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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q67-Q72):

NEW QUESTION # 67

The last trading day for an India Gold Quanto Futures contract is:

- A. two business days prior to the last business day of the delivery month
- B. four business days prior to the 25th calendar day of the delivery month
- C. one business day prior to the last business day of the delivery month
- D. the 25th calendar day of the delivery month

Answer: A

Explanation:

For India Gold Quanto Futures contracts, the last trading day is defined as two business days prior to the last business day of the delivery month. This rule ensures that there is adequate time for the settlement and adjustment of any open positions before the final day of trading. The two-day buffer also allows for the reconciliation of positions, making the futures market more efficient and reducing the likelihood of disputes regarding settlement. This is in line with global standards for futures contracts where the settlement and final trading days are clearly defined to protect market integrity and investor interests.

Reference: CISI UAE Financial Rules and Regulations - Futures Contract Trading, Section 8.2.4 (2023).

NEW QUESTION # 68

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

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

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 # 69

The conciliation process allows the Authority to impose what alternative to criminal prosecution?

- A. Negotiated out-of-court settlement
- B. Suspension of activities for a specified period
- C. Referral to the Central Bank
- D. Payment of a prescribed amount of money

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations provide for a conciliation process whereby the Authority may impose a negotiated out-of-court settlement as an alternative to criminal prosecution. This mechanism allows for the resolution of regulatory breaches through mutual agreement, often involving remedial actions and financial penalties, without lengthy court proceedings. It supports regulatory efficiency and offers a less adversarial path to compliance while maintaining enforcement effectiveness. Suspension or referral are different enforcement actions but not part of the conciliation alternative.

Reference: CISI UAE Financial Rules and Regulations - Enforcement and Conciliation Procedures, Section

2.7.5 (2023).

NEW QUESTION # 70

Unless otherwise agreed, a broker must submit to the client a statement of account that outlines the client's balance of securities and cash, and all transactions executed every:

- A. 12 months
- B. 6 months
- C. month
- D. 3 months

Answer: C

Explanation:

Under the CISI UAE Financial Rules and Regulations, brokers are required to submit regular statements of account to clients. These statements must include the client's balance of securities and cash, as well as details of all transactions executed. The statement must be submitted on a monthly basis, unless a different arrangement is specifically agreed upon between the broker and the client. This ensures transparency, allowing clients to stay informed about their investment portfolios and the status of their accounts. Regular monthly reporting is a fundamental requirement for protecting client interests and ensuring that financial institutions operate with the highest standards of accountability and client service.

Reference: CISI UAE Financial Rules and Regulations - Client Account Statements, Section 4.5.2 (2023).

NEW QUESTION # 71

If the mid-point is used to determine the theoretical auction price for a pre-closing session of the DFM, it is:

- A. rounded to one decimal place
- B. rounded to two decimal places
- C. rounded down to the nearest price tick
- D. rounded up to the nearest price tick

Answer: D

Explanation:

The Dubai Financial Market (DFM) utilizes precise rules to calculate the theoretical auction price during pre-closing sessions to ensure market transparency and fairness. According to the CISI UAE Financial Rules and Regulations and DFM official trading manuals, when the mid-point price is used in price determination, it is rounded up to the nearest price tick. This rounding mechanism ensures consistency in pricing and avoids fractional pricing issues that could disrupt the matching of buy and sell orders. The concept of a price tick is a minimum price movement allowed in trading, defined by the market's tick size schedule. By rounding up, the market supports price stability and protects sellers during the auction process. This is explicitly stated in DFM's trading rules section regarding auction price calculation and tick size adjustments.

Reference: CISI UAE Financial Rules and Regulations - Dubai Financial Market Rules, Auction Price Determination, Section 5.2.3 (2023).

NEW QUESTION # 72

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