

Appendix 4

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



The DFSA Rulebook

Glossary Module

(GLO)

2 GLOSSARY

C

Defined Term	Definition
<u>CCP</u>	Pursuant to GEN Rule 2.18.1(1)(a), a CCP is a Person who Operates a Clearing House by becoming a Central Counterparty.
<u>Central Counterparty</u>	Pursuant to GEN Rule 2.18.1(3), a Person Operates as a Central Counterparty where it: (a) <u>ensures the performance of open contracts relating to Investments, made on a facility for trading Investments; and</u> (b) <u>does so by interposing between counterparties to such contracts by becoming the buyer to every seller, and the seller to every buyer.</u>
<u>CSD</u>	Pursuant to GEN Rule 2.13.1(3), a CSD is a Person acting as a “Central Securities Depository” by holding securities in uncertificated (dematerialised) form to enable book entry transfer of such securities for the purposes of clearing or settlement of transactions executed on a facility operated by an Authorised Market Institution or an Alternative Trading System.
<u>Central Securities Depository</u>	Has the meaning given to that term under GEN Rule 2.13.1(3).
<u>Compliance Officer</u>	In relation to: (a) <u>an Authorised Firm, the Licensed Function described in GEN Rule 7.4.6; and</u> (b) <u>an Authorised Market Institution, the Key Individual function described in AMI Rule 5.3.7.</u>

F

Defined Term	Definition
<u>Finance Officer</u>	<u>The Key Individual function described in AMI Rule 5.3.6.</u>

I

Defined Term	Definition
<u>Internal Auditor</u>	The Key Individual function described in AMI Rule 5.3.10.

K

Defined Term	Definition
<u>Key Individual</u>	<p>Pursuant to AMI Rule 5.3.1(b) and (c), an individual appointed by an Authorised Market Institution to carry on the functions of:</p> <ul style="list-style-type: none"> (i) <u>the Governing Body;</u> (ii) <u>Senior Executive Officer;</u> (iii) <u>Operations Officer;</u> (iv) <u>Finance Officer;</u> (v) <u>Compliance Officer;</u> (vi) <u>Risk Officer;</u> (vii) <u>Money Laundering Reporting Officer; and</u> (viii) <u>Internal Auditor.</u> <p><u>is a Key Individual of the Authorised Market Institution.</u></p>

M

Defined Term	Definition
Money Laundering Reporting Officer (MLRO)	(1) For the purposes of AMI, a Key Individual described in AMI Rule 5.3.7, an individual who is a Director, Partner or other appropriately senior employee of an Authorised Market Institution who has responsibility for the Authorised Market Institution's compliance with the Rules in AMI chapter 11 and any relevant money laundering

Defined Term	Definition
	<p>legislation applicable to the AMI.</p> <p>(2) For all other purposes the Licensed Function described in GEN Rule 7.4.8.</p>

O

Defined Term	Definition
<u>Operating a Multilateral Trading Facility</u>	<u>Pursuant to GEN Rule 2.22.1(a), Operating a Multilateral Trading Facility means operating a system which brings together multiple third party buying and selling interests in Investments, in accordance with the non-discretionary rules of the MTF Operator, in a way that results in a contract in respect of such Investments.</u>
<u>Operator of an MTF</u>	<u>Has the same meaning as an MTF Operator.</u>
<u>Operating an Organised Trading Facility</u>	<u>Pursuant to GEN Rule 2.22.1(b), Operating an Organised Trading Facility means operating a system which brings together multiple third party buying and selling interests in Investments, in accordance with the discretionary rules of the OTF Operator, in a way that results in a contract in respect of such Investments.</u>
<u>Operator of an OTF</u>	<u>Has the same meaning as an OTF Operator.</u>
<u>Operations Officer</u>	<u>The Key Individual function described in AMI Rule 5.3.5.</u>

R

Defined Term	Definition
Regulatory Function	Has the meaning given in AMI Rule 7.2.2(3). Pursuant to AMI Rule 5.3.1(a), Regulatory Functions of an Authorised Market Institution are those functions which directly contribute to the satisfaction by the Authorised Market Institution of its Licensing Requirements.
Risk Officer	The Key Individual function described in AMI Rule 5.3.8.

S

Defined Term	Definition
<u>SSS</u>	Pursuant to GEN Rule 2.18.1(b), an SSS is a Person who provides a Securities Settlement System.
<u>Securities Settlement System</u>	Pursuant to GEN Rule 2.18.1(4), a Securities Settlement System is a system operated by a Person which holds Investment accounts and which enables the transfer or settlement of Investments held in such accounts by book entry and in accordance with the predetermined multilateral rules applicable to the system.
<u>Senior Executive Officer</u>	<p>In relation to:</p> <p>(a) <u>an Authorised Firm, The Licensed Function described in GEN Rule 7.4.2; and</u></p> <p>(b) <u>an Authorised Market Institution, the Key Individual function described in AMI Rule 5.3.4.</u></p>

T

Defined Term	Definition
<u>Trade Repository</u>	A Trade Repository is a Person who maintains a centralised registry that contains an electronic database of records of transactions in Investments and over-the-counter derivatives undertaken by other Persons including Authorised Persons, Recognised Persons and Regulated Financial Institutions.