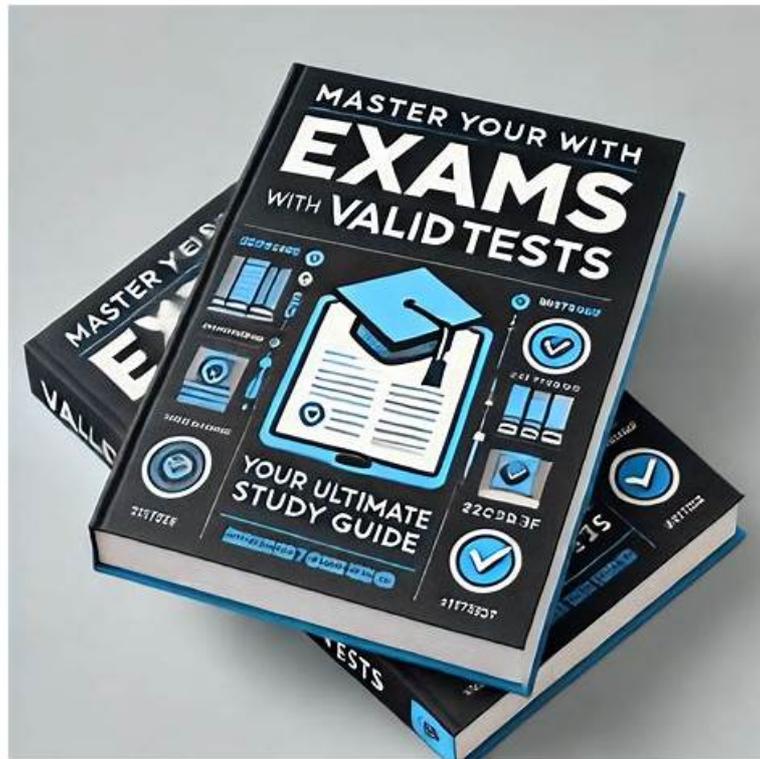


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q15-

Q20):

NEW QUESTION # 15

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

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

Answer: B

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 # 16

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

- A. the correction is within a 5% error margin
- B. an impact assessment gives acceptable results
- C. an alteration fee is paid at the same time
- **D. the circumstances are considered to be exceptional**

Answer: D

Explanation:

In trading systems regulated under the CISI UAE Financial Rules and Regulations, brokers must ensure the accuracy of account details associated with transactions. However, if an error occurs, such as using an incorrect trading account number, amendments are generally not allowed beyond the trading session unless specific conditions are met. The CISI rules state that amendments will only be made in exceptional circumstances. For instance, if the request for the amendment is made shortly after the session, such as within

40 minutes, and it can be demonstrated that the error had no significant impact on market stability or the involved parties, it may be considered exceptional. Therefore, a correction request is usually subject to a careful review of its impact, and the circumstances of the error must be deemed significant enough to warrant such an exception.

Reference: CISI UAE Financial Rules and Regulations - Trading Errors and Amendments, Section 8.4.1 (2023).

NEW QUESTION # 17

Where a client is a legal person, the customer due diligence obligations require verification of identity for any natural persons holding what minimum controlling ownership interest?

- **A. 25%**
- B. 3%
- C. 10%
- D. 51%

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, when the client is a legal person, customer due diligence (CDD) requires

verification of identity for any natural person holding a minimum controlling ownership interest of 25%. This threshold identifies beneficial owners who have significant influence or control over the legal entity. Verifying these individuals is critical for AML/CTF compliance to prevent misuse of corporate vehicles for illicit purposes. The 25% figure aligns with international standards such as FATF recommendations and ensures that regulatory scrutiny extends beyond the legal entity to its key controllers. Reference: CISI UAE Financial Rules and Regulations - Client Due Diligence, Beneficial Ownership Verification, Section 8.1.4 (2023).

NEW QUESTION # 18

Why would a transaction to purchase securities be declared null and void?

- A. The individual is a former employee
- B. The Authority has levied a penalty for delay of payment
- C. It was the result of a rumour being spread
- D. The investor has a conviction of an offence of dishonour

Answer: C

Explanation:

A transaction to purchase securities could be declared null and void if it was the result of a rumour being spread. According to the CISI UAE Financial Rules and Regulations, transactions based on market manipulation, misinformation, or rumors that mislead investors and distort the market are considered invalid.

The integrity of the financial markets depends on transparency and the accuracy of the information that drives trading decisions. Therefore, if a transaction is found to have been influenced by rumors, it could be declared void to maintain fairness and prevent manipulative practices.

Reference: CISI UAE Financial Rules and Regulations - Market Manipulation and Invalid Transactions, Section 6.3.2 (2023).

NEW QUESTION # 19

If there is a material change in the nature of the relevant software, the regulations state that investors who have accepted an offer of crypto assets must be notified:

- A. immediately after implementation
- B. within no less than 7 days
- C. promptly in advance
- D. within no less than 14 days

Answer: C

Explanation:

The CISI UAE Financial Rules and Regulations require that investors in crypto assets be promptly notified in advance of any material change in the nature of the software relevant to the assets. This advance notification is crucial to allow investors to make informed decisions regarding their holdings before changes take effect.

Material changes could affect functionality, security, or value of the crypto asset. The regulation promotes transparency and investor protection by ensuring timely and clear communication, preventing investors from being blindsided by unexpected developments. The requirement aligns with international best practices on disclosure for crypto asset issuers.

Reference: CISI UAE Financial Rules and Regulations - Legislation and Practice, Crypto Asset Regulation, Section 7.2.1 (2023).

NEW QUESTION # 20

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