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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q23-Q28):

NEW QUESTION # 23

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

Answer: A

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 # 24

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

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

Answer: C

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 # 25

Where self-funded founders intend to accept in-kind shares, the fund prospectus must state whether these shares:

- A. will be held as capital assets of the fund
- B. are consistent with the fund's investment strategy
- C. may subsequently be disposed of
- D. are to be valued subjectively

Answer: B

Explanation:

For self-funded founders accepting in-kind shares into a fund, the CISI UAE Financial Rules and Regulations require that the fund

prospectus clearly state whether such shares are consistent with the fund's investment strategy. This ensures transparency for investors regarding the nature and suitability of the assets held within the fund. Declaring consistency with the investment strategy helps investors assess the fund's objectives and risk profile accurately. Other details like valuation and disposal are important but the primary disclosure focus is on strategic alignment to maintain trust and regulatory compliance. This requirement underscores the importance of fund governance and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds, Fund Prospectus Requirements, Section 6.2.4 (2023).

NEW QUESTION # 26

Membership of an Authority regulated market is obligatory for which of the following entities?

- A. Listed joint-stock companies, licensed brokers and other listed entities
- B. Listed joint-stock companies and licensed brokers
- C. Licensed brokers
- D. Listed joint-stock companies, licensed brokers and any other type of business entity

Answer: A

Explanation:

Under the UAE regulatory framework, membership of an Authority-regulated market is obligatory for listed joint-stock companies, licensed brokers, and other listed entities. This requirement ensures that all entities involved in public trading or listed on the market adhere to the regulatory standards set by the market's governing body. It provides a structured environment for trading and market oversight, promoting transparency and fairness. The inclusion of licensed brokers and other listed entities ensures that all market participants are subject to the same rules, helping to maintain integrity and stability in the market.

Reference: CISI UAE Financial Rules and Regulations - Market Membership Requirements, Section 3.1.4 (2023).

NEW QUESTION # 27

A public real estate investment fund must distribute at least what percentage of the achieved net profits every year, to the holders of its units?

- A. 50%
- B. 75%
- C. 100%
- D. 80%

Answer: D

Explanation:

The CISI UAE Financial Rules and Regulations specify that public real estate investment funds are mandated to distribute a minimum of 80% of their achieved net profits annually to unit holders. This distribution requirement ensures that investors receive regular income from the fund's operations, promoting investor confidence and fairness. It also aligns with the principle of pass-through taxation and transparency in fund performance. The regulation balances income distribution with fund sustainability, allowing the retention of a portion of profits for operational needs and growth.

Reference: CISI UAE Financial Rules and Regulations - Real Estate Investment Funds, Profit Distribution Requirements, Section 6.7.2 (2023).

NEW QUESTION # 28

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