

Appendix 3

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



The DFSA Rulebook

Glossary Module

(GLO)

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2 GLOSSARY

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A

Defined Term	Definition
....
<u>Acting as the Administrator of an Employee Money Purchase Scheme</u>	<u>Has the meaning given in GEN Rule 2.31.1.</u>
<u>Administrator</u>	<u>Means an Authorised Firm Acting as the Administrator of an Employee Money Purchase Scheme.</u>

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B

Defined Term	Definition
....
<u>Beneficiary</u>	<u>Has the meaning given in COB Rule 12.1.2.</u>

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C

Defined Term	Definition
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Constitution	<p>(1) In relation to a Fund:</p> <ul style="list-style-type: none"> (a) which is in the form of a Body Corporate, the instrument of incorporation; (b) which is in the form of a Trust, the trust deed; (c) which is in the form of a Partnership, the partnership deed; or (d) adopting a form other than one specified in (a) to (c), any instrument creating the legal form of the Fund to which the Fund Manager is a party setting out provisions relating to any aspect of the operation or management of the Fund. <p>(2) <u>In relation to an Employee Money Purchase Scheme, has the meaning given in COB Rule 12.1.2.</u></p>
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E

Defined Term	Definition
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<u>Employee Money Purchase Scheme</u>	<u>Has the meaning given in Schedule 1 to the Regulatory Law.</u>
<u>Employment Law</u>	<u>The DIFC Employment Law 2018.</u>
<u>Employment Regulations</u>	<u>The Regulations made under the DIFC Employment Law as amended from time to time.</u>

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I

Defined Term	Definition
.....
<u>Investment Platform</u>	<u>Has the meaning given in GEN Rule 2.31.1</u>

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M

Defined Term	Definition
.....
Member	<p>(1) <u>In relation to an Authorised Market Institution, a</u> person admitted as a member of a <u>the</u> Authorised Market Institution in accordance with its Business Rules.</p> <p>(2) <u>In relation to an Employee Money Purchase Scheme,</u> has the meaning given in GEN Rule 2.30.1</p>

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O

Defined Term	Definition
.....
<u>Operating an Employee Money Purchase Scheme</u>	<u>Has the meaning given in GEN Rule 2.30.2</u>
<u>Operator</u>	<u>Has the meaning given in COB Rule 12.1.2</u>

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P

Defined Term	Definition
.....
<u>Participating Employer</u>	Has the meaning given in GEN Rule 2.30.1
<u>Payment Schedule</u>	Has the meaning given in COB Rule 12.1.2

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R

Defined Term	Definition
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Recognised Jurisdiction	<p>(a) In CIR, in relation to a Foreign Fund, <u>A means a jurisdiction which has been recognised by the DFSA under Article 55 of the Collective Investment Law 2010 or, pursuant to Article 1(b) of that law, under Article 20 of the Collective Investment Law 2006.</u></p> <p>(b) <u>In relation to an Employee Money Purchase Scheme established outside the DIFC, means a jurisdiction that the DFSA confirms in writing to be acceptable to the DFSA, as providing equivalent regulation to that provided under the DFSA regime.</u></p>
Related Party Transaction	<p>(1) in MKT, has the meaning given to that term in MKT Rule 3.5.2(b).</p> <p>(2) in CIR, in relation to a Fund, means:</p> <p style="margin-left: 40px;">(a) a transaction in respect of Fund Property entered into by a Fund Manager with a Related Party; or</p> <p style="margin-left: 40px;">(b) in CIR Rule 13.9.5, an arrangement referred to in that Rule relating to an index or benchmark that is entered into by an ETF Fund Manager with a Related Party.</p> <p>(3) <u>in COB, in relation to an Employee Money Purchase Scheme, means a transaction relating to property of the Scheme entered into by an Operator or Administrator with a person who is</u></p>

	<u>Related to the Operator or Administrator (as the case may be);</u>
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S

Defined Term	Definition
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<u>Scheme</u>	<u>Has the meaning given in GEN Rule 2.30.1</u>

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T

Defined Term	Definition
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<u>Third Party Service Provider</u>	<u>In relation to an Employee Money Purchase Scheme, has the meaning given in COB Rule 12.1.2</u>