



EDFIS/008/2018
30th January 2018

The CEO/General Manager
All Listed Companies
Self-Regulatory Organisations (SRO)
SRO Members
All Securities Issuers
Legal Firms
Auditing Firms
Manama, Kingdom of Bahrain

Dear Sir/Madam,

CBB Rulebook: Volume 6 (Capital Markets): January 2018 Quarterly Update

The January 2018 update to Volume 6 has now been incorporated in the website version of the Rulebook.¹

Changes for January 2018:

The changes for January 2018 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 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 17547128, or via email at: alsaad@cbb.gov.bh) or the CBB Rulebook team at (rulebook@cbb.gov.bh).

Yours faithfully,

Abdul Rahman Al Baker

Enclosure: Volume 6 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) – January 2018 Quarterly Update

Summary of Changes

PART A FOLDER		
Module Code	Module Title	Summary of Changes
AML	Anti-Money Laundering and Combating of Financial Crime	AML-B.2.4 Amended paragraph. AML-1.8.1 Amended paragraph. AML-1.10.1 Deleted sub-paragraph (a). AML-4.2.6 Amended paragraph. AML-9.1.4 Amended paragraph. AML-9.2.2 Deleted paragraph.
MIR	Market Intermediaries and Representatives License	MIR-4.7.23 Amended Paragraph. MIR-4.7.23A Added new guidance paragraph.
OFS	Offering of Securities	OFS-7.5.1 Amended Paragraph.

PART B FOLDER	
Supplementary Information	
Appendix MIR- 1: Segregation and Handling of Clients' Assets Agreed Upon Procedures.	New.