

Appendix 9

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



The DFSA Rulebook

Prudential – Investment, Insurance
Intermediation and
Banking Module

(PIB)

1 GENERAL REQUIREMENTS

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1.3 Categories of Authorised Firms

Category 3

- 1.3.3** (1) An Authorised Firm is in Category 3 if:
- (a) its Licence authorises it to carry on one or more of the Financial Services of:
 - (i) Dealing in Investments as Principal and, it does so only as a Matched Principal;
 - (ii) Dealing in Investments as Agent;
 - (iii) Managing Assets;
 - (iv) ~~Operating~~ Managing a Collective Investment fund;
 - (v) Providing Custody;
 - (vi) Providing Trust Services; or
 - (vii) Acting as the Trustee of a Fund; and
 - (b) it does not meet the criteria of Categories 1, 2 or 5.

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~~ Managing a Collective Investment Fund, Acting as the Trustee of a 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 its belonging to Category 3.

Table 3

REPORTING MATRIX BASED ON AUTHORISED FIRM LICENSED FINANCIAL SERVICE

Number	Name	Applicable to the Authorised Firms licensed to conduct the following Financial Services	Scope	Frequency
Form B150	Investment Activity Schedule	Dealing in Investments as Principal Providing Credit Accepting Deposits Managing a PSIA	Solo	A/Q
Form B160	Credit Activity Schedule	Providing Credit Dealing in Investments as Principal	Solo	A/Q
Form B170	Acceptance of Deposits Schedule	Accepting Deposits	Solo	A/Q
Form B180	Wealth Management Activity	Managing Assets Arranging Credit or Deals in Investments Advising on Financial Products or Credit	Solo	A/Q
Form B190	Asset Management, Custody and Trust Services	Managing Assets Providing Custody Arranging Custody Providing Trust Services Arranging Credit or Deals in Investments Advising on Financial Products or Credit	Solo	A/Q
Form B200	Brokerage Activity	Dealing in Investments as Agent Arranging Credit or Deals in Investments	Solo	A/Q
Form B210	Outward Remittances	Accepting Deposits	Solo	A/Q



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Form B220	Inward Remittances	Accepting Deposits	Solo	A/Q
Form B230	Domestic Fund Activity	Operating <u>Managing</u> a Collective Investment Fund	Solo	A/Q
Form B240	Balances Due from and Due to Head Office, Own Branches and Other Banks	Accepting Deposits	Solo	A/Q
Form B260	Acting as a Trustee of a Fund and Fund Administration Activity	Acting as the Trustee of a Fund Providing Fund Administration	Solo	A/Q
Form B270	Related Party Transactions	Applicable to all the Authorised Firms	Solo	A/Q