

CISI UAE-Financial-Rules-and-Regulations Exam Sample Online & Reliable UAE-Financial-Rules-and- Regulations Practice Questions



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Reliable UAE-Financial-Rules-and-Regulations Practice Questions - UAE-

Financial-Rules-and-Regulations Reliable Exam Syllabus

Hundreds of candidates want to get the UAE-Financial-Rules-and-Regulations certification exam because it helps them in accelerating their CISI careers. Cracking the CISI UAE Financial Rules and Regulations Exam (UAE-Financial-Rules-and-Regulations) exam of this credential is vital when it comes to the up gradation of their resume. The UAE-Financial-Rules-and-Regulations certification exam helps students earn from online work and it also benefits them in order to get a job in any good tech company. The UAE-Financial-Rules-and-Regulations Exam is on trend but the main problem that every applicant faces while preparing for it is not making the right choice of the UAE-Financial-Rules-and-Regulations Questions.

CISI UAE Financial Rules and Regulations Exam Sample Questions (Q90-Q95):

NEW QUESTION # 90

If an error in the final cash settlement price of an equity index comes to the attention of the Exchange more than 30 minutes after the publication of the final cash settlement price, what happens?

- A. No correction will be made
- B. It will be re-determined
- C. Liability is apportioned
- D. The provider will correct it

Answer: A

Explanation:

Under CISI UAE Financial Rules and Regulations governing market operations, if an error in the final cash settlement price of an equity index is discovered more than 30 minutes after publication, the Exchange will not make any correction. This rule limits the window for price correction to maintain market certainty and finality of settlements. After the 30-minute threshold, the published price stands as final, protecting contractual certainty and operational stability. While the provider may acknowledge errors, no re-determination or liability adjustment occurs post-deadline. This policy aligns with international exchange practices designed to minimize market disruption.

Reference: CISI UAE Financial Rules and Regulations - Market Settlement and Price Correction Rules, Section 7.5.9 (2023).

NEW QUESTION # 91

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

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

Answer: D

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 # 92

A public joint-stock company is automatically prevented by the regulations from executing a buyback transaction if it:

- A. is formally classed as an insurance company
- B. issued shares in a public offer in the last six months
- C. has been designated a company of State importance

- D. was incorporated in the last three years

Answer: B

Explanation:

According to CISI UAE Financial Rules and Regulations, a public joint-stock company is automatically barred from executing a buyback transaction if it issued shares in a public offer in the last six months. This regulatory restriction is designed to prevent market manipulation and protect shareholders' interests by ensuring sufficient market stability following a new share issuance. Buybacks shortly after public offerings could distort share prices or unfairly affect market liquidity. Other conditions like being an insurance company or state-designated firm do not automatically preclude buybacks under these regulations. This rule aligns with international corporate governance best practices governing share repurchases.

Reference: CISI UAE Financial Rules and Regulations - Share Buyback Rules, Section 5.4.7 (2023).

NEW QUESTION # 93

DFM brokerage firms are required to ensure that employees have appropriate professional experience if they:

- A. are employed to operate an electronic trading or clearing system
- B. are on full-time or substantial part-time contracts
- **C. are employed to deal with clients or on their behalf**
- D. are new to the company or the industry

Answer: C

Explanation:

DFM brokerage firms are required to ensure that their employees have appropriate professional experience if they are employed to deal with clients or on their behalf. This is because employees interacting directly with clients must possess the necessary skills, knowledge, and experience to provide accurate information, manage client portfolios, and handle client transactions in compliance with regulatory standards. This ensures that clients are protected from potential mismanagement or malpractice and that the brokerage firm maintains a high standard of service.

Reference: CISI UAE Financial Rules and Regulations - Employee Competency Requirements for DFM Brokerage Firms, Section 7.2.1 (2023).

NEW QUESTION # 94

A key reason why the regulator applies financial promotion rules is to ensure that:

- **A. the customers are treated fairly**
- B. the impact of operational risk is avoided
- C. the available product range is maximised
- D. the market is kept competitive

Answer: A

Explanation:

Financial promotion rules are enforced by the regulator primarily to ensure that customers are treated fairly.

These rules govern how financial products and services are marketed to prevent misleading, deceptive, or aggressive promotions that could harm investors. By regulating promotional materials and communications, the Authority aims to protect consumers, enable informed decision-making, and maintain trust in the financial markets. While market competitiveness and operational risk management are important, customer fairness is the central objective of financial promotion regulations in the UAE.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Financial Promotions, Section 4.2.1 (2023).

NEW QUESTION # 95

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