

Appendix 9

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



The DFSA Rulebook

Supervision Module

(SUP)

1 GENERAL APPROACH TO SUPERVISION

1.1 Introduction

Guidance

1. The Authorisation module (AUT), the Supervision module (SUP) and the Enforcement module (ENF) collectively outline the regulatory processes of the DFSA.
2. Specific Rules in relation to the licensing and supervision of Authorised Market Institutions are contained in the Authorised Market Institutions module (AMI). Specific Rules in relation to the licensing of Representative Offices are contained in the Representative Offices Module (REP).

.....

2 INFORMATION GATHERING

2.1 Application

- 2.1.1** This chapter applies to an Authorised Person other than a Representative Office with respect to the carrying on of all of its activities and takes into account any activities of other members of the Group of which the Authorised Person is a member.

.....

4 REQUIREMENT TO PROVIDE A REPORT

4.1 Application

- 4.1.1** This chapter applies to every Authorised Person other than a Representative Office.

.....

7 NOTIFICATIONS

7.1 Application

- 7.1.1** (1) This chapter applies to every Authorised Person, unless otherwise provided, with respect to the carrying on of Financial Services and any other activities whether or not financial.
- (2) This chapter does not apply to a Representative Office.

.....

8 REPORTING

8.1 Application

- 8.1.1** This chapter applies to every Authorised Person other than a Representative Office.

.....