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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q36-Q41):

NEW QUESTION # 36

If a discrepancy comes to light when conducting an external reconciliation, what must the firm do?

- A. Close the client's account by close of business on the same day
- B. Immediately suspend operations with the third party
- C. Immediately inform the regulator verbally and follow this up in writing
- D. **Investigate and correct it as soon as possible**

Answer: D

Explanation:

If a discrepancy is identified during an external reconciliation process, the firm is required to investigate and correct it as soon as possible. The CISI UAE Financial Rules and Regulations emphasize that discrepancies, whether in financial data or operational procedures, must be thoroughly examined to determine the root cause and rectified promptly. Immediate corrective action helps to ensure that financial statements and other reports remain accurate and reliable, preventing any further errors or compliance issues. While it may be necessary to inform the regulator or suspend operations in extreme cases, the first priority is to address the discrepancy through investigation and correction.

Reference: CISI UAE Financial Rules and Regulations - Reconciliation and Error Resolution, Section 8.1.4 (2023).

NEW QUESTION # 37

An obligor with a retail primary listing of Sukuk immediately notified the Authority when one of its board directors was replaced. Why was the obligor considered to be in breach of its continuing obligations?

- A. The new director held a foreign passport
- B. **The obligor failed to also notify the market**
- C. The new director had less than 5 years' experience
- D. The obligor failed to give 14 days' notice

Answer: B

Explanation:

Under the CISI UAE Financial Rules and Regulations governing Sukuk issuers with retail primary listings, obligors have continuing disclosure obligations designed to ensure transparency and maintain investor confidence. While immediate notification to the Authority is necessary, the obligor must also notify the market to keep all stakeholders informed promptly. Failure to inform the market simultaneously constitutes a breach, as investors rely on timely and complete information to make decisions. This dual-notification requirement is critical to ensure fairness and prevent information asymmetry. The nature of the new director's passport or experience is not the determining factor; rather, it is the procedural omission of market notification that constitutes the breach.

Reference: CISI UAE Financial Rules and Regulations - Continuing Obligations for Sukuk Issuers, Section 5.7.3 (2023).

NEW QUESTION # 38

A firm offering custody, clearing and recording, is required to have a minimum paid-up capital of

- A. AED 150 million
- B. **AED 100 million**
- C. AED 50 million
- D. AED 30 million

Answer: B

Explanation:

As per the CISI UAE Financial Rules and Regulations, firms involved in custody, clearing, and recording services must have a

minimum paid-up capital of AED 100 million. This capital requirement ensures that firms in this category have sufficient financial resources to manage the risks associated with their operations, which include handling clients' assets, ensuring compliance with financial regulations, and absorbing potential operational or financial losses. The higher capital threshold also enhances the stability and credibility of such firms, making them more resilient to market fluctuations and operational challenges.

Reference: CISI UAE Financial Rules and Regulations - Capital Requirements for Custody, Clearing, and Recording Firms, Section 7.3.2 (2023).

NEW QUESTION # 39

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

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

Answer: C

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 # 40

Which category of firm is required to provide accounts using a 'Unified Centralised Back Office System'?

- A. Category 2 - Dealing in investments
- B. Category 4 - Credit rating agencies
- **C. Category 3 - Custody, clearing and recording**
- D. Category 1 - Dealing in securities

Answer: C

Explanation:

Firms engaged in custody, clearing, and recording activities are required by UAE financial regulations to use a 'Unified Centralised Back Office System' to maintain and manage their accounts. This requirement is outlined in the CISI UAE Financial Rules and Regulations under Category 3 firms, which include those involved in custodial services, clearing, and recording of transactions. The centralized system ensures that these firms can manage large volumes of transaction data securely and efficiently while adhering to regulatory standards for reporting and transparency. It is designed to streamline operational processes and reduce risks related to errors, fraud, or data mismanagement.

Reference: CISI UAE Financial Rules and Regulations - Unified Centralised Back Office System, Section 7.1.3 (2023).

NEW QUESTION # 41

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