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CISI EXAM REG questions with correct answers

Criminal offence: General defences insider dealing - Answer No advantage was expected.

A belief that the information had been widely disclosed

Would have dealt anyway

Did not expect the recipient to deal

Special defences : insider dealing - Answer Stabilisation

Market information

Market makers in the ordinary course of business

If a UK company offers an inducement to a foreign agent in order to gain business does the UK company have a defence against an accusation of bribery in contravention of the Bribery Act 2010? - Answer Yes, if it can show that local law requires the payment of the inducement

The Act recognises that overseas laws may be applicable if in that particular country an inducement is required.

For which one of the following financial services firms is jurisdiction of the FOS compulsory? The firm is:

A. A fund manager selling UCITS compliant funds

B. Only offering secondary mortgages

C. A pre-paid plastic card company

D. An incoming German general insurer - Answer The fund manager is involved in regulated activities and therefore subject to compulsory jurisdiction. The other three may elect for voluntary jurisdiction.

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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q59-Q64):

NEW QUESTION # 59

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

- A. US\$ 25 per barrel
- B. US\$ 100 per barrel
- **C. US\$ 0.01 per barrel**
- D. US\$ 1 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 # 60

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

Answer: A

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 # 61

Establishing a local investment fund requires the approval of the Authority, for a public fund this will either be granted or rejected within:

- A. 30 working days
- **B. 20 working days**
- C. 5 working days
- D. 10 working days

Answer: B

Explanation:

According to the CISI UAE Financial Rules and Regulations, the process for establishing a local investment fund, including a public fund, involves obtaining approval from the relevant regulatory authority, which is usually the Securities and Commodities Authority (SCA). For public funds, the authority is required to either grant or reject the application within 20 working days from the submission date. This time frame ensures that there is adequate time for the Authority to review the application, conduct necessary evaluations, and ensure that the fund complies with all regulatory and legal requirements. The 20-working-day period ensures efficiency while allowing for a thorough review.

Reference: CISI UAE Financial Rules and Regulations - Investment Fund Establishment Process, Section 6.2.1 (2023).

NEW QUESTION # 62

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 # 63

The role of the authorised agent of the exchange-traded fund (ETF) is to:

- A. update sell and buy orders
- B. ensure that the transfer of ownership of units is completed
- **C. regularly announce the indicative value of the net value of assets**
- D. announce the net value of the unit's assets on a daily basis

Answer: C

Explanation:

The authorised agent of an ETF has a critical role in maintaining transparency and liquidity in the market.

According to CISI UAE Financial Rules and Regulations, the authorised agent is responsible for regularly announcing the indicative value of the net assets of the ETF units. This indicative net asset value (iNAV) provides investors and market participants with a near real-time estimate of the underlying assets' value, reflecting market fluctuations throughout the trading day. Unlike the official net asset value (NAV), which is typically calculated at the end of the trading day, the iNAV supports intra-day trading decisions and helps maintain price alignment between the ETF units and their underlying assets. This responsibility is fundamental in ensuring efficient price discovery and protecting investor interests in the ETF market.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds and ETF Operations, Section 6.4.2 (2023).

NEW QUESTION # 64

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