

# Central Bank of Bahrain Capital Markets Supervision Directorate

## Regulatory Structure of Capital Markets in Bahrain

**AMEDA 20<sup>th</sup> Meeting**

**Monday 10<sup>th</sup> Nov, 2014**

# Regulatory Framework

The CBB Law  
2006



CBB Capital Markets  
Regulations



CBB Volume 6- Capital  
Markets



Licensed Exchanges/  
Licensed Clearing Houses

Single Regulatory Authority  
F.S. 2002

Capital Market Regulations

Securities Industry Standard  
and Practices

Market Standards and  
Procedures

Enabling Law  
(Official Gazette)

Enabling Regulations  
(Official Gazette)

Detailed Rules

Detailed Procedures

## ■ CBB REGULATIONS:

1. Resolution No. (49) of 2007 in Respect of Dissemination of Listed Companies' Financial Statements and Board of Directors' Meetings.
2. Resolution No. ( 59) for 2011 in respect of Specifying the Procedures to be followed for the Registration of Pledges and Liens on Securities and the Discharge and Lifting of such Pledges and Liens.
3. Resolution No. (17) of 2012 in Respect of Rules and Procedures for Listing and Trading of Securities in the Financial Markets licensed by the Central Bank of Bahrain.
4. Other

Markets and Exchanges

Clearing, Settlement and Depository

Market Intermediaries and Representatives



Licensing & Ongoing  
Obligations for Market  
Institutions

Disclosure Standards

Corporate Governance



Fair & Transparent Market

Offering of Securities

Takeovers, Mergers and Acquisitions



Offering & Subscription

Prohibition of Market Abuse and Manipulation

Market Surveillance, Investigation & Enforcement

Anti-Money Laundering & Combating Financial Crime



Market Conduct

Dispute Resolution, Arbitration and Disciplinary Proceedings (EDC)

International Co-operation & Exchange of Information (IOSCO)



Enforcement