

Summary of QFC Regulations, Rules, Consultation Papers, Firms and Notices

Period: 1 April 2014 - 31 March 2015

The Financial Services Regulations ("FSR"), Schedule 1, Article 22.1(3), states that "the Regulatory Authority is required to provide such other reports to the Council of Ministers on the activities of the Regulatory Authority at such frequency and in such manner as the Council of Ministers may determine (all such reports to be copied to the Governor for review and comment). In 2012, the Council of Ministers requested that this summary be submitted annually, instead of quarterly.

The QFC Regulatory Authority is also required to submit its audited accounts and a report of its activities as soon as reasonably practical after the end of each financial year. This is a separate requirement under article 15 (4) of QFC Law no. (7) of 2005 and is required to be provided to the Council of Ministers. The Regulatory Authority is currently preparing its 2014 Annual Report and it will be filed with the Council of Ministers shortly.

The QFC activity summary outlined below provides a summary of the following matters for the period 1 April 2014 to 31 March 2015:

1. there were no QFC Regulations issued during the period;
2. the Rulebooks issued by the QFC Regulatory Authority following extensive public consultation;
3. the Consultation Papers issued by the QFC Regulatory Authority explaining proposed new rules and seeking feedback from the public;
4. the firms authorised by the QFC Regulatory Authority;
5. the firms licenced by the QFC Authority;
6. the waivers, modifications and revocation notices issued to firms by the QFC Authority and the QFC Regulatory Authority under the requirements of the FSR, Article 16 and the QFC Authority Regulations, Article 13.

| Issued by | Description | Consultation Date | Enactment Date | Effective/ Release Date |
|--------------------------|--------------------------------------------------------------------|-------------------|------------------|-------------------------|
| REGULATIONS | | | | |
| | | | | |
| RULES | | | | |
| QFC Regulatory Authority | Banking Business Prudential Rules 2014 | | 17 December 2014 | 1 January 2015 |
| QFC Regulatory Authority | PIIB, PRIN and ASET Repeal and Consequential Amendments Rules 2014 | | 17 December 2014 | 1 January 2015 |

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|--------------------------------------------------|-----------------------------------------------------------------------------------------------------------|---------------------------------------|-----------------------|------------------------------------|
| QFC Regulatory Authority | Investment Management and Advisory Rules 2014 | | 17 December 2014 | 1 January 2015 |
| QFC Regulatory Authority | Individuals (Assessment, Training and Competency) Rules 2014. | | 17 December 2014 | 1 January 2015 |
| QFC Regulatory Authority | Individuals (Assessment, Training and Competency) (Consequential) and Miscellaneous Amendments Rules 2014 | | 17 December 2014 | 1 January 2015 |
| CONSULTATION PAPERS | | | | |
| QFC Regulatory Authority | 2014/01 Proposed Banking Business Prudential Rules 2014 | 18 September 2014- 2 November 2014 | | |
| QFC Regulatory Authority | 2014/02 Proposed Investment Management and Advisory Rules 2014 | 18 September 2014- 2 November 2014 | | |
| QFC Regulatory Authority | 2014/03 Approved Individuals Regime and Miscellaneous Amendments | 18 September 2014- 2 November 2014 | | |
| QFC Regulatory Authority | Miscellaneous Amendments Rules 2015 | 24 March 2015- 20 April 2015 | | |
| REGISTERED, LICENSED AND AUTHORISED FIRMS | | | | |
| QFC Regulatory Authority | Allianz Worldwide Care S.A. | | 17 June 2014 | 17 June 2014 (authorisation) |
| QFC Regulatory Authority | Bank J. Safra Sarasin (QFC) LLC | | 9 February 2015 | 9 February 2015 (authorisation) |
| QFC Authority | Katara Hospitality Hotels Holding LLC | | 21 May 2014 | Licensed |

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|------------------|----------------------------------|--------------------------|-----------------------|--------------------------------|
| QFC Authority | Qinvest Admiral LLC | | 04 June 2014 | Licensed |
| QFC Authority | Nielsen Consultancy LLC | | 10 June 2014 | Licensed |
| QFC Authority | Qinvest Marina LLC | | 12 June 2014 | Licensed |
| QFC Authority | Allianz Worldwide Care S.A. | | 17 June 2014 | Licensed |
| QFC Authority | Q REIT Holding LLC | | 19 June 2014 | Licensed |
| QFC Authority | A.T. Kearney LLC | | 29 June 2014 | Licensed |
| QFC Authority | MYI Limited QFC Branch | | 06 August 2014 | Licensed |
| QFC Authority | IMM LLC | | 14 August 2014 | Licensed |
| QFC Authority | QInvest Denmark LLC | | 18 August 2014 | Licensed |
| QFC Authority | QPI Trading LLC | | 04 September 2014 | Licensed |
| QFC Authority | QInvest Zulu LLC | | 21 September 2014 | Licensed |
| QFC Authority | CW 8CS Holding LLC | | 15 October 2014 | Licensed |
| QFC Authority | Dun & Bradstreet LLC | | 28 October 2014 | Licensed |
| QFC Authority | CSM Sports and Entertainment LLC | | 28 October 2014 | Licensed |
| QFC Authority | Posh LLC | | 30 October 2014 | Licensed |
| QFC Authority | QFB Food & Beverages LLC | | 04 November 2014 | Licensed |
| QFC Authority | CSC Recruitment | | 06 November 2014 | Licensed |
| QFC Authority | Sembawang Consult Pte Ltd | | 13 November 2014 | Licensed |

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|------------------|-------------------------------------|--------------------------|-----------------------|-----------------------------------|
| QFC Authority | Grayling Momentum Limited | | 19 November 2014 | Licensed |
| QFC Authority | WMC Services LLC | | 23 November 2014 | Licensed |
| QFC Authority | Hines Pokrovsky 1, Limited | | 26 November 2014 | Licensed |
| QFC Authority | Bruin Holding LLC | | 04 December 2014 | Licensed |
| QFC Authority | Bank J. Safra Sarasin (QFC) LLC | | 07 December 2014 | Licensed |
| QFC Authority | Kochery & Partners LLP | | 05 January 2015 | Licensed |
| QFC Authority | Cielo (QFC) LLC | | 05 January 2015 | Licensed |
| QFC Authority | F3 Holding LLC | | 05 January 2015 | Licensed |
| QFC Authority | FACT Middle East LLC | | 08 January 2015 | Licensed |
| QFC Authority | Baker Tilly JFC LLC | | 12 January 2015 | Licensed |
| QFC Authority | QFB LT Care LLC | | 12 January 2015 | Licensed |
| QFC Authority | Investcorp Investments LLC | | 15 January 2015 | Incorporated but not yet licensed |
| QFC Authority | Global Career Consultancy LLC | | 18 January 2015 | Licensed |
| QFC Authority | Bennett Jones (Gulf) LLP | | 01 February 2015 | Licensed |
| QFC Authority | Oxford Strategic Consulting GCC LLC | | 04 February 2015 | Licensed |
| QFC Authority | Crescent Wealth LLC | | 04 February 2015 | Licensed |
| QFC Authority | ADA International LLC | | 11 February 2015 | Licensed |

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| QFC Authority | Aqua GCC LLC | | 11 February 2015 | Licensed |
| QFC Authority | RICS International Ltd | | 02 March 2015 | Licensed |
| QFC Authority | Avaya Nederland B.V. (QFC Branch) | | 11 March 2015 | Licensed |
| QFC Authority | IDI LLC | | 23 March 2015 | Licensed |
| QFC Authority | Pangulf Consultancy Services LLC | | 29 March 2015 | Licensed |
| WAIVER, MODIFICATION AND REVOCATION NOTICES | | | | |
| QFC Regulatory Authority | BMI BANK B.S.C(c) | | 17 June 2014 | 17 June 2014 |
| QFC Regulatory Authority | Bank Audi LLC | | 9 December 2014 | 9 December 2014 |
| QFC Regulatory Authority | Daman Health Insurance Qatar LLC | | 11 February 2015 | 19 February 2015 |
| QFC Authority | Class Waiver: Holding Company reporting requirements if certain conditions are met | | 10 June 2014 | Continuing |
| QFC Authority | Waiver no CW-00005/2014 PokrovskyHolding LLC | | 14 April 2014 | 31 December 2014 |
| QFC Authority | Waiver no CW-00006/2014 to Wakra Holding LLC | | 14 April 2014 | 1 May 2014 |
| QFC Authority | Waiver no CW-00007/2014 QGold LLC | | 14 April 2014 | 31 December 2014 |
| QFC Authority | Waiver no CW-00008/2014 Qatar Holding LLC | | 14 April 2014 | 31 December 2014 |
| QFC Authority | Waiver no CW-00009/2014 Hafez LLC | | 15 April 2014 | 30 June 2014 |
| QFC Authority | Waiver no CW-00010/2014 MasterCard Qatar LLC | | 29 April 2014 | 30 May 2014 |
| QFC Authority | Waiver no CW-00011/2014 Moore Stephens Qatar LLC | | 28 April 2014 | 31 December 2014 |

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|------------------|------------------------------------------------------------|--------------------------|-----------------------|--------------------------------|
| QFC Authority | Waiver no CW 00012/2014 K&L Gates LLP | | 08 May 2014 | 21 May 2014 |
| QFC Authority | Waiver no CW-00013/2014 QREIT Holding LLC | | 09 June 2014 | 23 June 2014 |
| QFC Authority | Waiver no CW-00014/2014 Qatar Holding LLC | | 30 June 2014 | 31 August 2014 |
| QFC Authority | Waiver no CW-00015/2014 Deutsche Bank AG Doha (QFC) Branch | | 15 July 2014 | 17 July 2014 |
| QFC Authority | Waiver no CW-00016/2014 Strategy& | | 04 August 2014 | 14 August 2014 |
| QFC Authority | Waiver no CW-00017/2014 Deutsche Bank AG Doha (QFC) Branch | | 07 August 2014 | 21 August 2014 |