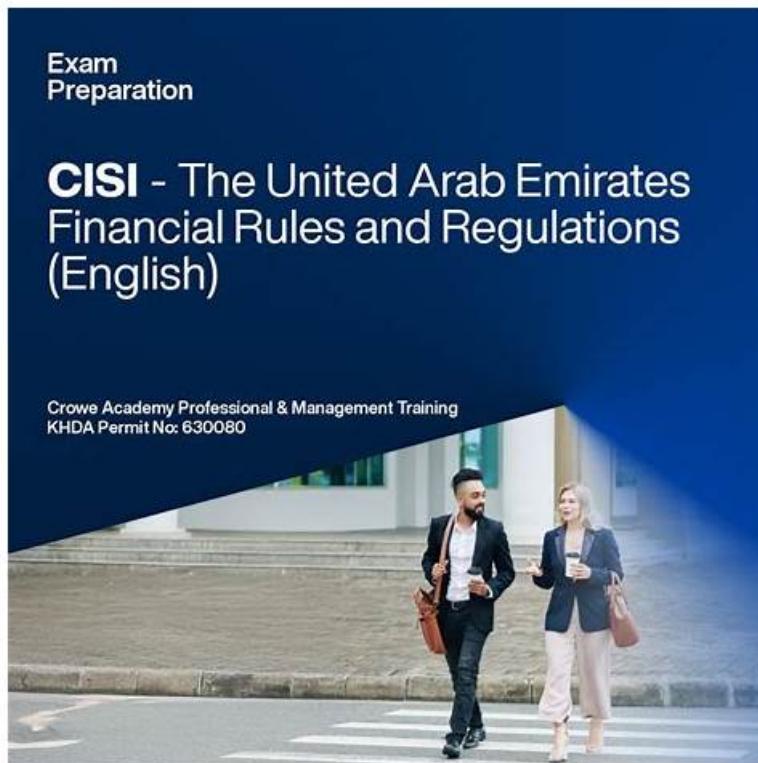


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q89-Q94):

NEW QUESTION # 89

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

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

Answer: C

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 # 90

If the mid-point is used to determine the theoretical auction price for a pre-closing session of the DFM, it is:

- **A. rounded up to the nearest price tick**
- B. rounded to one decimal place
- C. rounded down to the nearest price tick
- D. rounded to two decimal places

Answer: A

Explanation:

The Dubai Financial Market (DFM) utilizes precise rules to calculate the theoretical auction price during pre-closing sessions to ensure market transparency and fairness. According to the CISI UAE Financial Rules and Regulations and DFM official trading manuals, when the mid-point price is used in price determination, it is rounded up to the nearest price tick. This rounding mechanism ensures consistency in pricing and avoids fractional pricing issues that could disrupt the matching of buy and sell orders. The concept of a price tick is a minimum price movement allowed in trading, defined by the market's tick size schedule. By rounding up, the market supports price stability and protects sellers during the auction process. This is explicitly stated in DFM's trading rules section regarding auction price calculation and tick size adjustments.

Reference: CISI UAE Financial Rules and Regulations - Dubai Financial Market Rules, Auction Price Determination, Section 5.2.3 (2023).

NEW QUESTION # 91

Customer due diligence measures require management approval if the natural person involved is:

- A. under the age of 21
- B. registered as disabled
- C. normally resident outside the State
- **D. a politically exposed person**

Answer: D

Explanation:

Federal Law No. 20 of 2018 and related CISI UAE Financial Rules specify that enhanced customer due diligence procedures require management approval when the client is a politically exposed person (PEP).

PEPs present higher risks due to their potential access to public funds and influence, increasing vulnerability to corruption or money

laundering. Management approval ensures senior oversight in onboarding and monitoring PEP clients, aligning with international AML/CTF best practices. Other conditions such as residency or age do not mandate this elevated level of scrutiny. This regulatory requirement enhances governance and mitigates reputational and compliance risks associated with politically exposed persons. Reference: CISI UAE Financial Rules and Regulations - AML Regulations, Enhanced Due Diligence, Section 8.1.7 (2023).

NEW QUESTION # 92

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

- A. escalating any reports to board level
- B. disciplining staff proven to have breached rules
- **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 # 93

The statement in a suitability report giving reasons for the recommendation must also indicate:

- **A. the client's ability to bear any risks and losses**
- B. why the next best product or service was disregarded
- C. the extent to which the author is qualified to make this judgement
- D. whether or not the client has accepted this guidance

Answer: A

Explanation:

In CISI UAE Financial Rules and Regulations, suitability reports must include a clear statement addressing the client's ability to bear any risks and losses associated with the recommended financial product or service.

This disclosure ensures that recommendations are made with a full understanding of the client's financial capacity and risk tolerance, protecting clients from unsuitable advice. While explanations about alternative products, client acceptance, and author qualifications are relevant, the ability to bear risk is essential to justify the recommendation and meet regulatory standards for investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Reporting, Section 4.3.11 (2023).

NEW QUESTION # 94

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