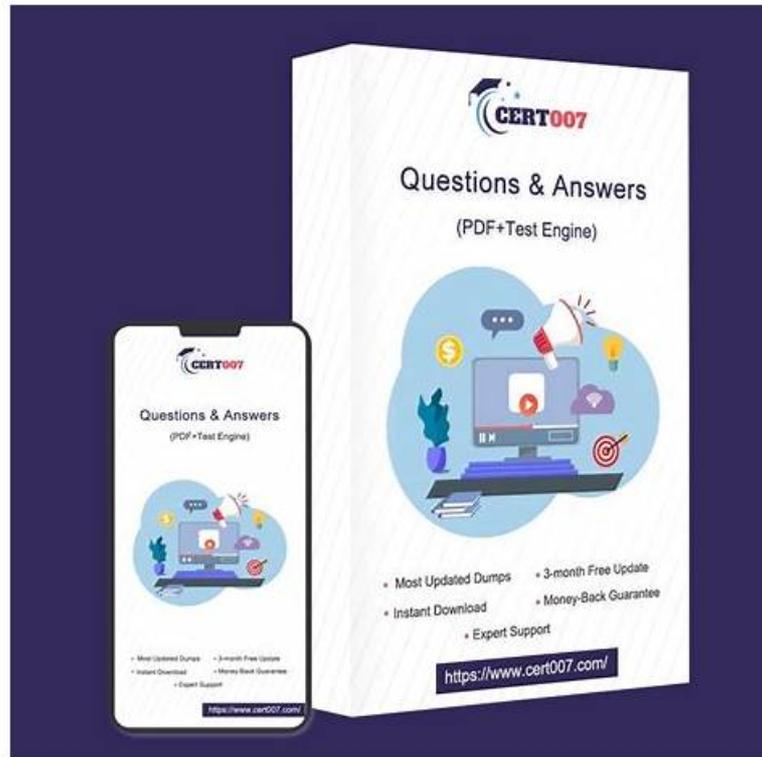


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q56-Q61):

NEW QUESTION # 56

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

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

Answer: D

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 # 57

What is the maximum term of imprisonment that can be imposed on a person who attempts to commit the crime of money laundering?

- A. Three years
- B. Ten years
- **C. Five years**
- D. Seven years

Answer: C

Explanation:

Under Federal Law No. 20 of 2018 and relevant CISI UAE Financial Rules and Regulations, the maximum term of imprisonment for a person who attempts to commit the crime of money laundering is five years. The law imposes stringent penalties to deter money laundering activities and ensure the integrity of the UAE's financial system. In addition to imprisonment, offenders may also face fines and asset confiscation. This punitive framework is designed to align with international AML standards, emphasizing the seriousness with which the UAE treats attempts to launder money, whether successful or not.

Reference: CISI UAE Financial Rules and Regulations - AML Criminal Sanctions, Section 8.4.3 (2023).

NEW QUESTION # 58

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

Answer: A

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 # 59

A fund manager is considering investing in medium-term bonds, commercial papers, and deposit certificates. Under the regulations, which of these can be held under a cash investment fund?

- A. Medium-term bonds and commercial papers only
- **B. Commercial papers and deposit certificates only**
- C. Deposit certificates and medium-term bonds only
- D. Medium-term bonds, commercial papers and deposit certificates

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations define that cash investment funds may hold commercial papers and deposit certificates only. Medium-term bonds are typically excluded from cash funds as they have longer maturities and more interest rate risk, which conflicts with the liquidity and capital preservation objectives of cash funds. Commercial papers and deposit certificates, with their shorter maturities and high liquidity, are appropriate instruments for cash funds, providing stable, low-risk returns in line with regulatory requirements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Asset Eligibility, Section 6.4.3 (2023).

NEW QUESTION # 60

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 # 61

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