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CISI UAE-Financial-Rules-and-Regulations Exam Syllabus Topics:

Section	Weight	Objectives
Anti-Money Laundering and Combating the Financing of Terrorism and Illegal Organisations	14%	- Federal Law No. 20 of 2018
The Regulatory Infrastructure	17%	- Accounting system controls (Decision No. 13/Chairman issued 2021) - Corporate Governance (Law No. 3 issued Jan 2020) - Securities & Commodities Authority (SCA) - Federal Law No. 4 of 2000 - License categories and requirements (Decision No. 13/Chairman issued 2021) - SCA Resolutions - Codes of Conduct
Investment Funds	11%	- Provisions specific to certain public funds - The local fund
Trading	11%	
Dubai Financial Market (DFM)	11%	
Licensed Bodies	14%	- Licensing financial activities - Requirements of capital market institutions - General provisions
Client Protection	10%	
Markets	11%	- General background - Disclosure and Transparency

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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q117-Q122):

NEW QUESTION # 117
When a company applies to become a Special Purpose Acquisition Company, its sponsors must prepare proposals to:

- A. reduce the risk to investors
- B. identify potential money laundering
- C. manage conflicts of interest
- D. deal with succession planning

Answer: C

Explanation:
Sponsors of companies applying to become Special Purpose Acquisition Companies (SPACs) in the UAE must prepare detailed proposals that specifically address the management of conflicts of interest. This is mandated under CISI UAE Financial Rules and Regulations to ensure that the SPAC's activities remain transparent and investors' interests are protected. Conflicts of interest may arise from the sponsors' dual roles or relationships with target companies or investors. Addressing these conflicts proactively through proposals and policies supports integrity and market confidence. While risk reduction and anti-money laundering are critical, the regulations explicitly highlight conflict management as a core area for SPAC sponsors.
Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, SPAC Sponsorship Requirements, Section 6.3.4 (2023).

NEW QUESTION # 118
When licence applicants submit behaviour regulations including a professional code of ethics, this falls under the category of:

- A. governance regulation
- B. employee regulation
- C. administration regulation
- D. technical system

Answer: A

Explanation:
Behaviour regulations submitted by license applicants, such as a professional code of ethics, are classified under governance regulations within the CISI UAE Financial Rules and Regulations framework.
Governance regulations encompass policies, standards, and codes that guide the ethical conduct, integrity, and responsibilities of licensed entities and their employees. They are designed to promote accountability, compliance, and good corporate citizenship within the financial industry. Unlike technical systems, which relate to operational infrastructure, or employee regulations focused on HR and workplace rules, governance regulations provide the overarching ethical and procedural guidelines essential for sustaining market confidence and protecting stakeholders. The inclusion of a professional code of ethics ensures license applicants demonstrate commitment to the principles of fairness, transparency, and fiduciary duty, which are fundamental requirements by the Securities and Commodities Authority (SCA) for licensing approval.
Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Governance, Section 3.1.4 (2023).

NEW QUESTION # 119
When establishing a local investment fund, how much are the founders required to subscribe?

- A. At least 1 million dirhams
- B. At least 20 million dirhams
- C. At least 10 million dirhams
- D. At least 5 million dirhams

Answer: C

Explanation:
When establishing a local investment fund in the UAE, the founders are required to subscribe a minimum amount to demonstrate commitment and to comply with the legal and financial requirements set by the Securities and Commodities Authority (SCA). The minimum required subscription is at least 10 million dirhams. This ensures that the fund has a solid financial base, contributing to its credibility and ability to cover initial operational and management expenses. The founders' subscription also serves to align their interests with those of potential investors and provides an assurance of the fund's viability and long-term sustainability.
Reference: CISI UAE Financial Rules and Regulations - Fund Formation Requirements, Section 6.1.2 (2023).

NEW QUESTION # 120
The role of the authorised agent of the exchange-traded fund (ETF) is to:

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

Answer: B

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 # 121
If an error in the final cash settlement price of an equity index comes to the attention of the Exchange more than 30 minutes after the publication of the final cash settlement price, what happens?

- A. Liability is apportioned
- B. No correction will be made
- C. The provider will correct it
- D. It will be re-determined

Answer: B

Explanation:
Under CISI UAE Financial Rules and Regulations governing market operations, if an error in the final cash settlement price of an equity index is discovered more than 30 minutes after publication, the Exchange will not make any correction. This rule limits the window for price correction to maintain market certainty and finality of settlements. After the 30-minute threshold, the published price stands as final, protecting contractual certainty and operational stability. While the provider may acknowledge errors, no re-determination or liability adjustment occurs post-deadline. This policy aligns with international exchange practices designed to minimize market disruption.
Reference: CISI UAE Financial Rules and Regulations - Market Settlement and Price Correction Rules, Section 7.5.9 (2023).

NEW QUESTION # 122
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