



EDFIS/C/069/2020
14th July 2020

The Chief Executive Officer
All Listed Companies
Self-Regulatory Organisations (SRO)
SRO Members
All Crypto-Asset Services Licensees
All Securities Issuers
Legal Firms
Auditing Firms
Manama, Kingdom of Bahrain

Dear Sir/Madam,

CBB Rulebook: Volume 6 (Capital Markets): April 2020 Quarterly Update

The April 2020 update to Volume 6 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.

All 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 and listed companies 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 Capital Markets Supervision (CMS) Directorate, Mrs. Abeer Al Saad on Tel: 17547909 or via email: aalsaad@cbb.gov.bh, or the CBB Rulebook team at email: rulebook@cbb.gov.bh.

Yours faithfully,

Abdul Rahman Al Baker
Enclosure: April 2020 quarterly update table

¹ Volume 6 can be accessed from www.cbb.gov.bh : from the Home page, select 'CBB Rulebooks' and then 'Volume 6'.

CBB Rulebook (Volume 6) – April 2020 Quarterly Update

Summary of Changes

PART A FOLDER			
Module Code	Module Title	Summary of Changes	
AML	Anti-Money Laundering & Combating of Financial Crime	AML-2.1.3 & AML-2.1.4	Added new Paragraphs on KPIs compliance with AML/CFT requirements.
DRA	Dispute Resolution, Arbitration and Disciplinary Proceedings	DRA-A.2.2, DRA-A.2.3, DRA-A.2.4 & DRA-A.2.5 DRA-B.2 DRA-4.1 DRA-4.2.2 DRA-4.2.2A DRA-4.2.2B DRA-4.2.3 DRA-4.2.4 DRA-5.1.1	Deleted Paragraphs. Deleted Section. Amended Section. Amended Paragraph on establishment and constitution of disciplinary appeals committee members. Added a new Paragraph. Added a new Paragraph. Amended Paragraph. Amended Paragraph. Amended Paragraph.
HC	High-Level Controls	HC-10.5.3	Added a new Paragraph on KPIs compliance with AML/CFT requirements.
MIR	Market Intermediaries and Representatives	MIR-2.2.12B MIR-3.4.3	Amended Paragraph. Amended Paragraph.
UG	User's Guide	UG-3.2.2	Amended Paragraph.

CBB Rulebook (Volume 6) – April 2020 Quarterly Update

Summary of Changes contd.

Part B

PART B FOLDER		
CBB Forms		
ALF Form	Annual License Fee	• Amended Form.
CRA Forms		
Form 1	Application for a License	• New Form.
Form 2	Information on Shareholders and Subsidiaries	• New Form
Form 3	Application for Approved Person Status	• New Form
CSD Forms		
Form 3	Application for Approved Person Status	• Amended Declaration. • Amended Section IV.
Form 4	Information on Shareholders and Subsidiaries	• Amended Declaration. • Amended Section II. • Amended Section III. • Added New Section VI.
DDA Form	Direct Debit Authorisation	• New Form.
MAE Forms		
Form 2	Information on Shareholders and Subsidiaries	• Amended Declaration. • Amended Section II. • Amended Section III. • Added New Section VI.
Form 3	Application for Approved Person Status	• Amended Declaration. • Amended Section IV.
MIR Form		
Form 2	Information on Shareholders and Subsidiaries	• Amended Declaration. • Amended Section II. • Amended Section III. • Added New Section VI.
Form 3	Application for Approved Person Status	• Amended Declaration. • Amended Section IV.
PIIR Form	Professional Indemnity Insurance Return	New Form.