



EDFIS/C/012/2021

7<sup>th</sup> February 2021

**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): January 2021 Quarterly Update**

The January 2021 update to Volume 6 has now been incorporated in the website version of the Rulebook.<sup>1</sup>

**Changes for January 2021:**

The changes for January 2021 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](mailto:aalsaad@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 2021 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 2021 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 and Combating of Financial Crime	AML-5.1.6A	Added a new Paragraph on requirements to hire new employees.
OFS	Offering of Securities	OFS-A.1.2	Added reference to Resolution No (1) of 2007.
		OFS-8.2.3	Amended the fee schedule as per Resolution No (2) of 2020.

**Part B**

<b>PART B FOLDER</b>		
<b>Supplementary Information</b>		
OFS-Appendix 6	Remittance Form and Fees for Registration/Reviewing/Approving Offerings	Amended form.