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development in theory and breakthroughs.

CISI UAE Financial Rules and Regulations Exam Sample Questions (Q77-Q82):

NEW QUESTION # 77

The whistleblowing policy submitted by an applicant for a financial activities licence must include a mechanism for:

- A. protecting the reporting employee
- B. ensuring all staff have a named reporting contact
- C. disciplining staff proven to have breached rules
- D. escalating any reports to board level

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations require that the whistleblowing policy submitted by licence applicants incorporates a clear mechanism for protecting the reporting employee. This protection includes confidentiality safeguards, protection against retaliation, and secure channels for raising concerns. Ensuring the safety and anonymity of whistleblowers is fundamental to encouraging the reporting of unethical or illegal conduct, thereby enhancing regulatory compliance and corporate governance. Other aspects such as escalation procedures and disciplinary measures are important but secondary; the central pillar of effective whistleblowing policy is the protection of the individual who reports wrongdoing.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Whistleblowing, Section 3.4.2 (2023).

NEW QUESTION # 78

During a trading session, if an order is not fully executed, then:

- A. the remaining unexecuted volume stays on the trading system, at the last executed price
- B. the transaction is executed at the price set on the other side of the transaction
- C. the remaining unexecuted volume is cancelled and a new order is placed, at the last executed price
- D. the order will be dealt with at the next trading session

Answer: A

Explanation:

In the Dubai Financial Market (DFM) and other UAE exchanges, if an order is not fully executed during a trading session, the remaining unexecuted volume remains on the trading system at the last executed price, subject to the order's validity instructions (e.g., good-till-cancelled). This approach allows the unfilled portion to remain active in the market for potential matching with future opposing orders, supporting liquidity and order continuity. Orders are not automatically cancelled or deferred to the next session unless specified. This process ensures transparency and orderly execution consistent with regulatory trading rules.

Reference: CISI UAE Financial Rules and Regulations - Trading Order Execution Rules, Section 7.2.8 (2023).

NEW QUESTION # 79

The role of the authorised agent of the exchange-traded fund (ETF) is to:

- A. ensure that the transfer of ownership of units is completed
- B. regularly announce the indicative value of the net value of assets
- C. announce the net value of the unit's assets on a daily basis
- D. update sell and buy orders

Answer: B

Explanation:

The authorised agent of an ETF has a critical role in maintaining transparency and liquidity in the market.

According to CISI UAE Financial Rules and Regulations, the authorised agent is responsible for regularly announcing the indicative value of the net assets of the ETF units. This indicative net asset value (iNAV) provides investors and market participants with a near real-time estimate of the underlying assets' value, reflecting market fluctuations throughout the trading day. Unlike the official net asset value (NAV), which is typically calculated at the end of the trading day, the iNAV supports intra-day trading decisions and helps maintain price alignment between the ETF units and their underlying assets. This responsibility is fundamental in ensuring efficient

price discovery and protecting investor interests in the ETF market.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds and ETF Operations, Section 6.4.2 (2023).

NEW QUESTION # 80

The last trading day for an India Gold Quanto Futures contract is:

- A. the 25th calendar day of the delivery month
- B. one business day prior to the last business day of the delivery month
- **C. two business days prior to the last business day of the delivery month**
- D. four business days prior to the 25th calendar day of the delivery month

Answer: C

Explanation:

For India Gold Quanto Futures contracts, the last trading day is defined as two business days prior to the last business day of the delivery month. This rule ensures that there is adequate time for the settlement and adjustment of any open positions before the final day of trading. The two-day buffer also allows for the reconciliation of positions, making the futures market more efficient and reducing the likelihood of disputes regarding settlement. This is in line with global standards for futures contracts where the settlement and final trading days are clearly defined to protect market integrity and investor interests.

Reference: CISI UAE Financial Rules and Regulations - Futures Contract Trading, Section 8.2.4 (2023).

NEW QUESTION # 81

Firms providing investment management services must provide periodic statements to retail clients, in normal circumstances at least every:

- A. 3 months
- **B. 6 months**
- C. 12 months
- D. month

Answer: B

Explanation:

The CISI UAE Financial Rules and Regulations require that firms offering investment management services deliver periodic statements to retail clients at least every 6 months under normal circumstances. This frequency strikes a balance between providing clients with timely updates on their investments and operational practicality for firms. The statements include performance, transaction details, fees, and holdings, enabling retail clients to monitor their portfolios and make informed decisions. More frequent reporting may be required in special situations, but semi-annual reporting is the standard minimum.

Reference: CISI UAE Financial Rules and Regulations - Client Reporting Requirements, Section 4.5.3 (2023).

NEW QUESTION # 82

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