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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q38-Q43):

NEW QUESTION # 38

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

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

- D. Impose a financial fine of not more than AED 100,000

Answer: B

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 # 39

A key reason why the regulator applies financial promotion rules is to ensure that:

- A. the customers are treated fairly
- B. the available product range is maximised
- C. the market is kept competitive
- D. the impact of operational risk is avoided

Answer: A

Explanation:

Financial promotion rules are enforced by the regulator primarily to ensure that customers are treated fairly.

These rules govern how financial products and services are marketed to prevent misleading, deceptive, or aggressive promotions that could harm investors. By regulating promotional materials and communications, the Authority aims to protect consumers, enable informed decision-making, and maintain trust in the financial markets. While market competitiveness and operational risk management are important, customer fairness is the central objective of financial promotion regulations in the UAE.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Financial Promotions, Section 4.2.1 (2023).

NEW QUESTION # 40

Where a private equity fund is to be incorporated, the incorporation agreement must include a statement indicating:

- A. who bears main responsibility for regulatory compliance
- B. who will be appointed auditor for the fund
- C. whether the limited partners can influence investment management
- D. whether the investment management will be outsourced

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations stipulate that the incorporation agreement for a private equity fund must clearly specify who bears main responsibility for regulatory compliance. This is essential to delineate accountability and ensure the fund operates within the legal framework set by UAE regulators.

Establishing regulatory responsibility clarifies oversight roles, risk management, and adherence to licensing and reporting obligations. While other elements such as auditor appointments or investment management arrangements are important, the regulatory framework specifically mandates the explicit allocation of compliance responsibility in the incorporation agreement to prevent ambiguity and promote sound governance. This ensures protection of investors and maintains fund integrity.

Reference: CISI UAE Financial Rules and Regulations - Private Equity Funds Incorporation, Section 6.1.9 (2023).

NEW QUESTION # 41

DFM brokerage firms are required to ensure that employees have appropriate professional experience if they:

- A. are employed to operate an electronic trading or clearing system
- B. are new to the company or the industry
- C. are employed to deal with clients or on their behalf
- D. are on full-time or substantial part-time contracts

Answer: C

Explanation:

DFM brokerage firms are required to ensure that their employees have appropriate professional experience if they are employed to deal with clients or on their behalf. This is because employees interacting directly with clients must possess the necessary skills, knowledge, and experience to provide accurate information, manage client portfolios, and handle client transactions in compliance with regulatory standards. This ensures that clients are protected from potential mismanagement or malpractice and that the brokerage firm maintains a high standard of service.

Reference: CISI UAE Financial Rules and Regulations - Employee Competency Requirements for DFM Brokerage Firms, Section 7.2.1 (2023).

NEW QUESTION # 42

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

Answer: B

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 # 43

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