

# Online UAE-Financial-Rules-and-Regulations Version & UAE-Financial-Rules-and-Regulations Exam Outline



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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q84-

## **Q89):**

### **NEW QUESTION # 84**

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 # 85**

The policies of a firm applying for a financial activities licence must include arrangements to provide a copy of its complaints handling procedure to clients:

- A. within 24 hours of accepting the client
- B. within 48 hours of accepting the client
- C. on request
- D. on receipt of a complaint

**Answer: C**

Explanation:

Under the CISI UAE Financial Rules and Regulations, firms applying for a financial activities licence are required to have formal policies addressing client protection, including clear complaints handling procedures.

Such firms must make these procedures available to clients on request, ensuring transparency and accessibility without imposing undue burden on clients or firms. The regulatory framework does not mandate automatic distribution within fixed timeframes upon client acceptance or complaint receipt but emphasizes accessibility and prompt responsiveness when clients seek the information. This approach balances operational feasibility and client rights to be informed about how their complaints will be managed. Providing the procedure upon request also fosters a trust-based relationship and helps resolve disputes effectively.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Complaints Handling, Section 4.2.7 (2023).

### **NEW QUESTION # 86**

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. Broker Representative
- C. Compliance Officer
- D. Operations Manager

**Answer: B**

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.

### NEW QUESTION # 87

The disclosure of a licensed body's legal status, including the fact that it is licensed by the Authority, is important because:

- A. it ensures that no clients suffer from perceived or actual misbehaviour at the hands of a firm which is regulated
- B. it enables those that might suffer from perceived or actual misbehaviour at the hands of a firm to raise their concerns with the regulator
- C. it forces firms to disclose their regulatory status and that they are subject to the Authority's control and supervision
- D. it allows third party firms to use, utilise, or copy the Authority's logo for any reason and this reassures clients

#### Answer: B

Explanation:

Disclosing a licensed body's legal status and its licensing by the Authority is crucial because it enables clients and others who may suffer from perceived or actual misbehaviour to raise their concerns with the regulator.

This transparency mechanism empowers investors and market participants to seek redress and promotes regulatory oversight. While the disclosure also signifies the firm's subjection to regulatory supervision, the primary benefit is facilitating complaint handling and protection. It does not imply that no misbehaviour occurs, nor does it authorize the unauthorised use of the Authority's branding by third parties.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Regulatory Disclosure, Section 4.1.8 (2023).

### NEW QUESTION # 88

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 # 89

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