

**Appendix 7**

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



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# The DFSA Rulebook

Glossary Module

**(GLO)**

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## D

Defined Term	Definition
Decision Maker	The DFSA officer appointed by the Enforcement Decisions Committee to exercise the delegated authority of the DFSA in determining whether to exercise a power under Articles 49, 50, 51, 57, 58(1), 58(2), or 91 of the Regulatory Law 2004.

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## E

ENF	The Enforcement module of the Rulebook.
Enforceable Undertaking	An undertaking offered by a Person and accepted by the DFSA pursuant to Article 89 of the Regulatory Law 2004.
Enforcement Decisions Committee	The committee of senior executives of the DFSA formed to make recommendations and decisions in respect of investigations or enforcement activities undertaken by the DFSA.

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## N

Notice of Administrative Censure	A notice given to a Person in accordance with ENF Rule 7.13.2.
Notice of Administrative Fine	A notice given to a Person in accordance with ENF Rule 7.12.2.

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## P

Preliminary Findings Letter	A letter issued by the DFSA to a Person who may be the subject of Court or Financial Markets Tribunal proceedings setting out the preliminary view of the DFSA and the general facts upon which that view has been reached and inviting the recipient to comment or make submissions on the accuracy of the facts and the preliminary view reached.
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