



EDFIS/C/019/2019  
25<sup>th</sup> February 2019

**The Chief Executive Officer**  
All Investment Firm Licensees  
Manama  
Kingdom of Bahrain

Dear Sir/Madam,

**CBB Rulebook: Volume 4 (Investment Business)**  
**January 2019 Update**

The January 2019 quarterly update to Volume 4 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.

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 Financial Institutions Supervision Directorate, on 17547968 or the CBB Rulebook team at [rulebook@cbb.gov.bh](mailto:rulebook@cbb.gov.bh).

Yours faithfully,

**Abdul Rahman Al Baker**

Enclosure: Volume 4 Update Table.

<sup>1</sup> Volume 4 can be accessed from [www.cbb.gov.bh](http://www.cbb.gov.bh) : from the Home page, select 'CBB Rulebooks' and then 'Volume 4'.

## CBB Rulebook (Volume Four) – January 2019 Update

PART A FOLDER			
Module Code	Module Title	Summary of Changes and Printing Instructions	
BC	Business Conduct	BC-2.13	Added a new Section on Brokerage Fees.
FC	Financial Crime	FC-1.10.1	Amended references.
		FC-3.3.2 - FC-3.3.5	Amended references.
		FC-3.3.7	Amended references.
		FC-6.1.2	Amended references.

PART B FOLDER	
<b>SUPPLEMENTARY</b>	
Appendix BC-1 – Brokerage Fees Scale	<ul style="list-style-type: none"> <li>• Added new Appendix.</li> </ul>