

Appendix 6

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



The DFSA Rulebook

General Module

(GEN)

10 TRANSITIONAL RULES

10.1 Application

10.1.1 This chapter applies as follows:

.....

- (f) Section 10.9 applies to a Person who is the subject of a notice issued by the DFSA under Article 90 or 91 of the Regulatory Law 2004 prior to the date on which this rule came into force.

10.9 Specific Relief – ENF Module

10.9.1

- (1) Any matter commenced by the DFSA by way of notice under Article 90 or 91 of the Regulatory Law 2004 to impose an administrative fine or censure under the previous regime where the matter remains to be concluded on the date this rule came into force may be continued under the relevant requirements prescribed under the previous regime.
- (2) For the purposes of (1), the “previous regime” means the regime specified under Articles 90 and 91 of the Regulatory Law 2004 in force immediately prior to the coming into force of the Regulatory Law Amendment Law 2012 and the ENF module of the DFSA’s Rulebook prior to the coming into force of this rule.

.....
