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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q74-Q79):

NEW QUESTION # 74

If a discrepancy comes to light when conducting an external reconciliation, what must the firm do?

- A. Close the client's account by close of business on the same day
- B. Immediately suspend operations with the third party
- C. Immediately inform the regulator verbally and follow this up in writing
- **D. Investigate and correct it as soon as possible**

Answer: D

Explanation:

If a discrepancy is identified during an external reconciliation process, the firm is required to investigate and correct it as soon as possible. The CISI UAE Financial Rules and Regulations emphasize that discrepancies, whether in financial data or operational procedures, must be thoroughly examined to determine the root cause and rectified promptly. Immediate corrective action helps to ensure that financial statements and other reports remain accurate and reliable, preventing any further errors or compliance issues. While it may be necessary to inform the regulator or suspend operations in extreme cases, the first priority is to address the discrepancy through investigation and correction.

Reference: CISI UAE Financial Rules and Regulations - Reconciliation and Error Resolution, Section 8.1.4 (2023).

NEW QUESTION # 75

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

Answer: D

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 # 76

A fund manager is considering investing in medium-term bonds, commercial papers, and deposit certificates. Under the regulations, which of these can be held under a cash investment fund?

- **A. Commercial papers and deposit certificates only**
- B. Medium-term bonds, commercial papers and deposit certificates
- C. Medium-term bonds and commercial papers only
- D. Deposit certificates and medium-term bonds only

Answer: A

Explanation:

CISI UAE Financial Rules and Regulations define that cash investment funds may hold commercial papers and deposit certificates only. Medium-term bonds are typically excluded from cash funds as they have longer maturities and more interest rate risk, which conflicts with the liquidity and capital preservation objectives of cash funds. Commercial papers and deposit certificates, with their shorter maturities and high liquidity, are appropriate instruments for cash funds, providing stable, low-risk returns in line with regulatory requirements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Asset Eligibility, Section 6.4.3 (2023).

NEW QUESTION # 77

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

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

Answer: A

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 # 78

The effectiveness of a financial institution's internal policies, controls and procedures to combat money laundering must be tested by:

- A. the audit committee
- B. regular operational resilience exercises
- **C. an independent audit function**
- D. external consultants

Answer: C

Explanation:

Under the UAE Anti-Money Laundering (AML) laws and regulations, financial institutions are required to periodically test the effectiveness of their internal policies, controls, and procedures designed to combat money laundering. The independent audit function is specifically responsible for testing and evaluating these AML frameworks. The independent auditor must assess whether the institution's systems and procedures effectively detect, prevent, and report suspicious transactions and activities. This audit ensures that the policies are up-to-date, comprehensive, and compliant with both local and international standards. Regular audits provide an additional layer of scrutiny, ensuring that financial institutions can demonstrate their commitment to preventing money laundering and terrorist financing.

Reference: CISI UAE Financial Rules and Regulations - AML Testing and Audits, Section 9.5.2 (2023).

NEW QUESTION # 79

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