

**ANNEX E**

In this Annex, underlining indicates new text and striking through indicates deleted text.



**GLOSSARY (GLO)**

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# The DFSA Rulebook

Glossary Module

**(GLO)**

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<b>Defined Term</b>	<b>Definition</b>
<u>Alternative Trading System</u>	<u>A trading system or facility of a type specified under GEN 2.22.1.</u>
<u>ATS</u>	<u>An Alternative Trading System</u>
<u>ATS Operator</u>	<u>An Authorised Firm carrying on the Financial Service of Operating an Alternative Trading System for which it has authorisation under its Licence.</u>
<u>Operating an Alternative Trading System</u>	<u>Has the meaning given in GEN section 2.22.</u>
Investment Business	<p>The business of:</p> <ul style="list-style-type: none"> <li>(a) Dealing in Investments as Principal;</li> <li>(b) Dealing in Investments as Agent;</li> <li>(c) Arranging Credit or Deals in Investments</li> <li>(d) Managing Assets;</li> <li>(e) Advising on Financial Products or Credit;</li> <li>(f) Operating a Collective Investment Fund;</li> <li>(g) Providing Custody;</li> <li>(h) Arranging Custody; or</li> <li>(i) Managing a Profit Sharing Investment Account; <u>or</u></li> <li><u>(j) Operating an Alternative Trading System.</u></li> </ul>