



## WAIVER AND MODIFICATION NOTICE

<b>Firm</b>	UBS AG
<b>Address</b>	Qatar Financial Centre, Office 1403, 14th Floor, Servcorp Business Centre, Commercial Bank Plaza, West Bay, Doha, Qatar
<b>QFC No.</b>	00087
<b>Notice No.</b>	W 0002/18

*Financial Services Regulations*, articles 16 (1) (A) and (B)

### 1 Waivers

- 1) The following provisions of Investment Management and Advisory Rules 2014 (INMA) do not apply in relation to the firm:
  - Entire Rule in Legislation: Investment Management and Advisory Rules 2014 (INMA)
- 2) The following provisions of Conduct of Business Rules 2007 (COND) do not apply in relation to the firm:
  - Entire Rule in Legislation: Conduct of Business Rules 2007 (COND)
- 3) The following provisions of Anti-Money Laundering and Combating Terrorist Financing Rules 2010 (AML/CFTR) do not apply in relation to the firm:
  - Rule 2.1.1.(3).(d)
- 4) The following provisions of Anti-Money Laundering and Combating Terrorist Financing Rules 2010 (AML/CFTR) do not apply in relation to the firm:
  - Rule 2.1.4
- 5) The following provisions of Anti-Money Laundering and Combating Terrorist Financing Rules 2010 (AML/CFTR) do not apply in relation to the firm:
  - Rule 2.3.1.(1)



- 6) The following provisions of Anti-Money Laundering and Combating Terrorist Financing Rules 2010 (AML/CFTR) do not apply in relation to the firm:
  - Rule(s) 2.3.7 through 2.3.11
- 7) The following provisions of Anti-Money Laundering and Combating Terrorist Financing Rules 2010 (AML/CFTR) do not apply in relation to the firm:
  - Part 6.2
- 8) The following provisions of Governance and Controlled Functions Rules 2012 (CTRL) do not apply in relation to the firm:
  - Rule 2.2.3
- 9) The following provisions of Governance and Controlled Functions Rules 2012 (CTRL) do not apply in relation to the firm:
  - Rule 2.2.8
- 10) The following provisions of Governance and Controlled Functions Rules 2012 (CTRL) do not apply in relation to the firm:
  - Rule 2.2.10
- 11) The following provisions of General Rules 2005 (GENE) do not apply in relation to the firm:
  - Part 10.5
- 12) The following provisions of General Rules 2005 (GENE) do not apply in relation to the firm:
  - Part 9.4 through Rule(s) 9.7
- 13) The following provisions of Individuals (Assessment, Training and Competency) Rules 2014 (INDI) do not apply in relation to the firm:
  - Chapter 5 through Rule(s) 5.3.3

## 2 Modification

The *Governance and Controlled Functions Rules 2012 (CTRL)* applies to the firm with the modifications mentioned in schedule 1.



### 3 Commencement

This notice commences on the date it is signed and remains in effect until revoked.

### 4 Conditions

These waivers and modification should be granted subject to the condition that they shall be in force only during the firm's inactive phase.

Michael G Ryan  
Chief Executive Officer  
Date: 13/06/18