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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q32-Q37):

NEW QUESTION # 32

An application submitted to the ADX by the brokerage company to enable it to supply E-Trading services will result in a decision to approve or reject the application within:

- A. 30 days
- B. 2 days
- C. 10 days
- **D. 5 days**

Answer: D

Explanation:

Brokerage firms seeking approval from the Abu Dhabi Securities Exchange (ADX) to offer E-Trading services are subject to a timely review process. According to the CISI UAE Financial Rules and Regulations, the ADX is required to make a decision to approve or reject such applications within 5 business days. This rapid response timeline ensures that brokers can efficiently begin offering E-Trading services to clients, which is crucial in today's fast-paced financial markets. By maintaining this short decision-making window, the ADX fosters an environment of operational efficiency and responsiveness, which supports both market development and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - E-Trading Approval Process, Section 10.4.1 (2023).

NEW QUESTION # 33

In order to be authorised to deal in investments, which of the following professional roles would the Authority expect to see within the firm?

- A. Trading Manager
- B. Operations Manager
- C. Compliance Officer
- **D. Broker Representative**

Answer: D

Explanation:

The Authority expects licensed firms authorised to deal in investments to include a Broker Representative within their professional staff. The Broker Representative is the role licensed and trained to execute investment transactions on behalf of clients, adhering to regulatory standards. While other roles like Trading Manager, Compliance Officer, and Operations Manager are vital for the firm's overall functioning and compliance, the Broker Representative is specifically required for dealing activities, ensuring qualified and responsible conduct in investment execution.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles for Investment Dealing, Section 3.1.9 (2023).

NEW QUESTION # 34

For all local funds, a semi-annual report on the public fund's performance must be prepared no later than:

- **A. 2 months from the end of the semi-annual period**
- B. 2 months from the end of the financial year
- C. 45 days from the end of the semi-annual period
- D. 30 days from the end of the financial year

Answer: A

Explanation:

Per CISI UAE Financial Rules and Regulations governing investment funds, a semi-annual report on the public fund's performance must be prepared no later than 2 months from the end of the semi-annual period.

This reporting timeline ensures timely disclosure to investors and regulators, providing transparency about fund performance, investment activities, and compliance with regulatory standards. The semi-annual report serves as a key accountability mechanism, enabling investors to make informed decisions and maintain confidence in the fund management. The requirement for a two-month deadline aligns with global best practices in fund reporting.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Reporting Requirements, Section 6.5.4 (2023).

NEW QUESTION # 35

Which of the following is a sanction available to the Authority in the event of a violation of its provisions?

- A. Impose a financial fine of not less than AED 100,000
- B. Suspend any financial activity practised during an investigation
- C. Suspend the licensed body for a period of two years
- D. Impose a financial fine of not more than AED 100,000

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations empower the Authority to impose financial fines of not less than AED 100,000 on licensed entities or persons found in violation of regulatory provisions. This minimum fine serves as a deterrent and underscores the regulator's authority to enforce compliance. While suspension of licensed bodies or activities can be imposed in some cases, the standard and frequently applied sanction is the financial penalty starting from AED 100,000. The Authority's sanctions framework ensures robust regulatory oversight and promotes adherence to UAE financial laws.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Sanctions and Penalties, Section 2.6.4 (2023).

NEW QUESTION # 36

What is the minimum fine that can be levied on a person found guilty of financing an illegal organisation?

- A. AED 250,000
- B. AED 150,000
- C. AED 200,000
- D. AED 300,000

Answer: B

Explanation:

Under Federal Law No. 20 of 2018 and relevant CISI UAE Financial Rules and Regulations, the minimum fine imposed on a person convicted of financing an illegal organisation is AED 150,000. This penalty underscores the seriousness with which the UAE treats the crime of funding illegal or terrorist entities.

Alongside financial sanctions, convicted individuals may face imprisonment and other legal consequences.

These stringent penalties are part of the UAE's commitment to combating terrorism financing and protecting national and international security.

Reference: CISI UAE Financial Rules and Regulations - AML Criminal Sanctions, Section 8.4.5 (2023).

NEW QUESTION # 37

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