

## MODIFICATION NOTICE

<b>To</b>	<b>Julius Baer</b>
<b>Address</b>	Julius Baer (Middle East) Limited Level 5, Emirates Towers PO Box 504925 Dubai United Arab Emirates
<b>DFSA Firm Reference No.</b>	10001
<b>Notice No.</b>	W003/2006

### THE DFSA HEREBY GIVES NOTICE THAT:

The Rules specified in the table herein do not apply to the above mentioned Person in the form appearing in the Rulebook but instead apply to that Person in the modified form prescribed in that table below.

This notice is issued by the DFSA under Article 25 of the Regulatory Law 2004.

**Effective date:** This notice comes into effect on 26 January 2006 and remains in effect until further notice or the date on which any rule specified herein is amended, whichever is earlier.

### RULES MODIFIED

The Rules listed in the left hand column of the table below are modified as shown in the right hand column of the table. In this table, underlining indicates new text and striking through indicates deleted text.

The version of Rules to which this notice relates is [COB/VER2/08-05].

Rule	Modified Text
COB APP 3.1.1	(1) For the purpose of Rule 8.2.1, an Authorised Firm must include the following general information:  (g) <u>if applicable, a statement that the Transaction was Executed on an execution only or other basis, as the</u>

	<p>case may be;</p> <p>(h) the date and time of the Transaction</p> <p>(i) .....</p> <p>(j) .....</p> <p>(k) .....</p> <p>(l) <del>for Collective Investment Funds, at statement that the price at which the Transaction has been Executed is on a Historic Price or Forward Price basis, as the case may be.</del></p> <p>(2).....</p> <p><u>(3) At the request of the client, an Authorised Firm will provide separately the following general information:</u></p> <p><u>(a) a statement that the Transaction was executed on an Execution only basis or other basis;</u></p> <p><u>(b) the time of the transaction; and</u></p> <p><u>(c) for Collective Investment Funds, at statement that the price at which the Transaction has been executed is on Historic Price or Forward Price basis, as the case may be.</u></p>
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**CONDITIONS**

The waiver shall remain valid subject to the condition that no substantial changes are made to Clause 1.8 “Contract Notes” of Julius Baer (ME) Ltd Additional Terms and Conditions relating to a DIFC Account.

**INTERPRETATION**

The provisions in this notice are to be construed in accordance with section 6.2 of GEN as if these provisions are provisions of the Rulebook.

Defined terms are identified in this notice by the capitalisation of the initial letter of a word or of each word in a phrase and are defined in the Glossary (GLO). Unless the context otherwise requires, where capitalisation of the initial letter is not used, an expression has its natural meaning.

This notice was issued by:

Name : David Knott

Position : Chief Executive

Date : 26 January 2006