**Section 4425.30 Definitions**

 Accountant means an independent certified public accountant or accounting firm who is in good standing with the American Institute of CPAs and all states in which the accountant is licensed to practice.

 Dealer means a person, other than a natural person, required to be registered as a broker or dealer with the Securities and Exchange Commission pursuant to Section 15(a) of the Securities Exchange Act of 1934 (15 USC 780(a)).

 Financial Operations Principal shall mean a person associated with a dealer whose duties include:

 final approval and responsibility for the accuracy of financial reports submitted to any duly established securities industry regulatory body;

 final preparation of such reports;

 supervision of individuals who assist in the preparation of such reports;

 supervision of and responsibility for individuals who are involved in the actual maintenance of the member's books and records from which such reports are derived;

 supervision and/or performance of the dealer's responsibilities under all financial responsibility rules promulgated pursuant to the provisions of the Securities Exchange Act;

 overall supervision of and responsibility for the individuals who are involved in the administration and maintenance of the dealer's custody, control and processing of securities; or

 any other matter involving the financial and operational management of the member.

 Pension Fund means all pension funds established under Article 3 or 4 of the Illinois Pension Code [40 ILCS 5/3-101 through 3-152 and 4-101 through 4-144].