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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q72-Q77):

NEW QUESTION # 72

A brokerage firm's records include client agreements, selling orders and accounts. Under the Professional Code of Conduct, which of these does the DFM have the right to access and review?

- A. Selling orders and accounts only
- B. Client agreements and selling orders only
- C. Client agreements, selling orders and accounts
- D. Accounts and client agreements only

Answer: C

Explanation:

The Dubai Financial Market's Professional Code of Conduct grants the DFM the right to access and review all core client-related records maintained by brokerage firms, including client agreements, selling orders, and accounts. This comprehensive access enables the DFM to monitor compliance, investigate complaints, and ensure that firms adhere to regulatory and ethical standards. Access to all three categories is essential to provide a complete picture of client interactions and transactions, ensuring market transparency and investor protection. Partial access would impair effective oversight and enforcement.

Reference: CISI UAE Financial Rules and Regulations - DFM Professional Code of Conduct, Records Access and Review, Section 4.1.6 (2023).

NEW QUESTION # 73

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

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

Answer: A

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 Longer periods could risk outdated or misleading valuations, affecting investor decisions and fund reporting.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 # 74

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

Answer: A

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 # 75

When establishing a local investment fund, how much are the founders required to subscribe?

- A. At least 20 million dirhams
- B. At least 5 million dirhams
- C. At least 1 million dirhams
- **D. At least 10 million dirhams**

Answer: D

Explanation:

When establishing a local investment fund in the UAE, the founders are required to subscribe a minimum amount to demonstrate commitment and to comply with the legal and financial requirements set by the Securities and Commodities Authority (SCA). The minimum required subscription is at least 10 million dirhams. This ensures that the fund has a solid financial base, contributing to its credibility and ability to cover initial operational and management expenses. The founders' subscription also serves to align their interests with those of potential investors and provides an assurance of the fund's viability and long-term sustainability.

Reference: CISI UAE Financial Rules and Regulations - Fund Formation Requirements, Section 6.1.2 (2023).

NEW QUESTION # 76

The approved job for conducting securities dealing is:

- A. Trading Manager
- **B. Broker Representative**
- C. Operations Manager
- D. Category Manager

Answer: B

Explanation:

In the CISI UAE Financial Rules and Regulations, the role formally authorized to conduct securities dealing is that of a Broker Representative. This role is specifically licensed and trained to execute trades on behalf of clients and manage securities transactions within regulatory frameworks. Other positions like Trading Manager or Operations Manager have important but different operational and supervisory functions and do not directly engage in client securities dealing. The Broker Representative's licensing ensures adherence to professional standards, client protection, and market integrity.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles, Section 3.1.9 (2023).

NEW QUESTION # 77

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