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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q89-Q94):

NEW QUESTION # 89

A licensed person who conducts financial activities related to security tokens is required to carry out a suitability check only if:

- A. the licensed person has less than 3 years' relevant experience
- B. the token falls into the high risk category
- C. the amount being invested exceeds AED 100,000
- D. the client is not a qualified investor

Answer: D

Explanation:

According to CISI UAE Financial Rules and Regulations, a licensed person dealing with security tokens must conduct a suitability check when the client is not a qualified investor. This requirement protects less sophisticated investors by ensuring that the financial

products offered match their investment knowledge, risk tolerance, and financial circumstances. Qualified investors are presumed to have sufficient expertise and resources, thus not mandating suitability checks. The nature of the token or amount invested is not the primary trigger; rather, client qualification status governs the obligation to perform suitability assessments. This aligns with investor protection principles embedded in UAE financial regulations.
Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Checks, Section 4.3.9 (2023).

NEW QUESTION # 90

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

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

Answer: D

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 # 91

The whistleblowing policy submitted by an applicant for a financial activities licence must include a mechanism for:

- A. ensuring all staff have a named reporting contact
- B. escalating any reports to board level
- 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 # 92

Under what circumstances, if any, is an introducer allowed to provide an investor with financial analysis?

- A. Only if no recommendations are made
- **B. Only if it is licensed to do so**
- C. Only if the client proactively requests one
- D. Under no circumstances

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations clearly state that an introducer may only provide financial analysis if it is licensed to do

so. Licensing ensures that the introducer has the required qualifications, governance, and regulatory oversight to deliver accurate and compliant financial analyses. Providing financial analysis without licensing can mislead investors and expose them to unsuitable advice. Therefore, introducers without proper licensing are prohibited from offering such analyses, irrespective of client requests or absence of recommendations, preserving market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Licensing of Financial Analysis Providers, Section 4.4.5 (2023).

NEW QUESTION # 93

If in-kind shares are provided when the fund is founded; if the subscription fails and there is no special agreement, who would bear the expenses?

- A. Share providers
- B. Auditors
- C. Evaluators
- **D. Founders**

Answer: D

Explanation:

According to CISI UAE Financial Rules and Regulations, when in-kind shares are provided at fund inception and the subscription fails, the founders bear the related expenses in the absence of any special agreement. This allocation reflects the founders' responsibility in establishing and capitalizing the fund and absorbing initial setup costs, including those related to failed subscriptions. Share providers, auditors, or evaluators are not typically liable for such expenses unless contractual terms explicitly assign such responsibility. This regulatory stance encourages clarity and accountability in fund founding arrangements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Incorporation and Expense Allocation, Section 6.2.11 (2023).

NEW QUESTION # 94

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