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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q51-Q56):

NEW QUESTION # 51

The Authority will only grant a licence to operate a crypto fundraising platform in the UAE if the applicant is a legal person in the form of:

- A. a company incorporated under Shariah law
- **B. an exchange licensed by the Authority in the UAE**
- C. a sophisticated trader or a qualified investor
- D. an exchange licensed by a market in the UAE

Answer: B

Explanation:

According to CISI UAE Financial Rules and Regulations, the Securities and Commodities Authority (SCA) grants licences to operate crypto fundraising platforms only to legal persons that are exchanges licensed by the Authority within the UAE. This ensures that the entity has the appropriate regulatory oversight, infrastructure, and governance aligned with UAE financial laws. Sophisticated traders or qualified investors, as well as companies incorporated under Shariah law, do not meet the legal entity criteria for such licencing.

The requirement guarantees that fundraising platforms operate within a controlled and transparent environment, protecting investors and maintaining market integrity.

Reference: CISI UAE Financial Rules and Regulations - Crypto Asset Platforms Licensing, Section 7.1.5 (2023).

NEW QUESTION # 52

Where a brokerage firm on the DFM has a client with a debit balance, the regulations prevent the firm from:

- A. paying any cash to the client
- B. providing investment advice to the client
- C. selling securities on the client's behalf
- **D. accepting new orders from the client**

Answer: D

Explanation:

According to CISI UAE Financial Rules and Regulations, if a client holds a debit balance with a brokerage firm on the Dubai Financial Market (DFM), the firm is prevented from accepting new orders from that client until the debit balance is cleared. This measure protects both the brokerage firm and market integrity by ensuring that clients do not accumulate unpaid debts from trading activities, thereby reducing credit risk. The restriction applies specifically to new orders; other services such as providing advice or selling securities may continue under certain conditions.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Debit Balance Controls, Section 4.4.12 (2023).

NEW QUESTION # 53

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

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

Answer: C

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 # 54

What proportion of the market value of securities owned by a brokerage company are used to increase the value of its guarantee?

- A. 80%
- B. 60%
- C. 70%
- D. 50%

Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, brokerage companies must use 70% of the market value of securities they own to increase the value of their guarantee. This guarantee acts as a financial safeguard to ensure the firm's stability and protect clients and counterparties against default risk. The 70% proportion strikes a balance between maximizing the leverage of owned securities and maintaining prudent risk management. It reflects the regulatory emphasis on requiring sufficient collateral and guarantees to support brokerage operations, maintaining market confidence and financial soundness within the UAE capital markets.
Reference: CISI UAE Financial Rules and Regulations - Brokerage Firms Guarantees, Section 3.3.9 (2023).

NEW QUESTION # 55

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 down to the nearest price tick
- C. rounded to two decimal places
- 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 # 56

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