

New UAE-Financial-Rules-and-Regulations Mock Test - Braindump UAE-Financial-Rules-and-Regulations Pdf



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Rules and Regulations Exam

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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q85-Q90):

NEW QUESTION # 85

In cases where securities are bought and sold during the same trading session, the client must have in its cash account enough:

- A. credit to cover the value of sale
- B. credit to cover the value of any losses
- C. securities to the value of purchase
- **D. credit to cover the value of purchase**

Answer: D

Explanation:

According to the CISI UAE Financial Rules and Regulations under Client Protection provisions, when a client buys and sells securities within the same trading session (day trading), the client must maintain sufficient credit to cover the value of purchase in their cash account at the time of the transaction. This rule ensures that clients have the necessary funds to settle their purchase obligations promptly, reducing settlement risk and maintaining market stability. Credit to cover sales is not required since sales generate funds rather than consume them. This provision supports orderly trading and financial discipline among market participants by preventing unsettled trades and possible defaults.

Reference: CISI UAE Financial Rules and Regulations - Client Protection, Trading and Settlement Rules, Section 4.3.2 (2023).

NEW QUESTION # 86

The conciliation process allows the Authority to impose what alternative to criminal prosecution?

- A. Suspension of activities for a specified period
- **B. Negotiated out-of-court settlement**
- C. Payment of a prescribed amount of money
- D. Referral to the Central Bank

Answer: B

Explanation:

The CISI UAE Financial Rules and Regulations provide for a conciliation process whereby the Authority may impose a negotiated out-of-court settlement as an alternative to criminal prosecution. This mechanism allows for the resolution of regulatory breaches through mutual agreement, often involving remedial actions and financial penalties, without lengthy court proceedings. It supports regulatory efficiency and offers a less adversarial path to compliance while maintaining enforcement effectiveness. Suspension or referral are different enforcement actions but not part of the conciliation alternative.

Reference: CISI UAE Financial Rules and Regulations - Enforcement and Conciliation Procedures, Section 2.7.5 (2023).

NEW QUESTION # 87

A failure to report suspicions, or gross negligence in implementing processes and procedures in relation to suspicions of money laundering, can result in a fine of:

- A. no less than AED 100,000 and no more than AED 1,000,000
- **B. no less than AED 100,000 and no more than AED 5,000,000**
- C. no less than AED 1,000,000 and no more than AED 10,000,000
- D. no less than AED 50,000 and no more than AED 1,000,000

Answer: B

Explanation:

Under Federal Law No. 20 of 2018 and the CISI UAE Financial Rules and Regulations, entities failing to report suspicions of money laundering or exhibiting gross negligence in their anti-money laundering (AML) processes are subject to severe financial penalties. The fine ranges from no less than AED 100,000 and no more than AED 5,000,000. These substantial fines are intended to enforce strict compliance with AML obligations and deter negligence or complicity in money laundering activities. This penalty framework ensures organizations maintain robust internal controls, timely reporting, and staff training to identify and report suspicious activities effectively, thereby protecting the UAE's financial system.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.2 (2023).

NEW QUESTION # 88

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. 10 days
- C. 2 days
- D. 30 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 # 89

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

Answer: C

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 # 90

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