

Subject: Regulatory Guidelines

Notice to all Members,

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Dear Member,

DGCX and DCCC (“DGCX Group”) would like to inform all Members that a Compliance Guidance (“the Guidance”) has been uploaded on DGCX and DCCC websites. The purpose of this Guidance is to assist Members of DGCX Group to comply with relevant DGCX By-Laws and DCCC Clearing Rules.

Member should note that the Guidance is not considered as a replacement to any rules, regulations, circulations and notices that are issued by DGCX Group or any relevant regulators and authorities (“the Rules”).

Member should also note that whilst the Guidance will be updated periodically, there may be changes to the applicable Rules which are not immediately reflected in the Guidance. Members must take all necessary measures to ensure that they are aware of all relevant changes to applicable Rules and that these are reflected in their own internal policies and procedures.

Moreover, the Anti-Money Laundering and Combating the Financing of Terrorism and Illegal Organisations, Guidelines for Financial Institutions that was issued by the Securities and Commodities Authority (“SCA”) is also available on the DGCX and DCCC websites. These guidelines set out the minimum expectations regarding the factors that should be taken into consideration by SCA licensed Members when identifying, assessing and mitigating the risks of money-laundering, the financing of terrorism, and the financing of illegal organisations to reflect the provisions of the new legislation (i.e. Federal Laws No. 20 of 2018 and Cabinet Decision No. 10 of 2019).

Both documents can be accessed from the following links:

<https://www.dgcx.ae/regulatory-guidelines>

<http://www.dccc.co.ae/regulatory-guidelines>

Members are requested to take note of the above.

For Dubai Gold & Commodities Exchange**Maggie Mansour****Head of Compliance and Membership**