



EDFIS/C/021/2019  
25<sup>th</sup> February 2019

**The Chief Executive Officer**  
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 2019 Quarterly Update**

The January 2019 update to Volume 6 has now been incorporated in the website version of the Rulebook.<sup>1</sup>

**Changes for January 2019:**

The changes for January 2019 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 Tel: 17547128 or via email: [alsaad@cbb.gov.bh](mailto:alsaad@cbb.gov.bh), or the CBB Rulebook team at email: [rulebook@cbb.gov.bh](mailto:rulebook@cbb.gov.bh).

Yours faithfully,

**Abdul Rahman Al Baker**

Enclosure: January 2019 quarterly update table

<sup>1</sup> Volume 6 can be accessed from [www.cbb.gov.bh](http://www.cbb.gov.bh) : from the Home page, select 'CBB Rulebooks' and then 'Volume 6'.

**CBB Rulebook (Volume 6) – January 2019 Quarterly Update**

**Summary of Changes**

<b>PART A FOLDER</b>			
<b>Module Code</b>	<b>Module Title</b>	<b>Summary of Changes</b>	
AML	Anti-Money Laundering & Combating Financial Crime	AML-1.10.1 AML-3.3.2 AML-3.3.4 – AML-3.3.5	Amended references. Amended references. Amended references.
MAE	Markets & Exchanges	MAE-A.3.9  MAE-2.11.19 MAE-2.11.29A  MAE-2.12.3 MAE-4.6	Added a new Paragraph on market making. Deleted Paragraph. Added a new Paragraph on Cooling-off Period for the Crowd Funding. Amended Paragraph. Added a new Section on registration of market makers.
MIR	Market Intermediaries and Representatives	MIR-A.3.2  MIR-4.7.7(c)(iii) and MIR-4.7.7A  MIR-4.19	Added a new Paragraph on market makers. Deleted client disclosure requirement and criteria to be a market maker. Added a new Section on market making for liquidity enhancement.

<b>PART B FOLDER</b>	
<b>Glossary</b>	
New glossary terms added to incorporate terms for market makers.	