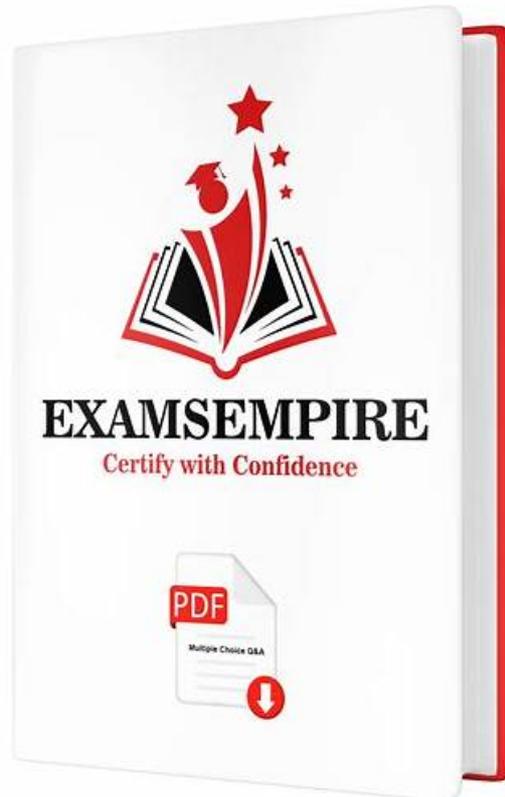


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q69-Q74):

NEW QUESTION # 69

DFM brokerage firms are required to ensure that employees have appropriate professional experience if they:

- A. are employed to operate an electronic trading or clearing system
- **B. are employed to deal with clients or on their behalf**
- C. are new to the company or the industry
- D. are on full-time or substantial part-time contracts

Answer: B

Explanation:

DFM brokerage firms are required to ensure that their employees have appropriate professional experience if they are employed to deal with clients or on their behalf. This is because employees interacting directly with clients must possess the necessary skills, knowledge, and experience to provide accurate information, manage client portfolios, and handle client transactions in compliance with regulatory standards. This ensures that clients are protected from potential mismanagement or malpractice and that the brokerage firm maintains a high standard of service.

Reference: CISI UAE Financial Rules and Regulations - Employee Competency Requirements for DFM Brokerage Firms, Section 7.2.1 (2023).

NEW QUESTION # 70

During an investigation, what should a licensed body do if it discovers that any of the submitted documents or information are incorrect, misleading or have been changed?

- A. Notify the concerned entity at the Authority or any of the capital market institutions within 5 working days
- B. The Chair and Board of Directors should notify the Authority and tender their resignations
- C. Call an emergency Board meeting and thereafter notify the concerned entity at the Authority
- **D. Notify the concerned entity at the Authority or any of the capital market institutions immediately**

Answer: D

Explanation:

If a licensed body discovers that any submitted documents or information are incorrect, misleading, or have been changed during an investigation, it is required to notify the concerned entity at the Authority or any of the capital market institutions immediately. According to the CISI UAE Financial Rules and Regulations, this immediate disclosure is critical for maintaining market integrity and ensuring that the Authority and other relevant bodies can take appropriate actions to address any issues of non-compliance or fraud. The prompt notification prevents further misrepresentation and safeguards the transparency of the financial markets.

Reference: CISI UAE Financial Rules and Regulations - Investigation and Disclosure Requirements, Section 5.6.2 (2023).

NEW QUESTION # 71

Which category of firm is required to provide accounts using a 'Unified Centralised Back Office System'?

- A. Category 4 - Credit rating agencies
- **B. Category 3 - Custody, clearing and recording**
- C. Category 2 - Dealing in investments
- D. Category 1 - Dealing in securities

Answer: B

Explanation:

Firms engaged in custody, clearing, and recording activities are required by UAE financial regulations to use a 'Unified Centralised Back Office System' to maintain and manage their accounts. This requirement is outlined in the CISI UAE Financial Rules and Regulations under Category 3 firms, which include those involved in custodial services, clearing, and recording of transactions. The centralized system ensures that these firms can manage large volumes of transaction data securely and efficiently while adhering to regulatory standards for reporting and transparency. It is designed to streamline operational processes and reduce risks related to errors, fraud, or data mismanagement.

Reference: CISI UAE Financial Rules and Regulations - Unified Centralised Back Office System, Section

7.1.3 (2023).

NEW QUESTION # 72

Why might employees in one part of a regulated business be permitted to withhold information from employees in another part of the business?

- A. Prevention of insider trading
- B. Strict privacy of client information
- C. To comply with a Chinese wall
- D. At the request of the audit function

Answer: C

Explanation:

CISI UAE Financial Rules and Regulations recognize the concept of a Chinese wall, which permits employees in one part of a regulated business to withhold certain information from employees in other parts.

This internal information barrier is designed to prevent conflicts of interest and insider trading by restricting the flow of sensitive or non-public information between departments. By implementing Chinese walls, firms ensure compliance with legal and regulatory requirements, uphold market integrity, and protect client interests. While audit requests and privacy concerns are valid, the primary regulatory rationale for withholding information internally is to maintain effective Chinese walls.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Information Barriers, Section 3.4.10 (2023).

NEW QUESTION # 73

A fund manager is considering investing in medium-term bonds, commercial papers, and deposit certificates. Under the regulations, which of these can be held under a cash investment fund?

- A. Medium-term bonds and commercial papers only
- B. Commercial papers and deposit certificates only
- C. Medium-term bonds, commercial papers and deposit certificates
- D. Deposit certificates and medium-term bonds only

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations define that cash investment funds may hold commercial papers and deposit certificates only. Medium-term bonds are typically excluded from cash funds as they have longer maturities and more interest rate risk, which conflicts with the liquidity and capital preservation objectives of cash funds. Commercial papers and deposit certificates, with their shorter maturities and high liquidity, are appropriate instruments for cash funds, providing stable, low-risk returns in line with regulatory requirements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Asset Eligibility, Section 6.4.3 (2023).

NEW QUESTION # 74

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