

General Market Update

September 2019

Regional Updates

**30th Sep
2019**

DFSA participates in IOSCO's World Investor Week

- The Dubai Financial Services Authority (DFSA) is participating in the International Organization of Securities Commissions' (IOSCO) third annual World Investor Week. The global campaign, beginning today, aims to promote investor education and investor protection as well as highlight global securities regulators' initiatives in these two critical areas.

**25th Sep
2019**

DFSA Financial Crime Prevention Programme 2018 AML Report

- The DFSA has published its Financial Crime Prevention Programme 2018 Anti-Money Laundering (AML) Report. The report highlights policy developments to the DFSA's Anti-Money Laundering/Counter-Terrorism Financing regime and the DFSA's risk-based approach to supervision, as well as overall findings from the DFSA's Targeted AML Risk Assessments of Relevant Persons and an analysis of the DFSA's Annual AML Return.

<http://dfsa.ae/CMSPages/GetFile.aspx?guid=6ac17859-2a61-4c25-b80a-5e8c5bf30316>

**2nd Sep
2019**

Notice of Amendments to the DFSA Forms

- The following DFSA form has been updated on the website:

AUT CORE Applying for Authorisation — Core Information Form.

Global Updates

**17th Sep
2019**

FCA Chief Urges EU To Ease Market Access In No-Deal Brexit

- The U.K.'s financial regulator warned the European Union that European businesses risk losing access to big London liquidity pools unless more is done to prevent disruptions to equities trading if Britain leaves the bloc on Oct. 31 without a deal.

**11th Sep
2019**

Failed Latvian Bank Takes ECB Challenge To Top EU Court

- A Latvian bank forced into liquidation amid money laundering allegations has urged the EU's top court to revive its claims that the European Central Bank unreasonably concluded the lender was likely to go bust.

**9th Sep
2019**

Ex-Banker Charged With Deleting WhatsApp Over FCA Probe

- A former banker at VTB Capital pled not guilty to one count of destroying documents that he allegedly suspected would be relevant to a Financial Conduct Authority insider dealing investigation, in the first case of its kind brought by the financial watchdog.

**9th Sep
2019**

Ex-Goldman Sachs Banker Hit With £7.3M Confiscation Order

- A judge has ordered a former Goldman Sachs investment banker, sentenced to prison after laundering money for a senior Nigerian official, to pay £7.3 million (\$9 million) or risk 10 years in jail, according to the National Crime Agency.