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CISI.UAE-Financial-Rules-and-Regulations.v2025-12-25.q35

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NEW QUESTION: 1

Which of the following is one of the prescribed financial activities for which the Authority can issue a license?

- A. Analysis
- B. Promotion
- C. Corporate planning
- D. Risk management

Answer: D (LEAVE A REPLY)

Under CISI UAE Financial Rules and Regulations, risk management is among the prescribed financial activities for which the Securities and Commodities Authority (SCA) issues licenses. Licensing ensures that entities engaging in financial risk assessment and mitigation services meet regulatory standards related to expertise, governance, and compliance. Activities such as analysis, promotion, and corporate planning are not independently licensable financial activities but may be ancillary functions within licensed firms. The licensure of risk management activities supports market stability and investor protection by formalizing oversight of critical financial functions.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Licensing, Section 3.1.2 (2023).

NEW QUESTION: 2

An error was made by a broker which led to a trade being conducted using the wrong trading account number.

If the trader submitted a request to have the number amended 40 minutes after the end of the trading session, the amendment would only be made if:

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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q41-Q46):

NEW QUESTION # 41

The contract size for trading in Silver Futures on the Dubai Gold & Commodities Exchange is 1,000 troy ounces of refined silver, plus or minus what prescribed margin?

- A. 2%
- B. 5%
- C. 10%
- D. 1%

Answer: B

Explanation:

For Silver Futures contracts on the Dubai Gold & Commodities Exchange (DGEX), the contract size is 1,000 troy ounces of refined silver, with a prescribed margin of 5%. The margin requirement ensures that traders have sufficient collateral to cover potential price fluctuations in the market. The 5% margin provides a balance between allowing for liquidity in the market and managing the risks associated with futures trading.

This is a standard margin level designed to protect both market participants and the exchange from extreme volatility or defaults.

Reference: CISI UAE Financial Rules and Regulations - Silver Futures Trading on DGEX, Section 7.1.3 (2023).

NEW QUESTION # 42

The minimum paid-up capital requirement for ranking and advice firms is:

- A. none
- B. AED 5 million
- C. AED 50 million
- D. AED 30 million

Answer: B

Explanation:

Under CISI UAE Financial Rules and Regulations, firms offering ranking and advisory services in the financial sector must meet a minimum paid-up capital requirement of AED 5 million. This capital threshold ensures that such firms have sufficient financial resources to maintain operational stability, manage risks, and fulfill regulatory obligations. It also reflects the level of responsibility these firms carry in providing investment advice and rankings that impact market participants. Higher capital requirements apply to more systemically significant entities, but the AED 5 million benchmark balances accessibility and prudence for ranking and advice firms.

Reference: CISI UAE Financial Rules and Regulations - Licensing Capital Requirements, Section 3.2.5 (2023).

NEW QUESTION # 43

A failure to report suspicions, or gross negligence in implementing processes and procedures in relation to suspicions of money laundering, can result in a fine of:

- A. no less than AED 50,000 and no more than AED 1,000,000
- B. no less than AED 1,000,000 and no more than AED 10,000,000
- C. no less than AED 100,000 and no more than AED 1,000,000
- D. no less than AED 100,000 and no more than AED 5,000,000

Answer: D

Explanation:

Under Federal Law No. 20 of 2018 and the CISI UAE Financial Rules and Regulations, entities failing to report suspicions of money laundering or exhibiting gross negligence in their anti-money laundering (AML) processes are subject to severe financial penalties. The fine ranges from no less than AED 100,000 and no more than AED 5,000,000. These substantial fines are intended to enforce strict compliance with AML obligations and deter negligence or complicity in money laundering activities. This penalty framework ensures organizations maintain robust internal controls, timely reporting, and staff training to identify and report suspicious activities effectively, thereby protecting the UAE's financial system.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.2 (2023).

NEW QUESTION # 44

The watch list, which is monitored by an Authority-established committee, consists of which group of companies?

- **A. All public companies which have declared losses in the last 12 months**
- B. Companies in the second category
- C. Companies in the first category
- D. All private companies which have declared losses in the last 12 months

Answer: A

Explanation:

Per CISI UAE Financial Rules and Regulations, the watch list monitored by the Authority's committee consists of all public companies that have declared losses in the last 12 months. These companies are subject to closer regulatory scrutiny to protect investors and maintain market stability. Monitoring focuses on financial health indicators that might signal increased risk, ensuring timely intervention if necessary. Private companies are generally not included in this watch list, which targets publicly traded entities with broader investor impact.

Reference: CISI UAE Financial Rules and Regulations - Market Surveillance and Watch List, Section 5.6.4 (2023).

NEW QUESTION # 45

An in-kind shares evaluation report must be based on data covering what maximum period before the evaluation date?

- A. Two months
- B. Four months
- **C. Three months**
- D. One month

Answer: C

Explanation:

Under CISI UAE Financial Rules and Regulations, an in-kind shares evaluation report must be based on data covering a maximum period of three months prior to the evaluation date. This ensures the valuation reflects recent market conditions and financial information, maintaining accuracy and relevance. Longer periods could risk outdated or misleading valuations, affecting investor decisions and fund reporting. The three-month timeframe is aligned with international valuation standards applied to in-kind contributions to investment funds.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds, In-Kind Share Valuation Requirements, Section 6.2.8 (2023).

NEW QUESTION # 46

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