

**Appendix 3**

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



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# The DFSA Rulebook

Anti Money Laundering  
Module

**(AML)**

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### 3 ANTI MONEY LAUNDERING COMPLIANCE REQUIREMENTS

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#### 3.3 Appointment, responsibilities and duties of the MLRO

##### Appointment

##### Guidance

1. The requirement to appoint an individual to the Licensed Function of MLRO is in ~~AUT section 10.3.~~ GEN section 7.4.
2. Pursuant to GEN Rule 7.4.2 ~~AUT Rule 10.3.2~~ the MLRO must be ordinarily resident in the U.A.E.

**3.3.1** An Authorised Firm must appoint an individual to act as a deputy of the Authorised Firm's MLRO who must fulfil the role of MLRO in his absence.

##### Guidance

A deputy of the Authorised Firm's MLRO need not apply for Authorised Individual status for performing this function subject to Rules in ~~AUT~~ GEN section ~~9.4~~ 11.6.

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#### 3.6 Government, regulatory and international findings

**3.6.1** .....

##### Guidance

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7. Authorised Firms should take note of GEN Rule ~~5.3.30~~ 5.3.29 which requires such firms to obtain and make appropriate use of the United Nations Security Council's relevant resolutions and sanctions. Such resolutions and sanctions may, for example, relate to money laundering and terrorist financing and financing of weapons of mass destruction.

**3.6.2** .....

##### Guidance

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5. Authorised Firms should take note of GEN Rule ~~5.3.30~~ 5.3.29 which requires such firms to obtain and make appropriate use of the United Nations Security Council's relevant resolutions and sanctions. Such resolutions and sanctions may, for example, relate to money laundering or terrorist financing and financing of weapons of mass destruction.