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CISI UAE Financial Rules & Regs

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as advice excludes complex products

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B. the client has not been provided with a recommendation ✓
C. the product has been issued by a foreign entity
D. the client is not considered ~~experienced~~

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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q68-Q73):

NEW QUESTION # 68

An applicant for a license from the Authority has submitted a feasibility study and work plan. What method will be used to evaluate this?

- A. A stress testing exercise
- B. Comparison with the same sector
- C. An operational risk matrix
- D. SWOT analysis

Answer: D

Explanation:

CISI UAE Financial Rules and Regulations require that feasibility studies and work plans submitted by licence applicants be evaluated using a SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats).

This comprehensive method assesses the internal and external factors affecting the viability and strategic positioning of the applicant's business plan. The SWOT analysis helps regulators understand the applicant's operational readiness, competitive environment, risk exposures, and growth potential, ensuring robust due diligence before licensing. Other methods such as operational risk matrices or stress testing may be used in broader risk assessments but are not the primary evaluation tool for feasibility studies.

Reference: CISI UAE Financial Rules and Regulations - Licensing Procedures and Evaluation, Section 3.6.2 (2023).

NEW QUESTION # 69

If a listed company faces accumulated losses of 50% or more of capital, what is required to happen?

- A. It is moved from a first category listing to a second category of listing
- B. It is moved from a second category listing to a first category of listing
- C. It is required to be audited more frequently
- D. Its shares are suspended for at least six months

Answer: A

Explanation:

If a listed company faces accumulated losses of 50% or more of its capital, the company is required to be moved from a first category listing to a second category of listing. This measure is designed to protect investors by ensuring that only financially stable companies remain in the primary listing category, which is subject to stricter regulatory oversight and higher investor expectations. The second category listing provides a lower level of visibility, which reflects the increased financial risks associated with such companies. This helps mitigate the potential impact on other market participants.

Reference: CISI UAE Financial Rules and Regulations - Listing Categories and Financial Health, Section 2.5.1 (2023).

NEW QUESTION # 70

The contract size for trading in Silver Futures on the Dubai Gold & Commodities Exchange is 1,000 troy ounces of refined silver, plus or minus what prescribed margin?

- A. 2%
- B. 1%
- C. 10%
- D. 5%

Answer: D

Explanation:

For Silver Futures contracts on the Dubai Gold & Commodities Exchange (DGEX), the contract size is 1,000 troy ounces of refined silver, with a prescribed margin of 5%. The margin requirement ensures that traders have sufficient collateral to cover potential price fluctuations in the market. The 5% margin provides a balance between allowing for liquidity in the market and managing the risks associated with futures trading.

This is a standard margin level designed to protect both market participants and the exchange from extreme volatility or defaults.

Reference: CISI UAE Financial Rules and Regulations - Silver Futures Trading on DGEX, Section 7.1.3 (2023).

NEW QUESTION # 71

Which of the following is an administrative penalty that can be imposed on financial institutions that violate the law and regulations in relation to money laundering and terrorism financing?

- A. A penalty of no less than AED 5,000 and no more than AED 1,000,000 for each violation
- B. A penalty of no less than AED 100,000 and no more than AED 10,000,000 for each violation
- C. A penalty of no less than AED 50,000 and no more than AED 5,000,000 for each violation
- D. A penalty of no less than AED 15,000 and no more than AED 5,000,000 for each violation

Answer: C

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, financial institutions that violate anti-money laundering (AML) and counter-terrorism financing (CTF) laws may be subjected to administrative penalties ranging from no less than AED 50,000 and no more than AED 5,000,000 for each violation. These substantial fines underscore the UAE's commitment to stringent AML/CTF enforcement and deterrence. Administrative penalties are imposed alongside other measures such as corrective actions and possible criminal sanctions, ensuring comprehensive regulatory oversight.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.4 (2023).

NEW QUESTION # 72

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. announce the net value of the unit's assets on a daily basis
- **C. regularly announce the indicative value of the net value of assets**
- D. update sell and buy orders

Answer: C

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 # 73

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