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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q26-

Q31):

NEW QUESTION # 26

Anyone who notifies or warns a person in relation to suspicions, or reveals any transaction under review in relation to suspicions, is guilty of:

- A. layering
- B. money laundering
- C. collusion
- **D. tipping off**

Answer: D

Explanation:

Under UAE's Anti-Money Laundering (AML) and Combating the Financing of Terrorism (CFT) regulations, revealing or notifying a person about suspicions of money laundering or disclosing any transaction under review is classified as 'tipping off'. The act of tipping off is prohibited and criminalized under the UAE's AML/CFT laws, as it can obstruct investigations and alert potential wrongdoers, allowing them to take steps to conceal illicit activities. This is a key part of maintaining the integrity of AML regulations, as it prevents individuals from undermining the enforcement process. Firms and individuals are strictly prohibited from warning clients or revealing details about investigations in order to protect the confidentiality and effectiveness of the review process.

Reference: CISI UAE Financial Rules and Regulations - Tipping Off and AML Compliance, Section 9.7.3 (2023).

NEW QUESTION # 27

Unless otherwise agreed, a broker must submit to the client a statement of account that outlines the client's balance of securities and cash, and all transactions executed every:

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

Answer: B

Explanation:

Under the CISI UAE Financial Rules and Regulations, brokers are required to submit regular statements of account to clients. These statements must include the client's balance of securities and cash, as well as details of all transactions executed. The statement must be submitted on a monthly basis, unless a different arrangement is specifically agreed upon between the broker and the client. This ensures transparency, allowing clients to stay informed about their investment portfolios and the status of their accounts. Regular monthly reporting is a fundamental requirement for protecting client interests and ensuring that financial institutions operate with the highest standards of accountability and client service.

Reference: CISI UAE Financial Rules and Regulations - Client Account Statements, Section 4.5.2 (2023).

NEW QUESTION # 28

An applicant for a license from the Authority has submitted a feasibility study and work plan. What method will be used to evaluate this?

- A. An operational risk matrix
- **B. SWOT analysis**
- C. A stress testing exercise
- D. Comparison with the same sector

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations require that feasibility studies and work plans submitted by licence applicants be evaluated using a SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats).

This comprehensive method assesses the internal and external factors affecting the viability and strategic positioning of the applicant's business plan. The SWOT analysis helps regulators understand the applicant's operational readiness, competitive environment, risk exposures, and growth potential, ensuring robust due diligence before licensing. Other methods such as operational risk matrices or

stress testing may be used in broader risk assessments but are not the primary evaluation tool for feasibility studies.
Reference: CISI UAE Financial Rules and Regulations - Licensing Procedures and Evaluation, Section 3.6.2 (2023).

NEW QUESTION # 29

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

- A. the remaining unexecuted volume is cancelled and a new order is placed, at the last executed price
- B. the order will be dealt with at the next trading session
- C. the transaction is executed at the price set on the other side of the transaction
- **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 # 30

On the Dubai Gold & Commodities Exchange, how many delivery months are available for trading in Dubai India Quanto Crude Oil futures?

- A. 0
- B. 1
- **C. 2**
- D. 3

Answer: C

Explanation:

The Dubai Gold & Commodities Exchange (DGCX) provides trading for Dubai India Quanto Crude Oil futures with a contract tenor that includes 12 delivery months available for trading at any given time. This rolling 12-month schedule allows market participants to hedge or speculate on crude oil prices across the upcoming year, providing liquidity and flexibility. The availability of 12 delivery months is a standard practice for energy futures contracts, facilitating continuous market engagement and risk management over a full annual cycle. This structure is detailed in the DGCX contract specifications and is consistent with the UAE's commodity trading regulations aimed at market efficiency and transparency.

Reference: CISI UAE Financial Rules and Regulations - Commodity Markets and Futures Trading, DGCX Specifications, Section 7.4.1 (2023).

NEW QUESTION # 31

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