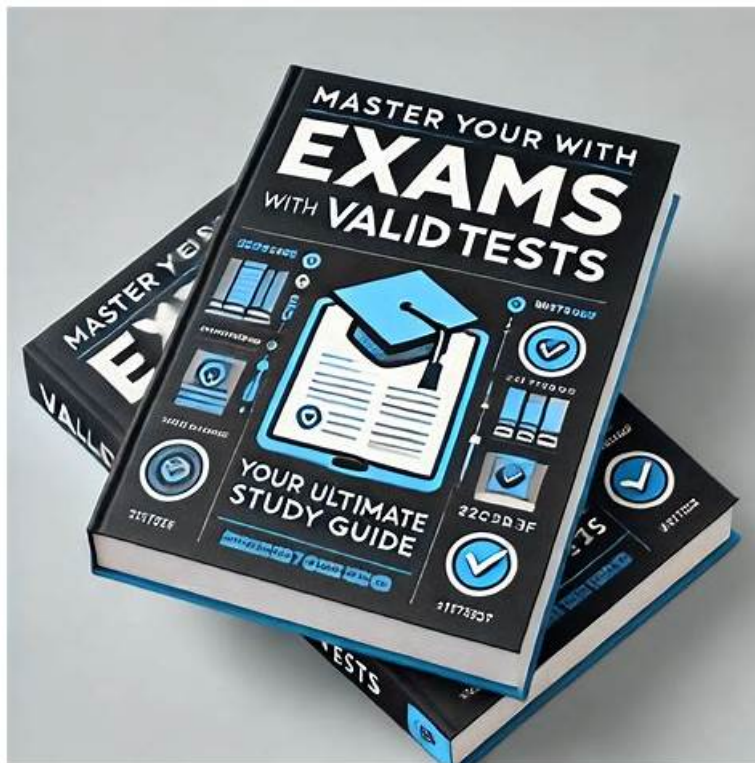


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q53-Q58):

NEW QUESTION # 53

When promoting private funds, related materials must:

- A. refrain from using public advertisement media of certain types, including audio and video, with the exception of read media
- B. receive prior approval of the content from the Authority
- C. advise that the funds cannot be transferred to a third party
- D. clarify the private fund's specific nature and include the required disclaimer laid down by the Authority

Answer: D

Explanation:

Promotional materials for private funds in the UAE must clearly clarify the fund's specific nature and include the required disclaimer as prescribed by the Authority. This requirement ensures that potential investors receive accurate and compliant information about the private fund's characteristics, risks, and restrictions. The disclaimer serves to limit investor expectations and legal liabilities. While certain media restrictions and content approvals may apply in some jurisdictions, the key regulatory focus is on transparency and proper disclosure within promotional materials to protect investor interests.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Promotion and Disclosure Requirements, Section 6.3.9 (2023).

NEW QUESTION # 54

DFM brokerage firms are required to ensure that employees have appropriate professional experience if they:

- A. are new to the company or the industry
- B. are employed to operate an electronic trading or clearing system
- C. are employed to deal with clients or on their behalf
- D. are on full-time or substantial part-time contracts

Answer: C

Explanation:

DFM brokerage firms are required to ensure that their employees have appropriate professional experience if they are employed to deal with clients or on their behalf. This is because employees interacting directly with clients must possess the necessary skills, knowledge, and experience to provide accurate information, manage client portfolios, and handle client transactions in compliance with regulatory standards. This ensures that clients are protected from potential mismanagement or malpractice and that the brokerage firm maintains a high standard of service.

Reference: CISI UAE Financial Rules and Regulations - Employee Competency Requirements for DFM Brokerage Firms, Section 7.2.1 (2023).

NEW QUESTION # 55

To qualify as a big block deal on the ADX's E-Trading system, the securities to be traded must be a minimum of what proportion of the issuer's capital?

- A. 0.5%
- B. 1.0%
- C. 2.5%
- D. 2.0%

Answer: B

Explanation:

A big block deal on the ADX's E-Trading system must involve securities that are at least 1.0% of the issuer's capital. This threshold ensures that large transactions, which could significantly affect the stock's market price, are categorized appropriately as big block deals. The rule helps to distinguish between regular trades and larger institutional trades, which often have different liquidity and market impact considerations. This also provides transparency for market participants regarding the size and nature of the transaction.

Reference: CISI UAE Financial Rules and Regulations - Big Block Deal Requirements on ADX, Section

6.1.2 (2023).

NEW QUESTION # 56

The Authority will only grant a licence to operate a crypto fundraising platform in the UAE if the applicant is a legal person in the form of:

- A. an exchange licensed by a market in the UAE
- **B. an exchange licensed by the Authority in the UAE**
- C. a sophisticated trader or a qualified investor
- D. a company incorporated under Shariah law

Answer: B

Explanation:

According to CISI UAE Financial Rules and Regulations, the Securities and Commodities Authority (SCA) grants licences to operate crypto fundraising platforms only to legal persons that are exchanges licensed by the Authority within the UAE. This ensures that the entity has the appropriate regulatory oversight, infrastructure, and governance aligned with UAE financial laws. Sophisticated traders or qualified investors, as well as companies incorporated under Shariah law, do not meet the legal entity criteria for such licensing.

The requirement guarantees that fundraising platforms operate within a controlled and transparent environment, protecting investors and maintaining market integrity.

Reference: CISI UAE Financial Rules and Regulations - Crypto Asset Platforms Licensing, Section 7.1.5 (2023).

NEW QUESTION # 57

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

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

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 # 58

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