

**Appendix 15**

In this appendix underlining indicates proposed new text and striking through indicates deleted text.



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# The DFSA Rulebook

Glossary Module

**(GLO)**

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**A**

<b>Defined Term</b>	<b>Definition</b>
Authorised Individual	a natural person who has been authorised by the DFSA to perform one or more Licensed Functions <u>for an Authorised Firm</u>

**D**

<b>Defined Term</b>	<b>Definition</b>
<u>Decision Notice</u>	<u>a written notice given by the DFSA to a person pursuant to paragraph 5 of Schedule 3 to the Regulatory Law 2004.</u>

**F**

<b>Defined Term</b>	<b>Definition</b>
Financial Markets Tribunal	<del>The tribunal maintained established</del> under Article <u>26 31</u> of the Regulatory Law 2004.
<u>FMT</u>	<u>Financial Markets Tribunal</u>

**K**

<b>Defined Term</b>	<b>Definition</b>
<u>Key Individual</u>	<p><u>a natural person who has been authorised by the DFSA to perform one or more Licensed Functions for an Authorised Market Institution.</u></p> <p><del>Pursuant to AMI Rule 5.3.1(b), an individual appointed by an Authorised Market Institution to carry on the functions of:</del></p> <ul style="list-style-type: none"><li><del>(i) — the Governing Body;</del></li><li><del>(ii) — Senior Executive Officer;</del></li><li><del>(iii) — Finance Officer;</del></li><li><del>(iv) — Compliance Officer;</del></li><li><del>(v) — Risk Officer;</del></li><li><del>(vi) — Money Laundering Reporting Officer; or</del></li><li><del>(vii) — Internal Auditor.</del></li></ul>

## L

Defined Term	Definition
<u>Licence endorsement</u>	<u>an endorsement made by the DFSA on a Licence that permits an Authorised Person to carry on an activity prescribed under Article 44 of the Regulatory Law 2004.</u>
Licensed Function	A function described in GEN section 7.4.  (1) <u>in relation to an Authorised Firm, a function described in GEN section 7.4; and</u>  (2) <u>in relation to an Authorised Market Institution, a function described in AMI section 5.3.</u>

## P

Defined Term	Definition
<u>Preliminary Notice</u>	<u>a written notice given by the DFSA to a person pursuant to paragraph 4(1) of Schedule 3 to the Regulatory Law 2004.</u>

## R

Defined Term	Definition
Regulatory Appeals Committee	A standing committee of the Board, established under the Regulatory Law 2004, and includes a sub-committee constituted under Article 29 of the Regulatory Law 2004.
Regulatory Function	Pursuant to AMI Rule <del>4.4.1-5.3.1(a)</del> , <u>Regulatory Functions of in relation to an Authorised Market Institution, are means</u> those functions which directly contribute to the satisfaction by the Authorised Market Institution of its Licensing Requirements.

## S

<b>Defined Term</b>	<b>Definition</b>
<u>State</u>	<u>United Arab Emirates</u>