



EDFIS/C/053/2016
27th October 2016

The Compliance Officer
All Investment Firm Licensees
Manama
Kingdom of Bahrain

Dear Sir,

CBB Rulebook: Volume 4 (Investment Business)
October 2016 Update

The October 2016 quarterly update to Volume 4 has now been incorporated in the website version of the Rulebook.¹

Changes for October 2016:

The changes for October 2016 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, or the CBB Rulebook team at (rulebook@cbb.gov.bh), on 17547968.

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) – October 2016 Update

PART A FOLDER		
Module Code	Module Title	Summary of Changes and Printing Instructions
UG	Users Guide	UG-1.3.4 Added a section to clarify reference to ‘he’ ‘his’ ‘she’ and ‘her’.
AU	Authorisation	AU-1.1.18 Added subparagraph (d) AU-1.1.18A Changed ‘not limited’ to ‘in relation’ AU-1.1.18B Deleted subparagraph (f) AU-5.2.3 Added to Rule new subparagraph (e)
BR	CBB Reporting	BR-1.1.8 Added reference to AA-3.1.1 BR-1.4.6A Added a new Rule on submitting to the CBB the Audited financial statements of subsidiaries
GR	General Requirements	GR-10.1.8B Added reference to Module BR

PART B FOLDER		
CBB Authorisation Forms		
Form 2	Application for Authorisation of Controller	Updated Instructions Section
Form 3	Application for Approved Person Status	Updated Instructions Section and Section 4 – Personal Background