CA-3.2.2 CA-3.2.3	Amended Paragraph on the obligation to maintain adequate capital. Amended Paragraph on minimum capital requirement. Amended Paragraph on eligible components. Added new PRR in Schedule 1 for claims on sovereigns, PSEs, International Organisations and MDBs. Added a new Paragraph on PRR for claims on sovereigns to governments and central banks. Added a new Paragraph on PRR for Bahraini PSEs, International Organisations and MDBs.
EN	Enforcement	EN-B.4.6	Added a new Paragraph on disclosure of financial penalties.
FC	Financial Crime	FC-1.9.2 FC-3.1.7 FC-3.2.1 FC-4.2.3 FC-4.3.2 FC-7.2.1AA	Amended authority name. Amended authority name. Amended authority name. Amended authority name. Amended authority address. Defined 'without delay'.

CBB Rulebook (Volume Four) – October 2019 Update contd.

**Part B**

<b>PART B FOLDER</b>		
<b>GLOSSARY</b>		
Added definition of 'without delay'.		
<b>Supplementary Information</b>		
Appendix FC-6	Agreed Upon Procedures	Amended Procedures 76 & 77.