

FINANCIAL SERVICES REGULATORY AUTHORITY
سلطة تنظيم الخدمات المالية

Glossary (GLO)

*In this attachment underlining indicates new text and striking through indicates deleted text.

1. **INTRODUCTION**

1.1 **Application**

1.1.1 This module ("**GLO**") applies to every Person to whom any module of the Rulebook applies.

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Defined Terms	Definitions
Auditor	Means a person appointed in accordance with section 189 7 of FSMR, who satisfies such requirements as to qualifications, experience and other matters (if any) as may be specified.
<u>Cell Company</u>	<u>Means a Protected Cell Company or an Incorporated Cell Company.</u>
<u>Delivery Versus Payment Transaction</u>	<u>A transaction in which the transfer of Investments and the payment of Money between the buyer and seller are intended to occur around the same time.</u>
Designated Fund	Means a Foreign Fund designated by the Regulator in accordance with section 118(4) of FSMR.
<u>Nominee Company</u>	<u>A company incorporated in the ADGM whose business consists solely of acting as a holder of Client Assets where such assets are held by the Nominee Company as agent of an Authorised Person.</u>
Non-ADGM Recognised Body	Means a Non-ADGM Clearing House or Non-ADGM Investment Exchange which has been approved by the Regulator in accordance with section 127 163 of FSMR.
Non-ADGM Recognised Clearing House	Means a clearing house operating outside the ADGM which has been approved by the Regulator in accordance with section 127 163 of FSMR.
Non-ADGM Recognised Investment Exchange	Means an investment exchange operating outside the ADGM which has been approved by the Regulator in accordance with section 127 163 of FSMR.
Responsible Officer	Means the Approved Function described in GEN 5. 43 .9.
Rulebook	Means the ADGM financial services regulation rulebook incorporating GEN, PRU, PIN, MIR, AML, RMC, MKT, COBS, <u>FUNDS</u> , <u>CIB</u> , <u>IFR</u> and FEES.
Service Provider	Means for the purpose of FUNDS, a Person who is delegated an activity or outsourced a function by a Fund Manager or Trustee under the terms of a <u>Delegation</u> Service -Agreement, as described in FUNDS Chapter 12.