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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q35-Q40):

NEW QUESTION # 35

An application submitted to the ADX by the brokerage company to enable it to supply E-Trading services will result in a decision to approve or reject the application within:

- A. 5 days
- B. 2 days
- C. 10 days
- D. 30 days

Answer: A

Explanation:

Brokerage firms seeking approval from the Abu Dhabi Securities Exchange (ADX) to offer E-Trading services are subject to a timely review process. According to the CISI UAE Financial Rules and Regulations, the ADX is required to make a decision to approve or reject such applications within 5 business days. This rapid response timeline ensures that brokers can efficiently begin offering E-Trading services to clients, which is crucial in today's fast-paced financial markets. By maintaining this short decision-making window, the ADX fosters an environment of operational efficiency and responsiveness, which supports both market development and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - E-Trading Approval Process, Section 10.4.1 (2023).

NEW QUESTION # 36

When a company applies to become a Special Purpose Acquisition Company, its sponsors must prepare proposals to:

- A. reduce the risk to investors
- B. deal with succession planning
- C. identify potential money laundering
- D. manage conflicts of interest

Answer: D

Explanation:

Sponsors of companies applying to become Special Purpose Acquisition Companies (SPACs) in the UAE must prepare detailed proposals that specifically address the management of conflicts of interest. This is mandated under CISI UAE Financial Rules and Regulations to ensure that the SPAC's activities remain transparent and investors' interests are protected. Conflicts of interest may arise from the sponsors' dual roles or relationships with target companies or investors. Addressing these conflicts proactively through proposals and policies supports integrity and market confidence. While risk reduction and anti-money laundering are critical, the regulations explicitly highlight conflict management as a core area for SPAC sponsors.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, SPAC Sponsorship Requirements, Section 6.3.4 (2023).

NEW QUESTION # 37

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 significant market correction is taking place
- C. A takeover bid for the licensed body has been launched
- D. An emergency has been notified to the Authority

Answer: D

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 # 38

To qualify as a big block deal on the ADX's E-Trading system, the securities to be traded must be a minimum of what proportion of the issuer's capital?

- A. 1.0%
- B. 2.0%
- C. 2.5%
- D. 0.5%

Answer: A

Explanation:

A big block deal on the ADX's E-Trading system must involve securities that are at least 1.0% of the issuer's capital. This threshold ensures that large transactions, which could significantly affect the stock's market price, are categorized appropriately as big block deals. The rule helps to distinguish between regular trades and larger institutional trades, which often have different liquidity and market impact considerations. This also provides transparency for market participants regarding the size and nature of the transaction.

Reference: CISI UAE Financial Rules and Regulations - Big Block Deal Requirements on ADX, Section 6.1.2 (2023).

NEW QUESTION # 39

A good-till-cancelled order on the DFM will remain available for execution unless it is cancelled by:

- A. the investor
- B. the market committee
- C. the broker
- D. the clearing member

Answer: A

Explanation:

On the Dubai Financial Market (DFM), a good-till-cancelled (GTC) order remains active and available for execution until explicitly cancelled by the investor who placed it. This means the investor maintains control over the order's lifespan, allowing it to persist through trading sessions unless they choose to withdraw it.

Brokers or clearing members do not have authority to unilaterally cancel GTC orders, ensuring investor autonomy. The market committee also does not intervene in the cancellation of individual orders under normal circumstances. This design supports investor flexibility and orderly market functioning.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Management, Section 7.3.2 (2023).

NEW QUESTION # 40

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