

Appendix 2

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



The DFSA Rulebook

Prudential – Investment, Insurance
Intermediation and Banking Module

(PIB)

2 GENERAL REQUIREMENTS

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2.3 Reporting to the DFSA

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- 2.3.8** (1) An Authorised Firm must submit to the DFSA any annual return required by Table 1 in section A2.4 of App2, within four months of the end of the Authorised Firm's financial year.
- (2) An Authorised Firm must submit to the DFSA any other return required by Table 1 in section A2.4 of App2, within one month after the end of the reporting period to which the return relates.

- ~~**2.3.9** (1) When a return specified in Rule 2.3.8 is not submitted on or before the due date or within the prescribed period, such non-submission incurs a late payment fee of \$1,000.~~
- ~~(2) Nothing in this Rule limits the right of the DFSA to take any other action.~~

Guidance

~~If a return is not submitted by the date on which it becomes due, the Person is in breach of a Rule and the DFSA is entitled to take action including, but not limited to, taking steps to withdraw authorisation to conduct Financial Services.~~

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