



وزارة العدل والشؤون الإسلامية والأوقاف
Ministry of Justice, Islamic Affairs
and Waqf

Obligations of the compliance officer, his deputy and the branch compliance officer in the profession of lawyers and foreign legal consulting offices

Order No. (14) of 2021

Regarding the Measures to Prohibit and Combat Money Laundering, Terrorism Financing and Illegal cross-border transfer of funds in the Profession of Lawyers and Foreign Legal Consulting Offices and the Rules related to Freezing and Unfreezing the Funds, and the Prohibition of dealing with persons or entities on the Terrorist Lists



The Definitions

Who is the compliance officer ?

He is the person appointed by the lawyer or the foreign office -according to the case- , to monitor whether they are compliant with the requirements of the relevant Laws and Orders.

Who is the deputy compliance officer ?

He is the person appointed by the lawyer to perform the obligations of the compliance officer in his absence.

Who is the branch compliance officer ?

He is the person appointed in each branch of the lawyer's office - if present - whose duties are to communicate with the compliance officer to carry out the internal reporting procedures for any suspicious or unusual transactions or attempt to deal in them that occurred in the branch he works in.

The appointment of the compliance officer



Foreign Legal Consulting Office

The director is the compliance officer



A company or law firm consisting of more than one licensed lawyer or legal advisor

One of the licensed lawyers in the firm shall be appointed as a compliance officer.



law firm consisting of an individual licensed lawyer

The lawyer who owns the firm is the compliance officer

The appointment of a branch compliance officer



If the law firm has multiple branches

The lawyer must designate one of the lawyers in each of branch to be a compliance officer

The appointment of the deputy compliance officer



A law firm consisting of five or more licensed lawyers or legal advisors

One of the lawyers working in the office is appointed as a deputy compliance officer

- Trainee lawyers are not included in the number of lawyers working in the law firm.

Conditions for appointing the compliance officer, his deputy and the branch compliance officer

1. To pass a qualification course regarding AML/ CFT determined by the Follow-up Unit.

2. Obtain approval from the Follow-up Unit.

Duties of the compliance officer or his deputy

Implementing the provisions of MO (14), detecting suspicious or unusual transactions or attempting to deal in them, and reporting them as soon as they are detected to the Enforcement Unit and notifying the Follow-up Unit.

Monitoring the extent to which the law firm and the foreign office are complying with the requirements of MO (14), provided that they are guaranteed independence and the power to review the clients' information, and notify the Enforcement Unit and the Follow-up Unit as soon as he becomes aware that any of the lawyers in the law firm or the foreign office are not implementing any of the obligations.

Ensuring the suitability of the internal provisions and procedures implemented in the law firm or the foreign office aiming to achieve the requirements and provisions of MO (14).

Ensuring that the employees of the law firm and the foreign office have received appropriate training to perform the tasks assigned to them in accordance with the provisions of MO (14).

Ensuring the adequacy of the client by conducting normal due diligence and enhanced due diligence procedures and the credibility of the information related to them.

Access to all information, data and records of the law firm and the foreign office necessary to perform his duty.

Maintaining a special register regarding suspicious or unusual transactions or attempting to deal in them in the legal work and work of special nature that were monitored and reported, provided that this register includes in particular the type of transaction, the date of reporting, client data and the amount of the transaction.

Inform the competent authorities as soon as they discover the cases as indicated below



The Situation	Follow-up Unit	Enforcement Unit	The Committee
Immediately report suspicious or unusual transactions or attempt to deal in them within a period not exceeding 24 hours from the date of discovery.	✓	✓	
When the lawyer or the foreign office does not implement any of the obligations imposed on either of them.	✓	✓	
If the investigations regarding the identity of the client or the related parties appear inaccurate	✓	✓	
Reporting of dealings with persons whose names are included on the Sanctions List or the National Terrorism Lists within a maximum period of 24 hours from the date of publication of the lists	✓	✓	✓
Notification that there is no current client on the sanctions List or the National Terrorism lists within (24) hours from the date of publication	✓		

Reporting procedures

Fill in the electronic form prepared by the Ministry within a period not exceeding 24 hours from the time of detection or from the time of receiving a notification concerning the incident and sending it to the Enforcement Unit and the Follow-up Unit.

Reporting forms

Form regarding reporting or attempting to deal with suspicious or unusual transactions

Date and Time	
Name of Compliance officer or his deputy	
Details of suspicious activity	
Full activity description	
Type of Transaction	
Transaction amount and currency	
Date of Transaction	
Relevant parties	
Justifications for unusual activity	
Attachments - if any -	
Compliance officer signature	

Report form
regarding notifying the Follow-up Unit if the clients
names are not listed on the Sanctions List and the
National Terrorism Lists

Date and time	
The name of the compliance officer and his deputy	
Endorsement that the names of the clients are not listed on the lists	Signature of the compliance officer or his deputy

Report form
regarding notifying the Follow-up Unit if the clients
name is listed on the Sanctions List and the National
Terrorism Lists

Date and time	
Name of the compliance officer and his deputy	
The name of the client who is listed on the Sanctions List or the National Terrorism Lists	
Description of the relationship between the client and the lawyer or the foreign legal consulting office	
The nature, type and amount of funds with the lawyer belonging to the client -if applicable-	
Attachments	
The signature of the compliance officer or his deputy	

The duty of the branch compliance officer

Inform the compliance officer or his deputy - as the case may be - about suspicious or unusual transactions and the attempt to deal in them that took place in that branch. He shall have full authority to review all data, information and records necessary to perform his duties.

Vacancy of the compliance officer, his deputy or the branch compliance officer's position

It must be ensured that the position is not vacant at all times, and the Follow-up Unit must be notified immediately if vacant and necessary measures must be taken to appoint an alternative.

Exemption from liability

The Compliance Officer, his deputy, and the branch compliance officer shall not be criminally, civilly, or disciplinarily liable for performing their obligations.

Contact details

Follow-up Unit: Gr-followup@moj.gov.bh

Enforcement Unit: str@bahrainfiu.gov.bh