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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q53-Q58):

NEW QUESTION # 53

Where a brokerage firm on the DFM has a client with a debit balance, the regulations prevent the firm from:

- A. providing investment advice to the client
- B. paying any cash to the client
- C. accepting new orders from the client
- D. selling securities on the client's behalf

Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, if a client holds a debit balance with a brokerage firm on the Dubai Financial Market (DFM), the firm is prevented from accepting new orders from that client until the debit balance is cleared. This measure protects both the brokerage firm and market integrity by ensuring that clients do not accumulate unpaid debts from trading activities, thereby reducing credit risk. The restriction applies specifically to new orders; other services such as providing advice or selling securities may continue under certain conditions.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Debit Balance Controls, Section 4.4.12 (2023).

NEW QUESTION # 54

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

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

Answer: A

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 # 55

The whistleblowing policy submitted by an applicant for a financial activities licence must include a mechanism for:

- A. ensuring all staff have a named reporting contact
- B. disciplining staff proven to have breached rules
- C. protecting the reporting employee
- D. escalating any reports to board level

Answer: C

Explanation:

The CISI UAE Financial Rules and Regulations require that the whistleblowing policy submitted by licence applicants incorporates a clear mechanism for protecting the reporting employee. This protection includes confidentiality safeguards, protection against retaliation, and secure channels for raising concerns. Ensuring the safety and anonymity of whistleblowers is fundamental to encouraging the reporting of unethical or illegal conduct, thereby enhancing regulatory compliance and corporate governance. Other aspects such as escalation procedures and disciplinary measures are important but secondary; the central pillar of effective whistleblowing policy is the protection of the individual who reports wrongdoing.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Whistleblowing, Section 3.4.2 (2023).

NEW QUESTION # 56

The minimum price movement for a West Texas Intermediate (WTI) Light Sweet Oil Futures contract is:

- A. USS 100 per barrel
- B. USS 25 per barrel
- C. USS 1 per barrel
- D. LISS 0.01 per barrel

Answer: D

Explanation:

The minimum price movement for a West Texas Intermediate (WTI) Light Sweet Oil Futures contract is 0.01 per barrel. This means that the price can move in increments of 1 cent per barrel, which is standard for most futures contracts of this type. The minimum price movement allows for a high degree of price discovery and liquidity in the market, as traders can make smaller adjustments to their positions. This is a crucial aspect of trading in commodities, where price fluctuations can have significant financial implications. Reference: CISI UAE Financial Rules and Regulations - WTI Light Sweet Oil Futures, Section 7.2.1 (2023).

NEW QUESTION # 57

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

Answer: D

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 # 58

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