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As the quick development of the world economy and intense competition in the international, the world labor market presents many new trends: company's demand for the excellent people is growing. As is known to us, the UAE-Financial-Rules-and-Regulations certification is one mainly mark of the excellent. If you don't have enough ability, it is very possible for you to be washed out. On the contrary, the combination of experience and the UAE-Financial-Rules-and-Regulations Certification could help you resume stand out in a competitive job market.

## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q54-Q59):

### NEW QUESTION # 54

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

- A. Promotion

- B. Corporate planning
- C. Analysis
- **D. Risk management**

**Answer: D**

Explanation:

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 # 55

Which of the following features of a previous order can be changed with the order remaining valid?

- A. Order type
- B. Share category
- C. Market
- **D. Volume**

**Answer: D**

Explanation:

In UAE financial markets, certain order attributes can be modified after submission while keeping the order active. According to the CISI UAE Financial Rules and Regulations on Trading, the volume of a previous order is the feature that can be changed without invalidating the order. Adjusting volume allows traders to increase or decrease the quantity of securities to be traded without withdrawing and resubmitting the order.

However, changes to share category, market, or order type typically require cancellation of the existing order and placing a new one, as these changes affect the fundamental nature and execution venue of the order. This flexibility in modifying volume supports market efficiency and helps traders respond swiftly to changing conditions while maintaining order validity.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Modifications, Section 7.1.5 (2023).

### NEW QUESTION # 56

If an issuer provides its shareholders with bonus shares, then the CSD Department will deposit the bonus shares issued in the account and will register them as a whole, round number. What happens in the case that there are fractions of shares?

- A. These are also added to the shareholder's account
- **B. They are totalled up and put in a suspense account**
- C. The issuing company must sell them within 30 days
- D. The issuing company must sell them within 45 days

**Answer: B**

Explanation:

When bonus shares are issued, the Central Securities Depository (CSD) registers shares in whole numbers only. Any fractions of shares that result from the bonus share calculation cannot be credited to individual shareholder accounts. According to CISI UAE Financial Rules and Regulations, these fractional shares are aggregated and placed into a suspense account by the CSD. The suspense account holds these fractional shares collectively until such time as they can be properly managed, such as by being sold off and the proceeds distributed to shareholders in proportion to their holdings. This process prevents fractional shares from being credited inaccurately, ensuring operational clarity and market integrity. The issuing company is not immediately responsible for selling these fractions, but regulatory oversight governs their eventual disposal.

Reference: CISI UAE Financial Rules and Regulations - Securities Issuance and Registration, Section 5.3.6 (2023).

### NEW QUESTION # 57

The approved job for conducting securities dealing is:

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

**Answer: C**

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 # 58

Where a local investment fund is established by an entity licensed to conduct family investment management, what minimum proportion of the units must be owned by family members?

- A. 51%
- **B. 90%**
- C. 100%
- D. 75%

**Answer: B**

Explanation:

CISI UAE Financial Rules and Regulations specify that when a local investment fund is established by an entity licensed for family investment management, at least 90% of the fund units must be owned by family members. This high ownership threshold ensures that the fund serves its intended purpose as a family investment vehicle, restricting external investor participation. The rule protects the fund's family-oriented investment strategy, governance, and compliance with related regulatory provisions. It also aligns with the regulatory framework promoting transparency and proper segmentation of family investment funds in the UAE financial markets.

Reference: CISI UAE Financial Rules and Regulations - Family Investment Management Funds, Ownership Requirements, Section 6.6.5 (2023).

### NEW QUESTION # 59

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