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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q83-Q88):

NEW QUESTION # 83

An error was made by a broker which led to a trade being conducted using the wrong trading account number.

If the trader submitted a request to have the number amended 40 minutes after the end of the trading session, the amendment would only be made if:

- A. the circumstances are considered to be exceptional
- B. an alteration fee is paid at the same time
- C. an impact assessment gives acceptable results
- D. the correction is within a 5% error margin

Answer: A

Explanation:

In trading systems regulated under the CISI UAE Financial Rules and Regulations, brokers must ensure the accuracy of account details associated with transactions. However, if an error occurs, such as using an incorrect trading account number, amendments are generally not allowed beyond the trading session unless specific conditions are met. The CISI rules state that amendments will only be made in exceptional circumstances. For instance, if the request for the amendment is made shortly after the session, such as within

40 minutes, and it can be demonstrated that the error had no significant impact on market stability or the involved parties, it may be considered exceptional. Therefore, a correction request is usually subject to a careful review of its impact, and the circumstances of the error must be deemed significant enough to warrant such an exception.

Reference: CISI UAE Financial Rules and Regulations - Trading Errors and Amendments, Section 8.4.1 (2023).

NEW QUESTION # 84

If the perpetrator of a money laundering crime is a repeat offender, what impact does this have on the minimum fine compared to a first offence?

- A. It is doubled
- B. It is quadrupled
- C. It is increased by 50%
- D. It is tripled

Answer: A

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, if a person convicted of a money laundering offence is a repeat offender, the minimum fine imposed is doubled compared to the first offence. This increased penalty reflects the heightened regulatory and punitive response to repeated non-compliance, emphasizing deterrence and the protection of the financial system. Repeat offenders face more severe consequences to underscore the seriousness of continued illegal activity and to promote adherence to AML laws.

Reference: CISI UAE Financial Rules and Regulations - AML Penalties and Repeat Offences, Section 8.4.6 (2023).

NEW QUESTION # 85

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

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

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 # 86

A good-till-cancelled order on the DFM will remain available for execution unless it is cancelled by:

- A. the market committee
- B. the clearing member
- C. the broker
- **D. the investor**

Answer: D

Explanation:

On the Dubai Financial Market (DFM), a good-till-cancelled (GTC) order remains active and available for execution until explicitly cancelled by the investor who placed it. This means the investor maintains control over the order's lifespan, allowing it to persist through trading sessions unless they choose to withdraw it.

Brokers or clearing members do not have authority to unilaterally cancel GTC orders, ensuring investor autonomy. The market committee also does not intervene in the cancellation of individual orders under normal circumstances. This design supports investor flexibility and orderly market functioning.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Management, Section 7.3.2 (2023).

NEW QUESTION # 87

A firm offering custody, clearing and recording, is required to have a minimum paid-up capital of:

- A. AED 30 million
- **B. AED 100 million**
- C. AED 150 million
- D. AED 50 million

Answer: B

Explanation:

As per the CISI UAE Financial Rules and Regulations, firms involved in custody, clearing, and recording services must have a minimum paid-up capital of AED 100 million. This capital requirement ensures that firms in this category have sufficient financial resources to manage the risks associated with their operations, which include handling clients' assets, ensuring compliance with financial regulations, and absorbing potential operational or financial losses. The higher capital threshold also enhances the stability and credibility of such firms, making them more resilient to market fluctuations and operational challenges.

Reference: CISI UAE Financial Rules and Regulations - Capital Requirements for Custody, Clearing, and Recording Firms, Section 7.3.2 (2023).

NEW QUESTION # 88

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