

Notice No: COMP-2024-028**Issue Date:** 13 December 2024**Subject:** Compliance Guidance – Updated Version 4

Notice to all Members,

Subject: Compliance Guidance – Updated Version 4

With reference to Notice No. COMP-2019-30 dated 16 July 2019, and Notice No. COMP-2020-082 dated 28 December 2020, DGCX and DCCC (“DGCX Group”) would like to inform all Members that the Compliance Guidance (“the Guidance”) version 3 dated 20 November 2023 has been updated to version 4 dated 29 November 2024, and the new updated version has been uploaded on DGCX and DCCC websites.

A summary of the amendments made may be found in Appendix I.

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”).

Members 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.

The Guidance can be accessed from the following links:

<https://www.dgcx.ae/regulatory/requirements>

<https://dccc.co.ae/overview/requirements>

Members are requested to take note of the above.

For Dubai Gold & Commodities Exchange**Maggie Mansour****Compliance Director**

**Summary of Amendments – DGCX Group Compliance Guidance
Version 4**

Section 4		<ul style="list-style-type: none"> • Addition of new relevant decisions and regulations.
Section 5	5.11	<ul style="list-style-type: none"> • Addition of AML Framework for DNFBPs
Section 6	6.2.	<ul style="list-style-type: none"> • Addition of obligations related to Semi Annual AML reporting for SCA Brokers. • Change the authority responsible for publishing the sanctions lists to the Executive Office for Control and Non-Proliferation.
Appendix A		<ul style="list-style-type: none"> • Update the Key Staff Requirements to align with the latest SCA circular in this regard.