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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q82-Q87):

NEW QUESTION # 82

Where a brokerage firm on the DFM has a client with a debit balance, the regulations prevent the firm from:

- A. selling securities on the client's behalf
- **B. accepting new orders from the client**
- C. providing investment advice to the client
- D. paying any cash to the client

Answer: B

Explanation:

According to CISI UAE Financial Rules and Regulations, if a client holds a debit balance with a brokerage firm on the Dubai Financial Market (DFM), the firm is prevented from accepting new orders from that client until the debit balance is cleared. This measure protects both the brokerage firm and market integrity by ensuring that clients do not accumulate unpaid debts from trading activities, thereby reducing credit risk. The restriction applies specifically to new orders; other services such as providing advice or selling securities may continue under certain conditions.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Debit Balance Controls, Section 4.4.12 (2023).

NEW QUESTION # 83

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

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

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 # 84

Which of the following features of a previous order can be changed with the order remaining valid?

- A. Market
- B. Share category
- C. Order type
- **D. Volume**

Answer: D

Explanation:

In UAE financial markets, certain order attributes can be modified after submission while keeping the order active. According to the CISI UAE Financial Rules and Regulations on Trading, the volume of a previous order is the feature that can be changed without invalidating the order. Adjusting volume allows traders to increase or decrease the quantity of securities to be traded without withdrawing and resubmitting the order.

However, changes to share category, market, or order type typically require cancellation of the existing order and placing a new one, as these changes affect the fundamental nature and execution venue of the order. This flexibility in modifying volume supports market efficiency and helps traders respond swiftly to changing conditions while maintaining order validity.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Modifications, Section 7.1.5 (2023).

NEW QUESTION # 85

Following a public subscription, what must a Special Purpose Acquisition Company do with the proceeds?

- A. Deposit not less than 100% of the public subscription proceeds within two business days of receipt
- **B. Deposit not less than 100% of the public subscription proceeds within one business day of receipt**
- C. Deposit not less than 90% of the public subscription proceeds within one business day of receipt
- D. Deposit not less than 90% of the public subscription proceeds within two business days of receipt

Answer: B

Explanation:

Special Purpose Acquisition Companies (SPACs) operating under UAE financial regulations must safeguard investors' funds post-public subscription. According to the CISI UAE Financial Rules and Regulations, SPACs are required to deposit 100% of the public subscription proceeds within one business day of receipt into an escrow or segregated account. This requirement ensures that the funds are secured and managed transparently while awaiting acquisition activities. The strict one-business-day deadline prevents misuse or misallocation of investor money and aligns with international best practices for fund protection. This is critical in maintaining market confidence and regulatory compliance, as SPACs act as investment vehicles with inherent risk related to future mergers or acquisitions.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds and SPAC Requirements, Section 6.3.1 (2023).

NEW QUESTION # 86

Firms providing investment management services must provide periodic statements to retail clients, in normal circumstances at least every:

- **A. 6 months**
- B. 12 months
- C. 3 months
- D. month

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations require that firms offering investment management services deliver periodic statements to retail clients at least every 6 months under normal circumstances. This frequency strikes a balance between providing clients with timely updates on their investments and operational practicality for firms. The statements include performance, transaction details, fees, and holdings, enabling retail clients to monitor their portfolios and make informed decisions. More frequent reporting may be required in special situations, but semi-annual reporting is the standard minimum.

Reference: CISI UAE Financial Rules and Regulations - Client Reporting Requirements, Section 4.5.3 (2023).

NEW QUESTION # 87

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