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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q95-Q100):

NEW QUESTION # 95

An application submitted to the ADX by the brokerage company to enable it to supply E-Trading services will result in a decision to approve or reject the application within:

- A. 10 days
- **B. 5 days**
- C. 2 days
- D. 30 days

Answer: B

Explanation:

Brokerage firms seeking approval from the Abu Dhabi Securities Exchange (ADX) to offer E-Trading services are subject to a timely review process. According to the CISI UAE Financial Rules and Regulations, the ADX is required to make a decision to approve or reject such applications within 5 business days. This rapid response timeline ensures that brokers can efficiently begin offering E-Trading services to clients, which is crucial in today's fast-paced financial markets. By maintaining this short decision-making window, the ADX fosters an environment of operational efficiency and responsiveness, which supports both market development and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - E-Trading Approval Process, Section 10.4.1 (2023).

NEW QUESTION # 96

What does the Authority usually do before deciding to delist a company's shares?

- **A. Issue an improvement notice of 30 days**
- B. Consult with the relevant firm
- C. Issue a fine for payment within 30 days
- D. Consult with the relevant market

Answer: A

Explanation:

Before deciding to delist a company's shares, the regulatory authority typically follows a procedure designed to ensure that the company has an opportunity to rectify any issues. According to the CISI UAE Financial Rules and Regulations, the Authority usually issues an improvement notice of 30 days to the company. This notice outlines the deficiencies or non-compliance issues that the company needs to address in order to avoid delisting. The 30-day period allows the company time to correct the issues, such as failure to meet financial reporting requirements, governance standards, or other operational obligations. This approach ensures fairness and transparency before taking any drastic actions like delisting.

Reference: CISI UAE Financial Rules and Regulations - Delisting Procedures, Section 2.5.3 (2023).

NEW QUESTION # 97

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

Answer: B

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 # 98

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

- A. AED 30 million
- B. none
- 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 # 99

Why would a transaction to purchase securities be declared null and void?

- A. The Authority has levied a penalty for delay of payment
- B. The individual is a former employee
- C. The investor has a conviction of an offence of dishonour
- D. It was the result of a rumour being spread

Answer: D

Explanation:

A transaction to purchase securities could be declared null and void if it was the result of a rumour being spread. According to the CISI UAE Financial Rules and Regulations, transactions based on market manipulation, misinformation, or rumors that mislead investors and distort the market are considered invalid.

The integrity of the financial markets depends on transparency and the accuracy of the information that drives trading decisions. Therefore, if a transaction is found to have been influenced by rumors, it could be declared void to maintain fairness and prevent manipulative practices.

Reference: CISI UAE Financial Rules and Regulations - Market Manipulation and Invalid Transactions, Section 6.3.2 (2023).

NEW QUESTION # 100

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