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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q63-Q68):

NEW QUESTION # 63

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

Answer: D

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 # 64

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. Compliance Officer
- **B. Broker Representative**
- C. Trading Manager
- 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.

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

NEW QUESTION # 65

Unless otherwise agreed, a broker must submit to the client a statement of account that outlines the client's balance of securities and cash, and all transactions executed every:

- A. 12 months
- B. 6 months
- **C. month**
- D. 3 months

Answer: C

Explanation:

Under the CISI UAE Financial Rules and Regulations, brokers are required to submit regular statements of account to clients. These statements must include the client's balance of securities and cash, as well as details of all transactions executed. The statement must be submitted on a monthly basis, unless a different arrangement is specifically agreed upon between the broker and the client. This ensures transparency, allowing clients to stay informed about their investment portfolios and the status of their accounts. Regular monthly reporting is a fundamental requirement for protecting client interests and ensuring that financial institutions operate with the highest standards of accountability and client service.

Reference: CISI UAE Financial Rules and Regulations - Client Account Statements, Section 4.5.2 (2023).

NEW QUESTION # 66

The approved job for conducting securities dealing is:

- A. Category Manager

- **B. Broker Representative**
- C. Trading Manager
- D. Operations Manager

Answer: B

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 # 67

The Corporate Governance Guide automatically allows board members of public joint-stock companies to accept gifts up to what maximum stated value?

- A. AED 200
- B. AED 100
- C. AED 500
- **D. AED 300**

Answer: D

Explanation:

According to the Corporate Governance Guide for public joint-stock companies, board members are automatically allowed to accept gifts up to a maximum value of AED 300. This limit is set to ensure that the acceptance of gifts does not raise concerns about conflicts of interest or unethical conduct. By establishing a cap on the value of acceptable gifts, the guide aims to promote transparency and prevent any undue influence on the decision-making process of board members. This helps maintain the integrity of the corporate governance framework and fosters trust among stakeholders.

Reference: CISI UAE Financial Rules and Regulations - Corporate Governance and Gift Acceptance, Section 10.4.5 (2023).

NEW QUESTION # 68

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