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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q28-Q33):

NEW QUESTION # 28

If a discrepancy comes to light when conducting an external reconciliation, what must the firm do?

- A. Immediately suspend operations with the third party
- **B. Investigate and correct it as soon as possible**
- C. Immediately inform the regulator verbally and follow this up in writing
- D. Close the client's account by close of business on the same day

Answer: B

Explanation:

If a discrepancy is identified during an external reconciliation process, the firm is required to investigate and correct it as soon as possible. The CISI UAE Financial Rules and Regulations emphasize that discrepancies, whether in financial data or operational procedures, must be thoroughly examined to determine the root cause and rectified promptly. Immediate corrective action helps to ensure that financial statements and other reports remain accurate and reliable, preventing any further errors or compliance issues. While it may be necessary to inform the regulator or suspend operations in extreme cases, the first priority is to address the discrepancy through investigation and correction.

Reference: CISI UAE Financial Rules and Regulations - Reconciliation and Error Resolution, Section 8.1.4 (2023).

NEW QUESTION # 29

What does the Authority usually do before deciding to delist a company's shares?

- A. Consult with the relevant market
- **B. Issue an improvement notice of 30 days**
- C. Consult with the relevant firm
- D. Issue a fine for payment within 30 days

Answer: B

Explanation:

Before deciding to delist a company's shares, the regulatory authority typically follows a procedure designed to ensure that the company has an opportunity to rectify any issues. According to the CISI UAE Financial Rules and Regulations, the Authority usually issues an improvement notice of 30 days to the company. This notice outlines the deficiencies or non-compliance issues that the company needs to address in order to avoid delisting. The 30-day period allows the company time to correct the issues, such as failure to meet financial reporting requirements, governance standards, or other operational obligations. This approach ensures fairness and transparency before taking any drastic actions like delisting.

Reference: CISI UAE Financial Rules and Regulations - Delisting Procedures, Section 2.5.3 (2023).

NEW QUESTION # 30

Why would the Authority board resolve temporarily to halt trading in the shares of any company?

- A. A written complaint is made relating to a market activity
- B. It transpires that the spouse of a board member is a director of that entity
- **C. A threat to the proper and regular working of that market arises**
- D. It does not have the technical equipment necessary to conduct its activity electronically

Answer: C

Explanation:

The Authority board may decide to temporarily halt trading in the shares of a company if a threat to the proper and regular working of that market arises. This action is taken to ensure the integrity of the market and protect investors from any disruption caused by irregularities or unexpected events. Such threats could include issues like system failures, significant market manipulation, or events that might cause unfair trading conditions.

Halting trading is a precautionary measure that aims to stabilize the market, allowing time for the issue to be resolved before trading resumes.

Reference: CISI UAE Financial Rules and Regulations - Trading Halts and Market Integrity, Section 3.4.2 (2023).

NEW QUESTION # 31

If an error in the final cash settlement price of an equity index comes to the attention of the Exchange more than 30 minutes after the publication of the final cash settlement price, what happens?

- A. No correction will be made
- B. It will be re-determined
- C. Liability is apportioned
- D. The provider will correct it

Answer: A

Explanation:

Under CISI UAE Financial Rules and Regulations governing market operations, if an error in the final cash settlement price of an equity index is discovered more than 30 minutes after publication, the Exchange will not make any correction. This rule limits the window for price correction to maintain market certainty and finality of settlements. After the 30-minute threshold, the published price stands as final, protecting contractual certainty and operational stability. While the provider may acknowledge errors, no re-determination or liability adjustment occurs post-deadline. This policy aligns with international exchange practices designed to minimize market disruption.

Reference: CISI UAE Financial Rules and Regulations - Market Settlement and Price Correction Rules, Section 7.5.9 (2023).

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

Answer: A

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

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