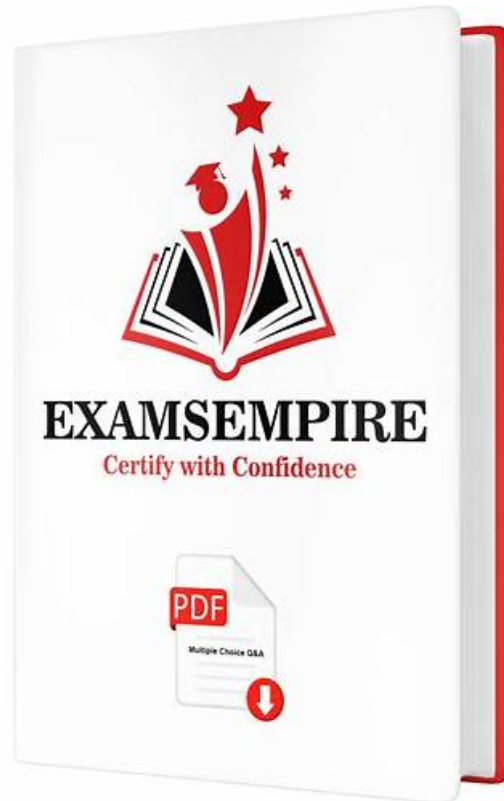


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q64-Q69):

NEW QUESTION # 64

The last trading day for an India Gold Quanto Futures contract is:

- A. four business days prior to the 25th calendar day of the delivery month
- **B. two business days prior to the last business day of the delivery month**
- C. the 25th calendar day of the delivery month
- D. one business day prior to the last business day of the delivery month

Answer: B

Explanation:

For India Gold Quanto Futures contracts, the last trading day is defined as two business days prior to the last business day of the delivery month. This rule ensures that there is adequate time for the settlement and adjustment of any open positions before the final day of trading. The two-day buffer also allows for the reconciliation of positions, making the futures market more efficient and reducing the likelihood of disputes regarding settlement. This is in line with global standards for futures contracts where the settlement and final trading days are clearly defined to protect market integrity and investor interests.

Reference: CISI UAE Financial Rules and Regulations - Futures Contract Trading, Section 8.2.4 (2023).

NEW QUESTION # 65

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

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 # 66

Which of the following customer due diligence measures should be taken if a client is a foreign politically exposed person?

- **A. Attempt to establish the source of the funds**
- B. Seek Authority approval to proceed
- C. Conduct a prescribed risk / benefit analysis
- D. Examine the latest Interpol watch list

Answer: A

Explanation:

For foreign politically exposed persons (PEPs), CISI UAE Financial Rules and Regulations require that firms undertake rigorous

customer due diligence, including attempting to establish the source of funds. Establishing the legitimacy and origin of funds is crucial to prevent illicit money laundering and terrorism financing. While risk/benefit analyses and regulatory approvals are important, the direct verification of fund sources is a primary control measure against financial crimes involving PEPs. Checking watchlists like Interpol's is supplementary but not sufficient alone. This requirement safeguards the financial system and aligns with Federal Law No. 20 of 2018's anti-money laundering mandates.

Reference: CISI UAE Financial Rules and Regulations - AML Controls and PEP Risk Management, Section 8.2.9 (2023).

NEW QUESTION # 67

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

Answer: D

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 # 68

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

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

Answer: B

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 # 69

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