



ANTI-MONEY LAUNDERING AND COMBATING OF FINANCIAL CRIME MODULE

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<i>Form Name</i>	<i>Subject</i>	
STR	[Deleted in July 2016]	07/2016

Supplementary Information

<i>Item Number</i>	<i>Subject</i>	
AML-(i)	Decree Law No. 4 (2001)	10/2010
AML-(i)(a)	Decree Law No. 54 (2006)	10/2010
AML-(i)(b)	Decree Law No. 58 (2006)	10/2010
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CHAPTER	AML-1: Customer Due Diligence Requirements

AML-1.2 Face-to-Face Business

Natural Persons

AML-1.2.1 If the customer is a natural Person, Capital Market Licensees must identify the person's identity and obtain the following information before providing capital market services, as described in paragraph AML-1.1.2:

- (a) Full legal name and any other names used;
- (b) Full permanent address (i.e. the residential address of the customer; a post office box is insufficient);
- (c) Date **and place** of birth;
- (d) Nationality;
- (e) Passport number (if the customer is a passport holder);
- (f) Current CPR or Iqama number (for residents of Bahrain or GCC states) or government issued national identification proof;
- (g) Telephone/fax number and email address (where applicable);
- (h) Occupation or public position held (where applicable);
- (i) Employer's name and address (if self-employed, the nature of the self-employment);
- (j) Type of account, and nature and volume of anticipated business dealings with the Capital Market Licensees;
- (k) Signature of the customer(s);
- (l) Source of funds;
- (m) Source of Securities; **and**
- (n) Reason for opening the account; **and**
- (o) **Place of birth.**

AML-1.2.1A Capital Market Licensees obtaining the information and customer signature electronically using digital applications must comply with the applicable laws governing the onboarding/business relationship including but not limited to the Electronic Transactions Law (Law No. 54 of 2018) for the purposes of obtaining signatures as required in Subparagraph AML-1.2.1 (k) above.

AML-1.2.2 See the Guidance Notes (filed under Supplementary Information in Part B of Volume 6) for further information on source of funds (rule AML-1.2.1 (l)) and CDD requirements for Bahrain residents (rule AML-1.2.1 (c) & (f)).