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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q29-Q34):

NEW QUESTION # 29

A brokerage firm's records include client agreements, selling orders and accounts. Under the Professional Code of Conduct, which of these does the DFM have the right to access and review?

- A. Client agreements, selling orders and accounts

- B. Accounts and client agreements only
- C. Client agreements and selling orders only
- D. Selling orders and accounts only

Answer: A

Explanation:

The Dubai Financial Market's Professional Code of Conduct grants the DFM the right to access and review all core client-related records maintained by brokerage firms, including client agreements, selling orders, and accounts. This comprehensive access enables the DFM to monitor compliance, investigate complaints, and ensure that firms adhere to regulatory and ethical standards. Access to all three categories is essential to provide a complete picture of client interactions and transactions, ensuring market transparency and investor protection. Partial access would impair effective oversight and enforcement.

Reference: CISI UAE Financial Rules and Regulations - DFM Professional Code of Conduct, Records Access and Review, Section 4.1.6 (2023).

NEW QUESTION # 30

What is the minimum fine that can be levied on a person found guilty of financing an illegal organisation?

- A. AED 200,000
- B. AED 300,000
- C. AED 250,000
- **D. AED 150,000**

Answer: D

Explanation:

Under Federal Law No. 20 of 2018 and relevant CISI UAE Financial Rules and Regulations, the minimum fine imposed on a person convicted of financing an illegal organisation is AED 150,000. This penalty underscores the seriousness with which the UAE treats the crime of funding illegal or terrorist entities.

Alongside financial sanctions, convicted individuals may face imprisonment and other legal consequences.

These stringent penalties are part of the UAE's commitment to combating terrorism financing and protecting national and international security.

Reference: CISI UAE Financial Rules and Regulations - AML Criminal Sanctions, Section 8.4.5 (2023).

NEW QUESTION # 31

A public joint-stock company is automatically prevented by the regulations from executing a buyback transaction if it:

- **A. issued shares in a public offer in the last six months**
- B. is formally classed as an insurance company
- C. was incorporated in the last three years
- D. has been designated a company of State importance

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, a public joint-stock company is automatically barred from executing a buyback transaction if it issued shares in a public offer in the last six months. This regulatory restriction is designed to prevent market manipulation and protect shareholders' interests by ensuring sufficient market stability following a new share issuance. Buybacks shortly after public offerings could distort share prices or unfairly affect market liquidity. Other conditions like being an insurance company or state-designated firm do not automatically preclude buybacks under these regulations. This rule aligns with international corporate governance best practices governing share repurchases.

Reference: CISI UAE Financial Rules and Regulations - Share Buyback Rules, Section 5.4.7 (2023).

NEW QUESTION # 32

A licensed person who conducts financial activities related to security tokens is required to carry out a suitability check only if:

- **A. the client is not a qualified investor**
- B. the token falls into the high risk category

- C. the amount being invested exceeds AED 100,000
- D. the licensed person has less than 3 years' relevant experience

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, a licensed person dealing with security tokens must conduct a suitability check when the client is not a qualified investor. This requirement protects less sophisticated investors by ensuring that the financial products offered match their investment knowledge, risk tolerance, and financial circumstances. Qualified investors are presumed to have sufficient expertise and resources, thus not mandating suitability checks. The nature of the token or amount invested is not the primary trigger; rather, client qualification status governs the obligation to perform suitability assessments.

This aligns with investor protection principles embedded in UAE financial regulations.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Checks, Section 4.3.9 (2023).

NEW QUESTION # 33

Which of the following financial activities comes under the fifth category licence?

- A. Dealing in securities
- **B. Credit rating agencies**
- C. Arrangement and advice
- D. Dealing in investments

Answer: B

Explanation:

The fifth category licence under UAE financial regulations pertains specifically to credit rating agencies.

These entities assess the creditworthiness of issuers of debt, including governments and corporations, and their ratings are critical for investors and markets. The fifth category licence provides the legal framework for credit rating agencies to operate within the UAE's financial sector, ensuring they meet the regulatory standards and criteria set by the Securities and Commodities Authority (SCA).

This helps ensure transparency, reliability, and trust in the credit ratings issued, which are vital for maintaining market stability and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - Financial Activities Licences, Section 4.2.1 (2023).

NEW QUESTION # 34

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