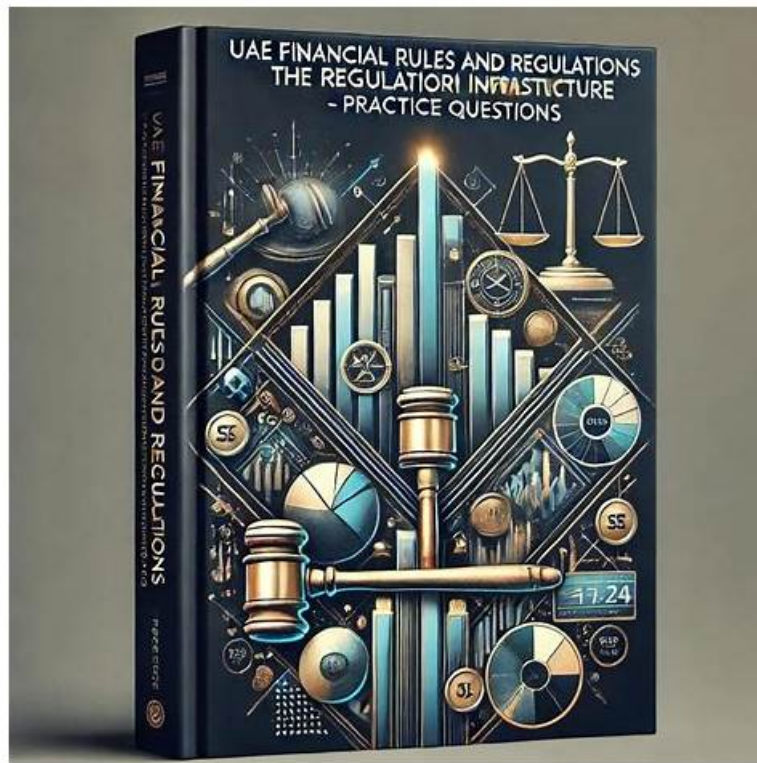


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q30-Q35):

NEW QUESTION # 30

The Depository Centre must periodically report to the Authority on shareholders who hold more than what threshold percentage of equity in the Centre's capital?

- A. 5%
- B. 10%
- C. 15%
- D. 3%

Answer: A

Explanation:

The Depository Centre is required to periodically report to the Authority on shareholders who hold more than 5% of equity in the Centre's capital. This threshold ensures that the Authority is informed about substantial holdings, which could influence corporate governance, voting rights, and overall control within the company.

The report helps maintain transparency regarding ownership structures, which is critical for monitoring potential conflicts of interest, shareholder influence, and market stability. Regular updates on these holdings contribute to the regulatory oversight of significant shareholders.

Reference: CISI UAE Financial Rules and Regulations - Reporting Requirements for Depository Centres, Section 7.1.2 (2023).

NEW QUESTION # 31

The compliance regulation guide, submitted by an applicant for a license from the Authority, must set out procedures and mechanisms which will ensure that the compliance officer:

- A. has access to sufficient resources
- B. can appoint a deputy during an unplanned absence
- C. is able to suspend operations in an emergency
- D. can report confidentially to the regulator

Answer: A

Explanation:

Per CISI UAE Financial Rules and Regulations, the compliance regulation guide submitted by licensing applicants must include procedures and mechanisms that ensure the compliance officer has access to sufficient resources. Adequate resources are critical for the compliance officer to effectively oversee adherence to regulatory requirements, manage risks, and implement compliance programs. This includes staffing, technology, training, and authority necessary to fulfill the role's responsibilities. While emergency powers or deputizing may be operationally important, the regulations emphasize resource adequacy as a fundamental compliance enabler.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Compliance Officer Requirements, Section 3.3.6 (2023).

NEW QUESTION # 32

Where a financial analyst wants to conduct a personal transaction which relates to investment research being undertaken, what additional requirement is normally imposed?

- A. Approval from the firm's legal or compliance department
- B. Signing of a guarantee undertaking
- C. Approval from the Authority or Central Bank
- D. Signing of a non-conflict disclaimer

Answer: A

Explanation:

When a financial analyst wishes to conduct a personal transaction that is related to ongoing investment research, the approval from the firm's legal or compliance department is typically required. This additional requirement helps ensure that there is no conflict of interest and that the analyst's personal transactions do not interfere with their professional duties or the integrity of the research.

process. The compliance department will review the transaction to ensure it adheres to the firm's internal policies and regulatory requirements, thus safeguarding the analyst's objectivity and maintaining the credibility of the investment research.
Reference: CISI UAE Financial Rules and Regulations - Personal Transaction Requirements for Financial Analysts, Section 9.3.4 (2023).

NEW QUESTION # 33

Why would a transaction to purchase securities be declared null and void?

- A. The investor has a conviction of an offence of dishonour
- B. The Authority has levied a penalty for delay of payment
- C. The individual is a former employee
- **D. It was the result of a rumour being spread**

Answer: D

Explanation:

A transaction to purchase securities could be declared null and void if it was the result of a rumour being spread. According to the CISI UAE Financial Rules and Regulations, transactions based on market manipulation, misinformation, or rumors that mislead investors and distort the market are considered invalid.

The integrity of the financial markets depends on transparency and the accuracy of the information that drives trading decisions. Therefore, if a transaction is found to have been influenced by rumors, it could be declared void to maintain fairness and prevent manipulative practices.

Reference: CISI UAE Financial Rules and Regulations - Market Manipulation and Invalid Transactions, Section 6.3.2 (2023).

NEW QUESTION # 34

An error was made by a broker which led to a trade being conducted using the wrong trading account number.

If the trader submitted a request to have the number amended 40 minutes after the end of the trading session, the amendment would only be made if

- A. the correction is within a 5% error margin
- **B. the circumstances are considered to be exceptional**
- C. an alteration fee is paid at the same time
- D. an impact assessment gives acceptable results

Answer: B

Explanation:

In trading systems regulated under the CISI UAE Financial Rules and Regulations, brokers must ensure the accuracy of account details associated with transactions. However, if an error occurs, such as using an incorrect trading account number, amendments are generally not allowed beyond the trading session unless specific conditions are met. The CISI rules state that amendments will only be made in exceptional circumstances. For instance, if the request for the amendment is made shortly after the session, such as within

40 minutes, and it can be demonstrated that the error had no significant impact on market stability or the involved parties, it may be considered exceptional. Therefore, a correction request is usually subject to a careful review of its impact, and the circumstances of the error must be deemed significant enough to warrant such an exception.

Reference: CISI UAE Financial Rules and Regulations - Trading Errors and Amendments, Section 8.4.1 (2023).

NEW QUESTION # 35

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