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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q33-Q38):

NEW QUESTION # 33

Which of the following financial activities comes under the fifth category licence?

- A. Dealing in securities
- B. Dealing in investments
- C. Arrangement and advice
- D. Credit rating agencies

Answer: D

Explanation:

The fifth category licence under UAE financial regulations pertains specifically to credit rating agencies.

These entities assess the creditworthiness of issuers of debt, including governments and corporations, and their ratings are critical for investors and markets. The fifth category licence provides the legal framework for credit rating agencies to operate within the UAE's financial sector, ensuring they meet the regulatory standards and criteria set by the Securities and Commodities Authority (SCA). This helps ensure transparency, reliability, and trust in the credit ratings issued, which are vital for maintaining market stability and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - Financial Activities Licences, Section 4.2.1 (2023).

NEW QUESTION # 34

In cases where securities are bought and sold during the same trading session, the client must have in its cash account enough:

- A. securities to the value of purchase
- B. credit to cover the value of any losses
- C. credit to cover the value of purchase
- D. credit to cover the value of sale

Answer: C

Explanation:

According to the CISI UAE Financial Rules and Regulations under Client Protection provisions, when a client buys and sells securities within the same trading session (day trading), the client must maintain sufficient credit to cover the value of purchase in their cash account at the time of the transaction. This rule ensures that clients have the necessary funds to settle their purchase obligations promptly, reducing settlement risk and maintaining market stability. Credit to cover sales is not required since sales generate funds rather than consume them. This provision supports orderly trading and financial discipline among market participants by preventing unsettled trades and possible defaults.

Reference: CISI UAE Financial Rules and Regulations - Client Protection, Trading and Settlement Rules, Section 4.3.2 (2023).

NEW QUESTION # 35

If a listed company faces accumulated losses of 50% or more of capital, what is required to happen?

- A. It is moved from a first category listing to a second category of listing
- B. It is required to be audited more frequently
- C. It is moved from a second category listing to a first category of listing
- D. Its shares are suspended for at least six months

Answer: A

Explanation:

If a listed company faces accumulated losses of 50% or more of its capital, the company is required to be moved from a first category listing to a second category of listing. This measure is designed to protect investors by ensuring that only financially stable companies remain in the primary listing category, which is subject to stricter regulatory oversight and higher investor expectations. The second category listing provides a lower level of visibility, which reflects the increased financial risks associated with such companies. This helps mitigate the potential impact on other market participants.

Reference: CISI UAE Financial Rules and Regulations - Listing Categories and Financial Health, Section 2.5.1 (2023).

NEW QUESTION # 36

If there is a material change in the nature of the relevant software, the regulations state that investors who have accepted an offer of crypto assets must be notified:

- A. promptly in advance
- B. immediately after implementation
- C. within no less than 7 days
- D. within no less than 14 days

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations require that investors in crypto assets be promptly notified in advance of any material change in the nature of the software relevant to the assets. This advance notification is crucial to allow investors to make informed decisions regarding their holdings before changes take effect.

Material changes could affect functionality, security, or value of the crypto asset. The regulation promotes transparency and investor protection by ensuring timely and clear communication, preventing investors from being blindsided by unexpected developments. The requirement aligns with international best practices on disclosure for crypto asset issuers.

Reference: CISI UAE Financial Rules and Regulations - Legislation and Practice, Crypto Asset Regulation, Section 7.2.1 (2023).

NEW QUESTION # 37

The effectiveness of a financial institution's internal policies, controls and procedures to combat money laundering must be tested by:

- A. the audit committee
- B. regular operational resilience exercises
- C. external consultants
- **D. an independent audit function**

Answer: D

Explanation:

Under the UAE Anti-Money Laundering (AML) laws and regulations, financial institutions are required to periodically test the effectiveness of their internal policies, controls, and procedures designed to combat money laundering. The independent audit function is specifically responsible for testing and evaluating these AML frameworks. The independent auditor must assess whether the institution's systems and procedures effectively detect, prevent, and report suspicious transactions and activities. This audit ensures that the policies are up-to-date, comprehensive, and compliant with both local and international standards. Regular audits provide an additional layer of scrutiny, ensuring that financial institutions can demonstrate their commitment to preventing money laundering and terrorist financing.

Reference: CISI UAE Financial Rules and Regulations - AML Testing and Audits, Section 9.5.2 (2023).

NEW QUESTION # 38

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