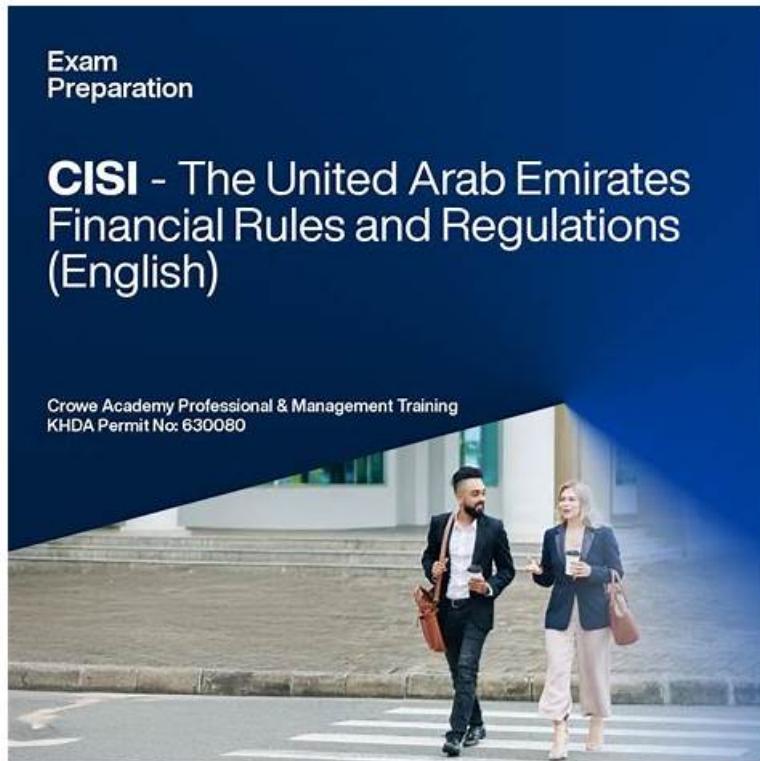


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q89-Q94):

NEW QUESTION # 89

An applicant for a financial activities licence must have procedures in place to recover electronic records from the archive within what maximum period?

- A. Five business days
- B. Two calendar days
- C. Four calendar days
- D. **Three business days**

Answer: D

Explanation:

According to CISI UAE Financial Rules and Regulations, applicants for a financial activities licence must ensure that their record-keeping systems allow for recovery of electronic records from archives within a maximum period of three business days. This requirement ensures timely access to data necessary for audits, investigations, and regulatory reviews. The three-business-day timeframe balances operational feasibility with regulatory needs for responsiveness and data integrity, supporting transparency and compliance in the UAE financial sector.

Reference: CISI UAE Financial Rules and Regulations - Record-Keeping and Data Recovery Procedures, Section 3.5.10 (2023).

NEW QUESTION # 90

If an error in the final cash settlement price of an equity index comes to the attention of the Exchange more than 30 minutes after the publication of the final cash settlement price, what happens?

- A. Liability is apportioned
- B. **No correction will be made**
- C. The provider will correct it
- D. It will be re-determined

Answer: B

Explanation:

Under CISI UAE Financial Rules and Regulations governing market operations, if an error in the final cash settlement price of an equity index is discovered more than 30 minutes after publication, the Exchange will not make any correction. This rule limits the window for price correction to maintain market certainty and finality of settlements. After the 30-minute threshold, the published price stands as final, protecting contractual certainty and operational stability. While the provider may acknowledge errors, no re-determination or liability adjustment occurs post-deadline. This policy aligns with international exchange practices designed to minimize market disruption.

Reference: CISI UAE Financial Rules and Regulations - Market Settlement and Price Correction Rules, Section 7.5.9 (2023).

NEW QUESTION # 91

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

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

Answer: B

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 # 92

To qualify as a big block deal on the ADX's E-Trading system, the securities to be traded must be a minimum of what proportion of the issuer's capital?

- A. 2.0%
- B. 1.0%
- C. 0.5%
- D. 2.5%

Answer: B

Explanation:

A big block deal on the ADX's E-Trading system must involve securities that are at least 1.0% of the issuer's capital. This threshold ensures that large transactions, which could significantly affect the stock's market price, are categorized appropriately as big block deals. The rule helps to distinguish between regular trades and larger institutional trades, which often have different liquidity and market impact considerations. This also provides transparency for market participants regarding the size and nature of the transaction.

Reference: CISI UAE Financial Rules and Regulations - Big Block Deal Requirements on ADX, Section 6.1.2 (2023).

NEW QUESTION # 93

During a trading session, if an order is not fully executed, then:

- A. the transaction is executed at the price set on the other side of the transaction
- B. the order will be dealt with at the next trading session
- C. the remaining unexecuted volume is cancelled and a new order is placed, at the last executed price
- D. the remaining unexecuted volume stays on the trading system, at the last executed price

Answer: D

Explanation:

In the Dubai Financial Market (DFM) and other UAE exchanges, if an order is not fully executed during a trading session, the remaining unexecuted volume remains on the trading system at the last executed price, subject to the order's validity instructions (e.g., good-till-cancelled). This approach allows the unfilled portion to remain active in the market for potential matching with future opposing orders, supporting liquidity and order continuity. Orders are not automatically cancelled or deferred to the next session unless specified. This process ensures transparency and orderly execution consistent with regulatory trading rules.

Reference: CISI UAE Financial Rules and Regulations - Trading Order Execution Rules, Section 7.2.8 (2023).

NEW QUESTION # 94

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