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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q35-

## Q40):

### NEW QUESTION # 35

Each licence applicant must submit a risk management guide that includes:

- A. the procedures and mechanisms that ensure that the responsible officer shall have access to all records
- **B. development and implementation of policies and procedures**
- C. the procedures and mechanisms required to enable the internal auditor to act independently
- D. the mechanisms required to enable the compliance officer to have access to sufficient resources

**Answer: B**

Explanation:

In the UAE regulatory framework, every licence applicant is mandated to provide a comprehensive risk management guide. As per CISI UAE Financial Rules and Regulations, this guide must explicitly address the development and implementation of policies and procedures to identify, assess, monitor, and mitigate risks within the licensed entity. This requirement ensures that firms proactively manage financial, operational, and compliance risks, safeguarding market integrity and client interests. While other governance and compliance mechanisms such as compliance officer resources and internal auditor independence are important, the risk management guide specifically focuses on how the firm establishes and enforces risk-related policies and procedures. This foundational element of risk governance demonstrates the applicant's readiness and capability to operate safely within the UAE financial markets.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, Risk Management Requirements, Section 3.2.7 (2023).

### NEW QUESTION # 36

Anyone who notifies or warns a person in relation to suspicions, or reveals any transaction under review in relation to suspicions, is guilty of:

- A. money laundering
- B. layering
- C. collusion
- **D. tipping off**

**Answer: D**

Explanation:

Under UAE's Anti-Money Laundering (AML) and Combating the Financing of Terrorism (CFT) regulations, revealing or notifying a person about suspicions of money laundering or disclosing any transaction under review is classified as 'tipping off'. The act of tipping off is prohibited and criminalized under the UAE's AML/CFT laws, as it can obstruct investigations and alert potential wrongdoers, allowing them to take steps to conceal illicit activities. This is a key part of maintaining the integrity of AML regulations, as it prevents individuals from undermining the enforcement process. Firms and individuals are strictly prohibited from warning clients or revealing details about investigations in order to protect the confidentiality and effectiveness of the review process.

Reference: CISI UAE Financial Rules and Regulations - Tipping Off and AML Compliance, Section 9.7.3 (2023).

### NEW QUESTION # 37

In order to be authorised to deal in investments, which of the following professional roles would the Authority expect to see within the firm?

- A. Trading Manager
- B. Compliance Officer
- **C. Broker Representative**
- D. Operations Manager

**Answer: C**

Explanation:

The Authority expects licensed firms authorised to deal in investments to include a Broker Representative within their professional staff. The Broker Representative is the role licensed and trained to execute investment transactions on behalf of clients, adhering to regulatory standards. While other roles like Trading Manager, Compliance Officer, and Operations Manager are vital for the firm's overall functioning and compliance, the Broker Representative is specifically required for dealing activities, ensuring qualified and

responsible conduct in investment execution.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles for Investment Dealing, Section 3.1.9 (2023).

### NEW QUESTION # 38

For all local funds, a semi-annual report on the public fund's performance must be prepared no later than:

- A. 45 days from the end of the semi-annual period
- B. 2 months from the end of the financial year
- C. 2 months from the end of the semi-annual period
- D. 30 days from the end of the financial year

**Answer: C**

Explanation:

Per CISI UAE Financial Rules and Regulations governing investment funds, a semi-annual report on the public fund's performance must be prepared no later than 2 months from the end of the semi-annual period.

This reporting timeline ensures timely disclosure to investors and regulators, providing transparency about fund performance, investment activities, and compliance with regulatory standards. The semi-annual report serves as a key accountability mechanism, enabling investors to make informed decisions and maintain confidence in the fund management. The requirement for a two-month deadline aligns with global best practices in fund reporting.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Reporting Requirements, Section 6.5.4 (2023).

### NEW QUESTION # 39

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

**Answer: C**

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 # 40

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