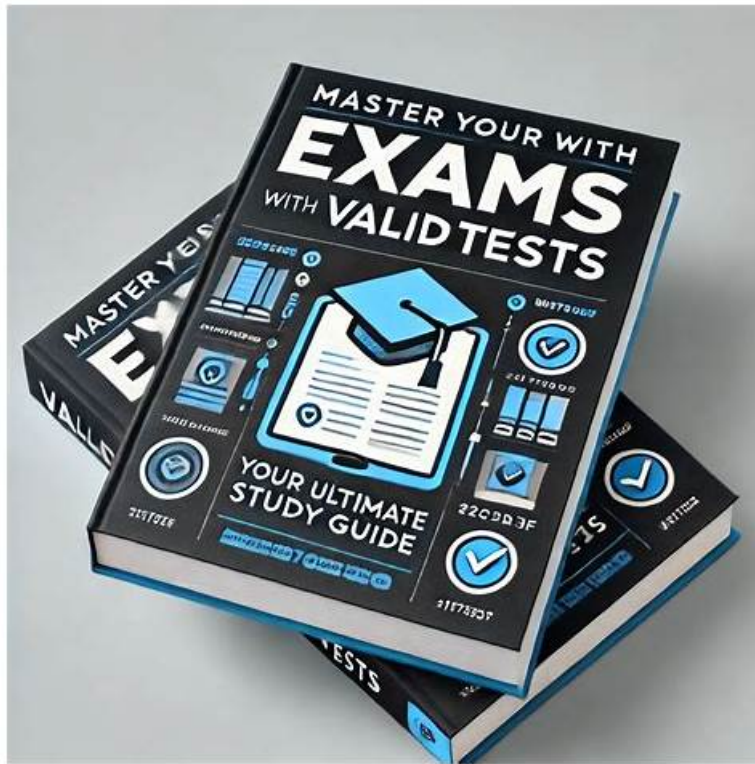


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q65-Q70):

NEW QUESTION # 65

The minimum price movement for a West Texas Intermediate (WTI) Light Sweet Oil Futures contract is:

- A. US\$ 100 per barrel
- **B. US\$ 0.01 per barrel**
- C. US\$ 25 per barrel
- D. US\$ 1 per barrel

Answer: B

Explanation:

The minimum price movement for a West Texas Intermediate (WTI) Light Sweet Oil Futures contract is 0.01 per barrel. This means that the price can move in increments of 1 cent per barrel, which is standard for most futures contracts of this type. The minimum price movement allows for a high degree of price discovery and liquidity in the market, as traders can make smaller adjustments to their positions. This is a crucial aspect of trading in commodities, where price fluctuations can have significant financial implications. Reference: CISI UAE Financial Rules and Regulations - WTI Light Sweet Oil Futures, Section 7.2.1 (2023).

NEW QUESTION # 66

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

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

Answer: C

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 # 67

When licence applicants submit behaviour regulations including a professional code of ethics, this falls under the category of:

- **A. governance regulation**
- B. employee regulation
- C. technical system
- D. administration regulation

Answer: A

Explanation:

Behaviour regulations submitted by license applicants, such as a professional code of ethics, are classified under governance regulations within the CISI UAE Financial Rules and Regulations framework. Governance regulations encompass policies, standards, and codes that guide the ethical conduct, integrity, and responsibilities of licensed entities and their employees. They are designed to promote accountability, compliance, and good corporate citizenship within the financial industry. Unlike technical systems, which relate to operational infrastructure, or employee regulations focused on HR and workplace rules, governance regulations provide the overarching ethical and procedural guidelines essential for sustaining market confidence and protecting stakeholders. The inclusion of

a professional code of ethics ensures license applicants demonstrate commitment to the principles of fairness, transparency, and fiduciary duty, which are fundamental requirements by the Securities and Commodities Authority (SCA) for licensing approval. Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Governance, Section 3.1.4 (2023).

NEW QUESTION # 68

Why would the Authority board resolve temporarily to halt trading in the shares of any company?

- A. It does not have the technical equipment necessary to conduct its activity electronically
- B. It transpires that the spouse of a board member is a director of that entity
- **C. A threat to the proper and regular working of that market arises**
- D. A written complaint is made relating to a market activity

Answer: C

Explanation:

The Authority board may decide to temporarily halt trading in the shares of a company if a threat to the proper and regular working of that market arises. This action is taken to ensure the integrity of the market and protect investors from any disruption caused by irregularities or unexpected events. Such threats could include issues like system failures, significant market manipulation, or events that might cause unfair trading conditions.

Halting trading is a precautionary measure that aims to stabilize the market, allowing time for the issue to be resolved before trading resumes.

Reference: CISI UAE Financial Rules and Regulations - Trading Halts and Market Integrity, Section 3.4.2 (2023).

NEW QUESTION # 69

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

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

Answer: D

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 # 70

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