

## **Glossary Rulebook (GLO)**

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



## 1. INTRODUCTION

### 1.1 Application

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

### 1.2 Defined Terms

1.2.1 In the Rulebooks:

- (1) a word or phrase which is defined in GLO is a defined term and has the meaning given in GLO; and
- (2) a word or phrase which relates to a defined term must be interpreted accordingly.

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| Defined Terms     | Definitions   |
|-------------------|---|
| Clearing          | <p><del>Means, in relation to a Recognised Clearing House or Remote Clearing House, the process of establishing positions, including the calculation of net obligations and ensuring that Securities, cash, or both, are available to secure the exposures arising from those positions</del></p> <p><u>Has the meaning given in section 258 of FMSR.</u></p>   |
| Clearing Services | <p><u>Has the meaning given in section 258 of FMSR.</u></p> <p><del>Means:</del></p> <ul style="list-style-type: none"> <li>(a) <del>the services provided by a Recognised Body or Remote Body in connection with contracts between each of the parties or the Recognised Body or Remote Body (in place of, or as an alternative to, a contract directly between the parties);</del></li> <li>(b) <del>the services provided by a Recognised Body or Remote Body to another Recognised Body or Remote Body in connection with contracts between them; or</del></li> <li>(c) <del>the services provided by a Recognised Investment Exchange to a Recognised Clearing House or to another Recognised Investment Exchange in connection with contracts between them,</del></li> </ul> <p><del>for the purpose of enabling the rights and liabilities of that Member, Recognised Investment Exchange, Remote Body or other Recognised Clearing House under a transaction to be settled.</del></p> |

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| Client Money Auditor's Report          | Means a report referred to in GEN 6.6.1(e3) and containing the content specified in GEN 6.6.6.   |
| Financial Statement Auditor's Report   | Means a report referred to in GEN 6.6.1(a1).   |
| Fund Auditor's Report                  | Means a report referred to in GEN 6.6.1(e5) and containing the content specified in GEN 6.6.8.   |
| Issuer                                 | <p>In relation to:</p> <p>(a) any Security other than a Unit in a Collective Investment Fund, means the Person by whom it is or is to be issued;</p> <p>(b) a Unit in a Collective Investment Fund <u>other than an Investment Trust</u>, means the Fund Manager; and</p> <p>(c) <u>a Unit in a Collective Investment Fund that is an Investment Trust, means the Trustee</u>;</p> <p>(d) an interest in a Limited Liability Partnership, means the Partnership.</p> |
| Listed Securities                      | Means in relation to MKT, the Securities of the Issuer or, where the context requires, the Securities for which the Listed Entity is a Reporting Entity but not the Issuer admitted to the Official List.  |
| Periodic Fund Return                   | Means the return required to be submitted by a Fund Manager in accordance with FUNDS 16.6.   |
| Public Listed Company Auditor's Report | Means a report referred to in GEN 6.6.1(f6) and containing the information specified in GEN 6.6.9.   |
| Recognised Clearing House              | <p>Means a clearing house which provides Clearing Services in ADGM in relation to which a recognition order is in force under Part 12</p> <p><u>Has the meaning given in section 258 of FMSR.</u></p>  |
| Regulatory Filings                     | <p>Means the return or report to be submitted to the Regulator, in relation to:</p> <p>(a) AML, in accordance with Rule 4.6.1;</p> <p>(b) CIB, in accordance with Rules 2.3.5(3), (4) and (5), 2.3.7, 2.3.8, 7.2.3, 7.3.2, 7.3.3, and 7.3.5;</p>   |

|                                     |   |
|-------------------------------------|---|
|                                     | <p>(c) FUNDS, in accordance with Rule 16.6;</p> <p>(ed) GEN, in accordance with Rules 6.6.1, and 8.8.12;</p> <p>(de) PIN, in accordance with Rules 6.6.1, 6.6.7, 6.7.2(1), 7.2.3 and 7.3.5;</p> <p>(ef) PRU, in accordance with Rules 2.3.7, 3.21.1, 10.3.2(3) and 10.4.2(3).</p> |
| Regulatory Returns Auditor's Report | Means a report referred to in GEN 6.6.1(b2) and containing the information specified in GEN 6.6.4 and 6.6.5.  |
| Safe Custody Auditor's Report       | Means a report referred to in GEN 6.6.1(d4) and containing the information specified in GEN 6.6.7.  |

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