



EDFIS/C/010/2017
17th April 2017

The Compliance Officer
All Investment Firm Licensees
Manama
Kingdom of Bahrain

Dear Sir,

CBB Rulebook: Volume 4 (Investment Business)
April 2017 Update

The April 2017 quarterly update to Volume 4 has now been incorporated in the website version of the Rulebook.¹

Changes for April 2017:

The changes for April 2017 are listed in the attached table.

Further Information:

Should you have any queries regarding these updates, you may contact the Director of Financial Institutions Supervision Directorate on 17547968 or the CBB Rulebook team at (rulebook@cbb.gov.bh).

Yours faithfully,

Abdul Rahman Al Baker

Enclosure: Volume 4 Update Table.

¹ Volume 4 can be accessed from www.cbb.gov.bh : from the Home page, select 'CBB Rulebooks' and then 'Volume 4'.

CBB Rulebook (Volume Four) – April 2017 Update

| PART A FOLDER | | |
|----------------------|----------------------------|--|
| Module Code | Module Title | Summary of Changes and Printing Instructions |
| BR | CBB Reporting Requirements | BR-1A.4 Added a new Section on Onsite Inspection Reporting. BR-2.2.17 corrected reference. |
| EN | Enforcement | EN-5.3A.3 Amendment to financial penalties for Data Sensitive Requirements. |
| FC | Financial Crime | FC-7.2.1AA Implementing and complying with the United Nations Security Council resolutions requirements. |

| PART B FOLDER | | |
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| Authorisation Forms | | |
| Form 3 | Application for Approved Person Status | Updated Sections I, III & IV on mandatory documents. |