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6. Licence Categories and Requirements

6.3 Category 3 – Custody, Clearing and Recording

The third category is custody, clearing and recording, and firms must be joint stock companies established within the State operating in the field of securities, or banks or branches of foreign banks licensed by the UAE Central Bank. The legal form for the public clearing activity may also be a brokerage firm – a trading and clearing member – or a foreign clearing member licensed at its headquarters to practise public clearing, provided that it is subject to a regulatory authority similar to the Authority and has obtained the approval of the relevant authority in accordance with the Commercial Companies Law.

The activity of acting as a depository bank or depository bank agent is limited to banks or foreign bank branches licensed by the UAE Central Bank. Any capital market institution can practice the activity of registrar of private joint-stock companies. The paid-up capital for the third category is not less than AED 50 million.

The main functions (professional roles) the SCA expects for the third category are:

1. Category Manager or Official
2. Compliance Officer
3. Risk Management Officer
4. Operations Manager (not required for firms only acting as registrar of private joint-stock companies)

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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q71-Q76):

NEW QUESTION # 71

Under what circumstances, if any, is an introducer allowed to provide an investor with financial analysis?

- A. Under no circumstances
- B. Only if it is licensed to do so
- C. Only if no recommendations are made
- D. Only if the client proactively requests one

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations clearly state that an introducer may only provide financial analysis if it is licensed to do so. Licensing ensures that the introducer has the required qualifications, governance, and regulatory oversight to deliver accurate and compliant financial analyses. Providing financial analysis without licensing can mislead investors and expose them to unsuitable advice. Therefore, introducers without proper licensing are prohibited from offering such analyses, irrespective of client requests or absence of recommendations, preserving market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Licensing of Financial Analysis Providers, Section 4.4.5 (2023).

NEW QUESTION # 72

On the Dubai Gold & Commodities Exchange, how many delivery months are available for trading in Dubai India Quanto Crude Oil futures?

- A. 0
- B. 1
- C. 2
- **D. 3**

Answer: D

Explanation:

The Dubai Gold & Commodities Exchange (DGCX) provides trading for Dubai India Quanto Crude Oil futures with a contract tenor that includes 12 delivery months available for trading at any given time. This rolling 12-month schedule allows market participants to hedge or speculate on crude oil prices across the upcoming year, providing liquidity and flexibility. The availability of 12 delivery months is a standard practice for energy futures contracts, facilitating continuous market engagement and risk management over a full annual cycle. This structure is detailed in the DGCX contract specifications and is consistent with the UAE's commodity trading regulations aimed at market efficiency and transparency.

Reference: CISI UAE Financial Rules and Regulations - Commodity Markets and Futures Trading, DGCX Specifications, Section 7.4.1 (2023).

NEW QUESTION # 73

When promoting private funds, related materials must:

- A. receive prior approval of the content from the Authority
- B. refrain from using public advertisement media of certain types, including audio and video, with the exception of read media
- C. advise that the funds cannot be transferred to a third party
- **D. clarify the private fund's specific nature and include the required disclaimer laid down by the Authority**

Answer: D

Explanation:

Promotional materials for private funds in the UAE must clearly clarify the fund's specific nature and include the required disclaimer as prescribed by the Authority. This requirement ensures that potential investors receive accurate and compliant information about the private fund's characteristics, risks, and restrictions. The disclaimer serves to limit investor expectations and legal liabilities. While certain media restrictions and content approvals may apply in some jurisdictions, the key regulatory focus is on transparency and proper disclosure within promotional materials to protect investor interests.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Promotion and Disclosure Requirements, Section 6.3.9 (2023).

NEW QUESTION # 74

The contract size for trading in Silver Futures on the Dubai Gold & Commodities Exchange is 1,000 troy ounces of refined silver, plus or minus what prescribed margin?

- A. 1%
- B. 10%
- **C. 5%**
- D. 2%

Answer: C

Explanation:

For Silver Futures contracts on the Dubai Gold & Commodities Exchange (DGEX), the contract size is 1,000 troy ounces of refined silver, with a prescribed margin of 5%. The margin requirement ensures that traders have sufficient collateral to cover potential price fluctuations in the market. The 5% margin provides a balance between allowing for liquidity in the market and managing the risks associated with futures trading.

This is a standard margin level designed to protect both market participants and the exchange from extreme volatility or defaults.

Reference: CISI UAE Financial Rules and Regulations - Silver Futures Trading on DGEX, Section 7.1.3 (2023).

NEW QUESTION # 75

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

- A. US\$ 1 per barrel
- B. US\$ 25 per barrel
- **C. US\$ 0.01 per barrel**
- D. US\$ 100 per barrel

Answer: C

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 # 76

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