

# CISI UAE-Financial-Rules-and-Regulations study guide

## CISI.UAE-Financial-Rules-and-Regulations.v2025-12-25.q35

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### NEW QUESTION: 1

Which of the following is one of the prescribed financial activities for which the Authority can issue a license?

- A. Analysis
- B. Promotion
- C. Corporate planning
- D. Risk management

**Answer: D (LEAVE A REPLY)**

Under CISI UAE Financial Rules and Regulations, risk management is among the prescribed financial activities for which the Securities and Commodities Authority (SCA) issues licenses. Licensing ensures that entities engaging in financial risk assessment and mitigation services meet regulatory standards related to expertise, governance, and compliance. Activities such as analysis, promotion, and corporate planning are not independently licensable financial activities but may be ancillary functions within licensed firms. The licensure of risk management activities supports market stability and investor protection by formalizing oversight of critical financial functions.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Licensing, Section 3.1.2 (2023).

### NEW QUESTION: 2

An error was made by a broker which led to a trade being conducted using the wrong trading account number.

If the trader submitted a request to have the number amended 40 minutes after the end of the trading session, the amendment would only be made if:

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### CISI UAE Financial Rules and Regulations Exam Sample Questions (Q90-Q95):

#### NEW QUESTION # 90

Under what circumstances must licensed entities provide the Authority with copies of appropriateness reports issued to clients?

- A. Routinely on a quarterly basis
- B. Routinely on a monthly basis
- C. Only if requested by them to do so
- D. Only if a complaint is made

**Answer: C**

Explanation:

Licensed entities in the UAE financial sector, under the supervision of the Securities and Commodities Authority (SCA), are required to maintain and provide documents related to client interactions and suitability assessments when requested by the Authority. According to the CISI UAE Financial Rules and Regulations, appropriateness reports-used to assess whether certain financial products or services are suitable for clients- are not routinely submitted on a monthly or quarterly basis unless specifically demanded. Instead, the responsibility lies with the licensed entity to retain these reports and submit copies only upon explicit request by the Authority or in case of regulatory investigations. This ensures a balanced approach between regulatory oversight and operational efficiency. The rationale is to allow the Authority to conduct targeted reviews while minimizing administrative burdens on firms, thus enabling a focused compliance regime that protects client interests without unnecessary procedural overload. This is aligned with the regulatory framework designed to ensure transparency, investor protection, and market integrity in the UAE.

Reference:CISI UAE Financial Rules and Regulations Study Guide, Section on Client Protection - Obligations of Licensed Entities Regarding Appropriateness Reports, SCA Compliance Guidelines 2023.

#### NEW QUESTION # 91

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

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

**Answer: D**

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 # 92

The Board of a securities market wished to suspend a rule relating to the operations of that market, why was it unable to do so?

- A. The majority of the board was not present
- B. An Authority penalty was pending

- C. It failed to seek permission from the Authority
- D. A 30-day notice was not provided

**Answer: C**

Explanation:

When the Board of a securities market wishes to suspend a rule related to the market's operations, it must first obtain permission from the regulatory Authority. According to the CISI UAE Financial Rules and Regulations, if permission is not sought from the Authority before attempting to suspend the rule, the suspension request will not be valid. This requirement ensures that the Authority has oversight over the market's operational changes and can assess whether suspending the rule aligns with regulatory goals such as market stability, fairness, and transparency. This helps prevent arbitrary or inconsistent rule changes that might undermine investor confidence or disrupt the smooth functioning of the market.

Reference: CISI UAE Financial Rules and Regulations - Market Rule Suspension Procedures, Section 2.4.7 (2023).

### NEW QUESTION # 93

If a discrepancy comes to light when conducting an external reconciliation, what must the firm do?

- A. Immediately suspend operations with the third party
- B. Close the client's account by close of business on the same day
- C. Investigate and correct it as soon as possible
- D. Immediately inform the regulator verbally and follow this up in writing

**Answer: C**

Explanation:

If a discrepancy is identified during an external reconciliation process, the firm is required to investigate and correct it as soon as possible. The CISI UAE Financial Rules and Regulations emphasize that discrepancies, whether in financial data or operational procedures, must be thoroughly examined to determine the root cause and rectified promptly. Immediate corrective action helps to ensure that financial statements and other reports remain accurate and reliable, preventing any further errors or compliance issues. While it may be necessary to inform the regulator or suspend operations in extreme cases, the first priority is to address the discrepancy through investigation and correction.

Reference: CISI UAE Financial Rules and Regulations - Reconciliation and Error Resolution, Section 8.1.4 (2023).

### NEW QUESTION # 94

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. protecting the reporting employee
- C. disciplining staff proven to have breached rules
- D. ensuring all staff have a named reporting contact

**Answer: B**

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 # 95

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