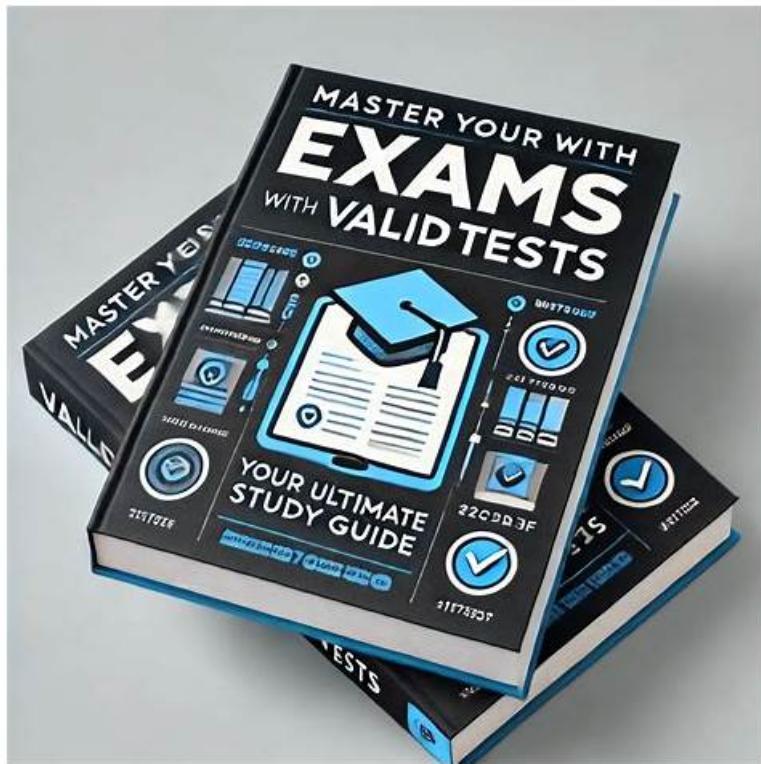


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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q54-Q59):

### NEW QUESTION # 54

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

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

**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 # 55

The watch list, which is monitored by an Authority-established committee, consists of which group of companies?

- A. Companies in the first category
- B. All public companies which have declared losses in the last 12 months
- C. Companies in the second category
- D. All private companies which have declared losses in the last 12 months

**Answer: B**

Explanation:

Per CISI UAE Financial Rules and Regulations, the watch list monitored by the Authority's committee consists of all public companies that have declared losses in the last 12 months. These companies are subject to closer regulatory scrutiny to protect investors and maintain market stability. Monitoring focuses on financial health indicators that might signal increased risk, ensuring timely intervention if necessary. Private companies are generally not included in this watch list, which targets publicly traded entities with broader investor impact.

Reference: CISI UAE Financial Rules and Regulations - Market Surveillance and Watch List, Section 5.6.4 (2023).

### NEW QUESTION # 56

The last trading day for an India Gold Quanto Futures contract is:

- A. four business days prior to the 25th calendar day of the delivery month
- B. one business day prior to the last business day of the delivery month
- C. two business days prior to the last business day of the delivery month
- D. the 25th calendar day of the delivery month

**Answer: C**

Explanation:

For India Gold Quanto Futures contracts, the last trading day is defined as two business days prior to the last business day of the delivery month. This rule ensures that there is adequate time for the settlement and adjustment of any open positions before the final day of trading. The two-day buffer also allows for the reconciliation of positions, making the futures market more efficient and reducing the likelihood of disputes regarding settlement. This is in line with global standards for futures contracts where the settlement and final trading days are clearly defined to protect market integrity and investor interests.

Reference: CISI UAE Financial Rules and Regulations - Futures Contract Trading, Section 8.2.4 (2023).

### NEW QUESTION # 57

Under what circumstances must licensed entities provide the Authority with copies of appropriateness reports issued to clients?

- A. Routinely on a monthly basis
- B. Routinely on a quarterly basis
- C. Only if requested by them to do so
- D. Only if a complaint is made

**Answer: C**

Explanation:

Licensed entities in the UAE financial sector, under the supervision of the Securities and Commodities Authority (SCA), are required to maintain and provide documents related to client interactions and suitability assessments when requested by the Authority.

According to the CISI UAE Financial Rules and Regulations, appropriateness reports-used to assess whether certain financial products or services are suitable for clients- are not routinely submitted on a monthly or quarterly basis unless specifically demanded. Instead, the responsibility lies with the licensed entity to retain these reports and submit copies only upon explicit request by the Authority or in case of regulatory investigations. This ensures a balanced approach between regulatory oversight and operational efficiency. The rationale is to allow the Authority to conduct targeted reviews while minimizing administrative burdens on firms, thus enabling a focused compliance regime that protects client interests without unnecessary procedural overload. This is aligned with the regulatory framework designed to ensure transparency, investor protection, and market integrity in the UAE.

Reference: CISI UAE Financial Rules and Regulations Study Guide, Section on Client Protection - Obligations of Licensed Entities Regarding Appropriateness Reports, SCA Compliance Guidelines 2023.

### NEW QUESTION # 58

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

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

**Answer: B**

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 # 59

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