

UAE-Financial-Rules-and-Regulations Latest Cram Materials, UAE-Financial-Rules-and-Regulations Training For Exam



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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q93-Q98):

NEW QUESTION # 93

An application submitted to the ADX by the brokerage company to enable it to supply E-Trading services will result in a decision to approve or reject the application within:

- A. 10 days
- B. 30 days

- C. 2 days
- **D. 5 days**

Answer: D

Explanation:

Brokerage firms seeking approval from the Abu Dhabi Securities Exchange (ADX) to offer E-Trading services are subject to a timely review process. According to the CISI UAE Financial Rules and Regulations, the ADX is required to make a decision to approve or reject such applications within 5 business days. This rapid response timeline ensures that brokers can efficiently begin offering E-Trading services to clients, which is crucial in today's fast-paced financial markets. By maintaining this short decision-making window, the ADX fosters an environment of operational efficiency and responsiveness, which supports both market development and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - E-Trading Approval Process, Section 10.4.1 (2023).

NEW QUESTION # 94

Under what circumstances, if any, is an introducer allowed to provide an investor with financial analysis?

- A. Only if no recommendations are made
- B. Only if the client proactively requests one
- **C. Only if it is licensed to do so**
- D. Under no circumstances

Answer: C

Explanation:

CISI UAE Financial Rules and Regulations clearly state that an introducer may only provide financial analysis if it is licensed to do so. Licensing ensures that the introducer has the required qualifications, governance, and regulatory oversight to deliver accurate and compliant financial analyses. Providing financial analysis without licensing can mislead investors and expose them to unsuitable advice. Therefore, introducers without proper licensing are prohibited from offering such analyses, irrespective of client requests or absence of recommendations, preserving market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Licensing of Financial Analysis Providers, Section 4.4.5 (2023).

NEW QUESTION # 95

The approved job for conducting securities dealing is:

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

Answer: B

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 # 96

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. 90%**
- B. 100%
- C. 51%

- D. 75%

Answer: A

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 # 97

What does the Authority usually do before deciding to delist a company's shares?

- A. Consult with the relevant firm
- B. Consult with the relevant market
- C. Issue a fine for payment within 30 days
- **D. Issue an improvement notice of 30 days**

Answer: D

Explanation:

Before deciding to delist a company's shares, the regulatory authority typically follows a procedure designed to ensure that the company has an opportunity to rectify any issues. According to the CISI UAE Financial Rules and Regulations, the Authority usually issues an improvement notice of 30 days to the company. This notice outlines the deficiencies or non-compliance issues that the company needs to address in order to avoid delisting. The 30-day period allows the company time to correct the issues, such as failure to meet financial reporting requirements, governance standards, or other operational obligations. This approach ensures fairness and transparency before taking any drastic actions like delisting.

Reference: CISI UAE Financial Rules and Regulations - Delisting Procedures, Section 2.5.3 (2023).

NEW QUESTION # 98

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