

GLOSSARY (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
Compliance Officer	Means in relation to an Authorised Person, the Recognised <u>Controlled</u> Function described in GEN 5.4.65.3.6 .
Controlled Function	Means the Senior Executive Officer, Licensed Director and , Licensed Partner, <u>Finance Officer, Compliance Officer, Senior Manager, Money Laundering Reporting Officer and Responsible Officer</u> functions described in GEN 5.3.
Finance Officer	Means in relation to an Authorised Person, the Recognised <u>Controlled</u> Function described in GEN 5.4.55.3.5 .
Money Laundering Reporting Officer	Means, for the purposes of an Authorised Person other than a Credit Rating Agency, the Recognised <u>Controlled</u> Function described in GEN 5.4.85.3.8 .
Principle	In relation to: <ol style="list-style-type: none"> (a) an Authorised Person or Approved Person or Recognised Person, means a principle prescribed in GEN Chapter 2; and (b) a Representative Office, means a principle prescribed in GEN Chapter 9.
Recognised Function	Means the Finance Officer, Compliance Officer, Senior Manager, Responsible Officer and Money Laundering Reporting Officer functions described in GEN 5.4.
Recognised Person	Means an individual who has been approved by an Authorised Person to perform one or more Recognised Functions for an Authorised Person.
Regulatory Filings	Means the return or report to be submitted to the Regulator, in relation to:

	<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) GEN, in accordance with Rules 6.6.6, 6.6.7, 6.6.1 and 8.8.12;</p> <p>(d) PIN, in accordance with Rules 6.6.1, 6.6.7, 6.7.2(1), 7.2.3 and 7.3.5;</p> <p>(e) PRU, in accordance with Rules 2.3.7, 3.21.1, 10.3.2(3) and 10.4.2(3).</p>
Responsible Officer	Means the Approved Function described in GEN 5.4.9 <u>5.3.9</u> .
Senior Manager	Means in relation to an Authorised Person, the Recognised <u>Controlled</u> Function described in GEN 5.4.7 <u>5.3.7</u> .

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