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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q47-Q52):

NEW QUESTION # 47

The whistleblowing policy submitted by an applicant for a financial activities licence must include a mechanism for:

- A. disciplining staff proven to have breached rules
- B. escalating any reports to board level
- C. protecting the reporting employee
- D. ensuring all staff have a named reporting contact

Answer: C

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 # 48

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

Answer: B

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 # 49

The approved job for conducting securities dealing is:

- A. Category Manager
- B. Operations Manager
- C. Trading Manager
- D. Broker Representative

Answer: D

Explanation:

In the CISI UAE Financial Rules and Regulations, the role formally authorized to conduct securities dealing is that of a Broker Representative. This role is specifically licensed and trained to execute trades on behalf of clients and manage securities transactions within regulatory frameworks. Other positions like Trading Manager or Operations Manager have important but different operational

and supervisory functions and do not directly engage in client securities dealing. The Broker Representative's licensing ensures adherence to professional standards, client protection, and market integrity.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles, Section 3.1.9 (2023).

NEW QUESTION # 50

During an investigation, what should a licensed body do if it discovers that any of the submitted documents or information are incorrect, misleading or have been changed?

- A. Call an emergency Board meeting and thereafter notify the concerned entity at the Authority
- **B. Notify the concerned entity at the Authority or any of the capital market institutions immediately**
- C. Notify the concerned entity at the Authority or any of the capital market institutions within 5 working days
- D. The Chair and Board of Directors should notify the Authority and tender their resignations

Answer: B

Explanation:

If a licensed body discovers that any submitted documents or information are incorrect, misleading, or have been changed during an investigation, it is required to notify the concerned entity at the Authority or any of the capital market institutions immediately.

According to the CISI UAE Financial Rules and Regulations, this immediate disclosure is critical for maintaining market integrity and ensuring that the Authority and other relevant bodies can take appropriate actions to address any issues of non-compliance or fraud. The prompt notification prevents further misrepresentation and safeguards the transparency of the financial markets.

Reference: CISI UAE Financial Rules and Regulations - Investigation and Disclosure Requirements, Section 5.6.2 (2023).

NEW QUESTION # 51

If in-kind shares are provided when the fund is founded; if the subscription fails and there is no special agreement, who would bear the expenses?

- **A. Founders**
- B. Evaluators
- C. Auditors
- D. Share providers

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, when in-kind shares are provided at fund inception and the subscription fails, the founders bear the related expenses in the absence of any special agreement. This allocation reflects the founders' responsibility in establishing and capitalizing the fund and absorbing initial setup costs, including those related to failed subscriptions. Share providers, auditors, or evaluators are not typically liable for such expenses unless contractual terms explicitly assign such responsibility. This regulatory stance encourages clarity and accountability in fund founding arrangements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Incorporation and Expense Allocation, Section 6.2.11 (2023).

NEW QUESTION # 52

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