

Appendix 3

In this appendix underlining indicates new text and striking through indicates deleted text.



The DFSA Rulebook

Authorised Market Institutions

(AMI)

5.12 Miscellaneous requirements

Whistleblowing

5.12.1 ~~An Authorised Market Institution must have appropriate procedures and protections for enabling Employees to disclose any information to the DFSA or to other appropriate bodies involved in the prevention of Market Abuse, money laundering or other financial crime or any other breaches of relevant legislation.~~

Guidance

~~An Authorised Market Institution² is required to comply with the whistleblowing requirements set out in GEN section 5.4. policies and procedures should enable Employees to make protected disclosures, in good faith, of information which, in the reasonable belief of the Employee making the disclosure, tends to show that one or more of the following has been, is being, or is likely to be, committed:~~

- ~~a. a criminal offence;~~
- ~~b. a failure to comply with any legal obligation;~~
- ~~c. a miscarriage of justice;~~
- ~~d. the putting of the health and safety of any individual in danger; or~~
- ~~e. a deliberate concealment relating to any of (a) to (d),~~

~~irrespective of whether the relevant conduct or failure occurred, occurs or would occur.~~