

**ANNEX E**

**This Annex sets out the proposed amendments to the PIB module.  
In this Annex, underlining indicates new text.**



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# **The DFSA Rulebook**

**Prudential – Investment, Insurance  
Intermediation and  
Banking Business Module**

**(PIB)**

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## PRUDENTIAL – INVESTMENT, INSURANCE INTERMEDIATION AND BANKING BUSINESS (PIB)

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### Category 3

#### 1.3.3 An Authorised Firm:

- (a) whose Licence authorises it to carry on one or more of the Financial Services of Dealing in Investments as Agent, Managing Assets, Operating a Collective Investment Fund, Providing Custody or Providing Trust Services; and
- (b) does not meet the criteria of Categories 1, 2 or 5;

is in Category 3.

[Amended][VER2/08-05]

#### Guidance

A Category 3 Authorised Firm may be authorised to conduct other Financial Services but it is the authorisation for Dealing in Investments as Agent, Managing Assets, Operating a Collective Investment Fund or Providing Custody, and the absence of authorisation for the activities specified in Rules 1.3.1 and 1.3.2 that are determinative of it as belonging to Category 3.



## Table 1 – Categorisation of Authorised Firms

*[A new embolded box has been added under Category 3 as shown below:]*

Category 1	Category 2	Category 3	Category 4	Category 5
		<b>Providing Trust Services</b>		