

**The Chairman of the Authority's Board of Directors'  
resolution No. (06/Chairman) of 2024 Amending the  
Regulations Manual of the Financial Activities Approved  
by the Chairman of the Authority's Board of Directors'  
resolution No. (13) of 2021**

**The Chairman of the Securities and Commodities Authority's  
Board of Directors,**

Having perused:

Federal Law No. (4) of 2000 concerning the Emirates Securities and  
Commodities Authority and Market, as amended;

Cabinet Resolution No. (13) of 2000 concerning the Regulation as to the  
Functioning of the Securities & Commodities Authority, as amended;

Cabinet Resolution No. (34M/1F) of 2022 on Restructuring of the Securities  
and Commodities Authority's Board of Directors; and

The Chairman of the Authority's Board of Directors' resolution No.  
(13/Chairman) of 2021 on the Regulations Manual of the Financial  
Activities and Status Regularization Mechanisms.

Pursuant to the approval of the Board of Directors at its thirteen meeting  
of the eighth round, held on 31/01/2024;

And as required for the public interest,

**Has Decided:**

**Article (1)**

Appendix No. (5) titled (Technical Controls and Requirements for the  
Telephone Recording System) mentioned in the third section (Business

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conduct) of regulations manual of the financial activities, shall be amended as follows:

No.	Amended clauses
1	Amending clause (2) by dividing it into two clauses as follows: 2. Receiving and recording orders issued by telephone by the licensed entity's clients shall be made through the telephone call recording system. 3. The licensed entity is obligated to provide a telephone recording system that meets the following characteristics:
2	Amending the paragraphs mentioned in Clause (3) - 2 previously before the amendment - as follows: A. Recording of all telephone calls. B. Deleting clause (B) C. Storing the date and time of the recorded phone calls. D. Setting the timing of the server device assigned to the telephone recording according to the local time of the state. E. Refraining from modifying the timing or date of incoming calls from clients of the licensed body. F. Refraining from deleting recorded calls or any part thereof or deleting any related information. G. Keeping clause (G) as it is.

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	<p>H. It has technical solutions capable of preventing modification of calls, including, but not limited to, encryption or placing a regular and recorded sound next to the main sound (the background bell), which is repeated every period not exceeding five seconds.</p> <p>I. Issuing a notification, before providing the service, that the call is recorded.</p> <p>J. Showing recorded calls in different ways, for example, but not limited to, through the caller's number, the recipient's line number, (Number Channel), or the date and time the call was received.</p> <p>K. Facilitating listening to calls for authorized entities in accordance with the legislations applicable in the State.</p> <p>L. Deleting clause (L).</p> <p>M. <b><u>Adding a new paragraph (M)</u></b> Maintaining tracking records of all movements on the system, with a minimum of logging on, listening, and modifying authorities and any modifications that occur to the system.</p>
3	Amending the numbering of clause (3) to become clause (4).



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**Article (2)**

This resolution shall be published in the Official Gazette and shall be effective from the day following the date of its issuance.

**Mohammed Ali Al Shorafa**  
**Chairman of the Board of Directors**

Issued in Abu Dhabi, on 27/02/2024