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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q47-Q52):

NEW QUESTION # 47

A joint-stock company applying for a licence to conduct clearing activities in a commodity market recently appointed a new chairman and a new CEO. Why did this lead to the application being refused?

- A. Only the chairman held a tranche of the company's shares
- B. They were supported by just three other board members
- C. Only the CEO's compensation had been approved by the Authority
- D. They had been employed by the company during the previous year

Answer: D

Explanation:

According to CISI UAE Financial Rules and Regulations, applications for licences to conduct clearing activities require that key senior officers such as the chairman and CEO meet certain tenure and independence criteria. The application was refused because both the newly appointed chairman and CEO had been employed by the company during the previous year, which raises concerns about independence and potential conflicts of interest. Regulators require sufficient separation and stability in leadership to ensure effective governance and risk management in critical market infrastructure roles like clearing. The recent employment history suggested insufficient cooling-off periods or independence safeguards.

Reference: CISI UAE Financial Rules and Regulations - Licensing Requirements for Clearing Firms, Section 7.1.3 (2023).

NEW QUESTION # 48

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

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

Answer: A

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 # 49

When debt securities are offered through a public subscription, the offeror will be required to announce any replacement of the trustee:

- A. immediately
- B. within a maximum of 72 hours
- C. after 5 working days
- D. within a maximum of 48 hours

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations stipulate that for debt securities issued via public subscription, the offeror must announce any replacement of the trustee within a maximum of 72 hours. Prompt notification ensures transparency, allowing investors to be informed about key custodial and fiduciary changes that may affect the security's management and enforcement of rights. Delays beyond this period could impact investor confidence and violate continuous disclosure requirements, thus the 72-hour timeframe strikes a balance between operational feasibility and timely communication.

Reference: CISI UAE Financial Rules and Regulations - Debt Securities Public Offers and Trustee Notifications, Section 5.8.6 (2023).

NEW QUESTION # 50

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

Answer: D

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 # 51

In what circumstances can the requirement for licensed bodies to disclose their legal status be waived?

- A. A court case against the licensed body is in progress
- B. A takeover bid for the licensed body has been launched
- **C. An emergency has been notified to the Authority**
- D. A significant market correction is taking place

Answer: C

Explanation:

The CISI UAE Financial Rules and Regulations allow the waiver of the requirement for licensed bodies to disclose their legal status only in specific scenarios such as when an emergency has been notified to the Authority. This provision recognizes that during certain urgent situations, standard disclosure obligations may be temporarily suspended to allow for swift action or confidentiality. Other circumstances such as ongoing court cases, market corrections, or takeover bids do not automatically justify waivers of disclosure obligations, preserving investor transparency and trust under normal conditions.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Disclosure Obligations and Waivers, Section 4.1.10 (2023).

NEW QUESTION # 52

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