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## **CISI UAE Financial Rules and Regulations Exam Sample Questions (Q52-Q57):**

### **NEW QUESTION # 52**

For all local funds, a semi-annual report on the public fund's performance must be prepared no later than:

- A. 30 days from the end of the financial year
- B. 45 days from the end of the semi-annual period
- C. 2 months from the end of the financial year
- D. 2 months from the end of the semi-annual period

**Answer: D**

Explanation:

Per CISI UAE Financial Rules and Regulations governing investment funds, a semi-annual report on the public fund's performance must be prepared no later than 2 months from the end of the semi-annual period.

This reporting timeline ensures timely disclosure to investors and regulators, providing transparency about fund performance, investment activities, and compliance with regulatory standards. The semi-annual report serves as a key accountability mechanism, enabling investors to make informed decisions and maintain confidence in the fund management. The requirement for a two-month deadline aligns with global best practices in fund reporting.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Reporting Requirements, Section 6.5.4 (2023).

### **NEW QUESTION # 53**

The minimum paid-up capital requirement for ranking and advice firms is:

- A. none
- B. AED 30 million
- C. AED 5 million
- D. AED 50 million

**Answer: C**

Explanation:

Under CISI UAE Financial Rules and Regulations, firms offering ranking and advisory services in the financial sector must meet a minimum paid-up capital requirement of AED 5 million. This capital threshold ensures that such firms have sufficient financial resources to maintain operational stability, manage risks, and fulfill regulatory obligations. It also reflects the level of responsibility these firms carry in providing investment advice and rankings that impact market participants. Higher capital requirements apply to more systemically significant entities, but the AED 5 million benchmark balances accessibility and prudence for ranking and advice firms.

Reference: CISI UAE Financial Rules and Regulations - Licensing Capital Requirements, Section 3.2.5 (2023).

### **NEW QUESTION # 54**

Following a public subscription, what must a Special Purpose Acquisition Company do with the proceeds?

- A. Deposit not less than 100% of the public subscription proceeds within one business day of receipt
- B. Deposit not less than 90% of the public subscription proceeds within two business days of receipt
- C. Deposit not less than 100% of the public subscription proceeds within two business days of receipt
- D. Deposit not less than 90% of the public subscription proceeds within one business day of receipt

**Answer: A**

Explanation:

Special Purpose Acquisition Companies (SPACs) operating under UAE financial regulations must safeguard investors' funds post-public subscription. According to the CISI UAE Financial Rules and Regulations, SPACs are required to deposit 100% of the public subscription proceeds within one business day of receipt into an escrow or segregated account. This requirement ensures that the

funds are secured and managed transparently while awaiting acquisition activities. The strict one-business-day deadline prevents misuse or misallocation of investor money and aligns with international best practices for fund protection. This is critical in maintaining market confidence and regulatory compliance, as SPACs act as investment vehicles with inherent risk related to future mergers or acquisitions.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds and SPAC Requirements, Section 6.3.1 (2023).

#### NEW QUESTION # 55

Which of the following is a sanction available to the Authority in the event of a violation of its provisions?

- A. Suspend the licensed body for a period of two years
- B. **Impose a financial fine of not less than AED 100,000**
- C. Suspend any financial activity practised during an investigation
- D. Impose a financial fine of not more than AED 100,000

**Answer: B**

Explanation:

The CISI UAE Financial Rules and Regulations empower the Authority to impose financial fines of not less than AED 100,000 on licensed entities or persons found in violation of regulatory provisions. This minimum fine serves as a deterrent and underscores the regulator's authority to enforce compliance. While suspension of licensed bodies or activities can be imposed in some cases, the standard and frequently applied sanction is the financial penalty starting from AED 100,000. The Authority's sanctions framework ensures robust regulatory oversight and promotes adherence to UAE financial laws.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Sanctions and Penalties, Section 2.6.4 (2023).

#### NEW QUESTION # 56

A joint-stock company applying for a licence to conduct clearing activities in a commodity market recently appointed a new chairman and a new CEO. Why did this lead to the application being refused?

- A. Only the chairman held a tranche of the company's shares
- B. **They had been employed by the company during the previous year**
- C. Only the CEO's compensation had been approved by the Authority
- D. They were supported by just three other board members

**Answer: B**

Explanation:

According to CISI UAE Financial Rules and Regulations, applications for licences to conduct clearing activities require that key senior officers such as the chairman and CEO meet certain tenure and independence criteria. The application was refused because both the newly appointed chairman and CEO had been employed by the company during the previous year, which raises concerns about independence and potential conflicts of interest. Regulators require sufficient separation and stability in leadership to ensure effective governance and risk management in critical market infrastructure roles like clearing. The recent employment history suggested insufficient cooling-off periods or independence safeguards.

Reference: CISI UAE Financial Rules and Regulations - Licensing Requirements for Clearing Firms, Section 7.1.3 (2023).

#### NEW QUESTION # 57

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