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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q84-Q89):

NEW QUESTION # 84

A good-till-cancelled order on the DFM will remain available for execution unless it is cancelled by:

- A. the market committee
- **B. the investor**
- C. the broker
- D. the clearing member

Answer: B

Explanation:

On the Dubai Financial Market (DFM), a good-till-cancelled (GTC) order remains active and available for execution until explicitly cancelled by the investor who placed it. This means the investor maintains control over the order's lifespan, allowing it to persist through trading sessions unless they choose to withdraw it.

Brokers or clearing members do not have authority to unilaterally cancel GTC orders, ensuring investor autonomy. The market committee also does not intervene in the cancellation of individual orders under normal circumstances. This design supports investor flexibility and orderly market functioning.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Management, Section 7.3.2 (2023).

NEW QUESTION # 85

A failure to report suspicions, or gross negligence in implementing processes and procedures in relation to suspicions of money laundering, can result in a fine of:

- A. no less than AED 1,000,000 and no more than AED 10,000,000
- B. no less than AED 50,000 and no more than AED 1,000,000
- C. no less than AED 100,000 and no more than AED 1,000,000
- **D. no less than AED 100,000 and no more than AED 5,000,000**

Answer: D

Explanation:

Under Federal Law No. 20 of 2018 and the CISI UAE Financial Rules and Regulations, entities failing to report suspicions of money laundering or exhibiting gross negligence in their anti-money laundering (AML) processes are subject to severe financial penalties. The fine ranges from no less than AED 100,000 and no more than AED 5,000,000. These substantial fines are intended to enforce strict compliance with AML obligations and deter negligence or complicity in money laundering activities. This penalty framework ensures organizations maintain robust internal controls, timely reporting, and staff training to identify and report suspicious activities effectively, thereby protecting the UAE's financial system.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.2 (2023).

NEW QUESTION # 86

A brokerage firm's records include client agreements, selling orders and accounts. Under the Professional Code of Conduct, which of these does the DFM have the right to access and review?

- A. Client agreements and selling orders only
- **B. Client agreements, selling orders and accounts**
- C. Accounts and client agreements only
- D. Selling orders and accounts only

Answer: B

Explanation:

The Dubai Financial Market's Professional Code of Conduct grants the DFM the right to access and review all core client-related records maintained by brokerage firms, including client agreements, selling orders, and accounts. This comprehensive access enables the DFM to monitor compliance, investigate complaints, and ensure that firms adhere to regulatory and ethical standards. Access to all three categories is essential to provide a complete picture of client interactions and transactions, ensuring market transparency and investor protection. Partial access would impair effective oversight and enforcement.

Reference: CISI UAE Financial Rules and Regulations - DFM Professional Code of Conduct, Records Access and Review, Section 4.1.6 (2023).

NEW QUESTION # 87

Where a brokerage firm on the DFM has a client with a debit balance, the regulations prevent the firm from:

- A. providing investment advice to the client
- **B. accepting new orders from the client**
- C. paying any cash to the client
- D. selling securities on the client's behalf

Answer: B

Explanation:

According to CISI UAE Financial Rules and Regulations, if a client holds a debit balance with a brokerage firm on the Dubai Financial Market (DFM), the firm is prevented from accepting new orders from that client until the debit balance is cleared. This measure protects both the brokerage firm and market integrity by ensuring that clients do not accumulate unpaid debts from trading activities, thereby reducing credit risk. The restriction applies specifically to new orders; other services such as providing advice or selling securities may continue under certain conditions.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Debit Balance Controls, Section 4.4.12 (2023).

NEW QUESTION # 88

An error was made by a broker which led to a trade being conducted using the wrong trading account number.

If the trader submitted a request to have the number amended 40 minutes after the end of the trading session, the amendment would only be made if:

- A. the correction is within a 5% error margin
- **B. the circumstances are considered to be exceptional**
- C. an alteration fee is paid at the same time
- D. an impact assessment gives acceptable results

Answer: B

Explanation:

In trading systems regulated under the CISI UAE Financial Rules and Regulations, brokers must ensure the accuracy of account details associated with transactions. However, if an error occurs, such as using an incorrect trading account number, amendments are generally not allowed beyond the trading session unless specific conditions are met. The CISI rules state that amendments will only be made in exceptional circumstances. For instance, if the request for the amendment is made shortly after the session, such as within

40 minutes, and it can be demonstrated that the error had no significant impact on market stability or the involved parties, it may be considered exceptional. Therefore, a correction request is usually subject to a careful review of its impact, and the circumstances of the error must be deemed significant enough to warrant such an exception.

Reference: CISI UAE Financial Rules and Regulations - Trading Errors and Amendments, Section 8.4.1 (2023).

NEW QUESTION # 89

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