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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q15-Q20):

NEW QUESTION # 15

The approved job for conducting securities dealing is:

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

Answer: B

Explanation:

In the CISI UAE Financial Rules and Regulations, the role formally authorized to conduct securities dealing is that of a Broker Representative. This role is specifically licensed and trained to execute trades on behalf of clients and manage securities transactions within regulatory frameworks. Other positions like Trading Manager or Operations Manager have important but different operational and supervisory functions and do not directly engage in client securities dealing. The Broker Representative's licensing ensures adherence to professional standards, client protection, and market integrity.

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

NEW QUESTION # 16

Where an applicant for a financial activities licence uses a cloud-based server, they must set out provisions to ensure the outsourced party can operate with zero data loss for what stated period?

- A. Seven years
- B. Three years
- C. Ten years
- **D. Five years**

Answer: D

Explanation:

According to CISI UAE Financial Rules and Regulations, applicants utilizing cloud-based servers must demonstrate that their outsourced service providers have provisions in place to guarantee zero data loss for a minimum of five years. This requirement protects the integrity and availability of critical financial data over the regulatory retention period. The five-year timeframe aligns with data retention standards for audit, compliance, and operational continuity in the UAE financial sector, ensuring that regulatory bodies and firms can access historical information for supervisory purposes.

Reference: CISI UAE Financial Rules and Regulations - IT and Data Management Requirements, Section 3.5.7 (2023).

NEW QUESTION # 17

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 new to the company or the industry
- **C. are employed to deal with clients or on their behalf**
- D. are on full-time or substantial part-time contracts

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 # 18

To qualify as a big block deal on the ADX's E-Trading system, the securities to be traded must be a minimum of what proportion of the issuer's capital?

- A. 2.0%
- B. 2.5%
- C. 0.5%
- **D. 1.0%**

Answer: D

Explanation:

A big block deal on the ADX's E-Trading system must involve securities that are at least 1.0% of the issuer's capital. This threshold ensures that large transactions, which could significantly affect the stock's market price, are categorized appropriately as big block deals. The rule helps to distinguish between regular trades and larger institutional trades, which often have different liquidity and market impact considerations. This also provides transparency for market participants regarding the size and nature of the transaction.

Reference: CISI UAE Financial Rules and Regulations - Big Block Deal Requirements on ADX, Section 6.1.2 (2023).

NEW QUESTION # 19

If an offering person arranges the issuance of crypto assets for which funds have been subscribed by investors, controls must be set up to avoid:

- A. subscriptions being taken at different threshold levels
- B. prices being determined at the discretion of the issuer
- **C. subscriptions being taken at excessive levels from non-qualified investors**
- D. prices being allowed to fluctuate during the opening offer period

Answer: C

Explanation:

Under Federal Law No. 20 of 2018 and related CISI UAE Financial Rules and Regulations, issuers arranging crypto asset offerings must establish controls to prevent subscriptions being taken at excessive levels from non-qualified investors. This is a key investor protection and anti-money laundering measure designed to restrict high-risk investment exposure to those with adequate knowledge, resources, and risk appetite. By enforcing subscription limits for non-qualified investors, the regulations mitigate fraud, market manipulation, and financial losses while ensuring regulatory compliance. Controls over pricing discretion or fluctuations, while relevant, are not the central regulatory concern in this context.

Reference: CISI UAE Financial Rules and Regulations - AML and Crypto Asset Issuance Controls, Section 8.2.4 (2023).

NEW QUESTION # 20

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