

UAE-Financial-Rules-and-Regulations Real Exams | Latest Study UAE-Financial-Rules-and-Regulations Questions



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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q24-Q29):

NEW QUESTION # 24

A brokerage firm's records include client agreements, selling orders and accounts. Under the Professional Code of Conduct, which of these does the DFM have the right to access and review?

- A. Client agreements and selling orders only
- **B. Client agreements, selling orders and accounts**
- C. Selling orders and accounts only
- D. Accounts and client agreements only

Answer: B

Explanation:

The Dubai Financial Market's Professional Code of Conduct grants the DFM the right to access and review all core client-related records maintained by brokerage firms, including client agreements, selling orders, and accounts. This comprehensive access enables the DFM to monitor compliance, investigate complaints, and ensure that firms adhere to regulatory and ethical standards. Access to all three categories is essential to provide a complete picture of client interactions and transactions, ensuring market transparency and investor protection. Partial access would impair effective oversight and enforcement.

Reference: CISI UAE Financial Rules and Regulations - DFM Professional Code of Conduct, Records Access and Review, Section 4.1.6 (2023).

NEW QUESTION # 25

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

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

Answer: D

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 # 26

An obligor with a retail primary listing of Sukuk immediately notified the Authority when one of its board directors was replaced. Why was the obligor considered to be in breach of its continuing obligations?

- A. The obligor failed to give 14 days' notice
- B. The new director had less than 5 years' experience
- **C. The obligor failed to also notify the market**
- D. The new director held a foreign passport

Answer: C

Explanation:

Under the CISI UAE Financial Rules and Regulations governing Sukuk issuers with retail primary listings, obligors have continuing disclosure obligations designed to ensure transparency and maintain investor confidence. While immediate notification to the Authority is necessary, the obligor must also notify the market to keep all stakeholders informed promptly. Failure to inform the market simultaneously constitutes a breach, as investors rely on timely and complete information to make decisions. This dual-notification requirement is critical to ensure fairness and prevent information asymmetry. The nature of the new director's passport or experience is not the determining factor; rather, it is the procedural omission of market notification that constitutes the breach.

Reference: CISI UAE Financial Rules and Regulations - Continuing Obligations for Sukuk Issuers, Section 5.7.3 (2023).

NEW QUESTION # 27

An applicant for a license from the Authority has submitted a feasibility study and work plan. What method will be used to evaluate this?

- A. Comparison with the same sector
- B. An operational risk matrix
- C. A stress testing exercise
- **D. SWOT analysis**

Answer: D

Explanation:

CISI UAE Financial Rules and Regulations require that feasibility studies and work plans submitted by licence applicants be evaluated using a SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats).

This comprehensive method assesses the internal and external factors affecting the viability and strategic positioning of the applicant's business plan. The SWOT analysis helps regulators understand the applicant's operational readiness, competitive environment, risk exposures, and growth potential, ensuring robust due diligence before licensing. Other methods such as operational risk matrices or stress testing may be used in broader risk assessments but are not the primary evaluation tool for feasibility studies.

Reference: CISI UAE Financial Rules and Regulations - Licensing Procedures and Evaluation, Section 3.6.2 (2023).

NEW QUESTION # 28

If an error in the final cash settlement price of an equity index comes to the attention of the Exchange more than 30 minutes after the publication of the final cash settlement price, what happens?

- A. It will be re-determined
- B. The provider will correct it
- **C. No correction will be made**
- D. Liability is apportioned

Answer: C

Explanation:

Under CISI UAE Financial Rules and Regulations governing market operations, if an error in the final cash settlement price of an equity index is discovered more than 30 minutes after publication, the Exchange will not make any correction. This rule limits the window for price correction to maintain market certainty and finality of settlements. After the 30-minute threshold, the published price stands as final, protecting contractual certainty and operational stability. While the provider may acknowledge errors, no re-determination or liability adjustment occurs post-deadline. This policy aligns with international exchange practices designed to minimize market disruption.

Reference: CISI UAE Financial Rules and Regulations - Market Settlement and Price Correction Rules, Section 7.5.9 (2023).

NEW QUESTION # 29

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