

COMMONWEALTH OF DOMINICA

ARRANGEMENT OF REGULATIONS

Regulation

1. Short title.
2. Interpretation.
3. Application for certificate of registration.
4. Grant and Refusal of application for certificate of registration.
5. Issue of certificate of registration.
6. Capital and Liquidity requirements.
7. Capacity to establish and operate proper markets
8. Business rules.
9. Default rules.
10. Custody and protection of client assets.
11. Prevention of market abuse.
12. Transfer of virtual assets.
13. Originator and beneficiary information for the transfer of virtual assets.
14. Internal policies, procedures, systems and controls.
15. Human and technology resources.
16. Safeguarding and administering assets.
17. Risk management.
18. Cybersecurity and operational risks.
19. Client protection.
20. Complaints.
21. Ring fencing and safeguarding requirements.
22. Promoting and maintaining standards.
23. Compliance procedures.
24. Ongoing obligations.
25. Insurance requirements.
26. Reporting requirements.
27. Retention of records.