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## **CISI UAE Financial Rules and Regulations Exam Sample Questions (Q93-**

## Q98):

### NEW QUESTION # 93

When debt securities are offered through a public subscription, the offeror will be required to announce any replacement of the trustee:

- A. immediately
- **B. within a maximum of 72 hours**
- C. within a maximum of 48 hours
- D. after 5 working days

**Answer: B**

Explanation:

CISI UAE Financial Rules and Regulations stipulate that for debt securities issued via public subscription, the offeror must announce any replacement of the trustee within a maximum of 72 hours. Prompt notification ensures transparency, allowing investors to be informed about key custodial and fiduciary changes that may affect the security's management and enforcement of rights. Delays beyond this period could impact investor confidence and violate continuous disclosure requirements, thus the 72-hour timeframe strikes a balance between operational feasibility and timely communication.

Reference: CISI UAE Financial Rules and Regulations - Debt Securities Public Offers and Trustee Notifications, Section 5.8.6 (2023).

### NEW QUESTION # 94

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

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

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 # 95

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

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

**Answer: C**

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 # 96

What is the maximum term of imprisonment that can be imposed on a person who attempts to commit the crime of money laundering?

- A. Ten years
- B. Three years
- C. Seven years
- **D. Five years**

**Answer: D**

Explanation:

Under Federal Law No. 20 of 2018 and relevant CISI UAE Financial Rules and Regulations, the maximum term of imprisonment for a person who attempts to commit the crime of money laundering is five years. The law imposes stringent penalties to deter money laundering activities and ensure the integrity of the UAE's financial system. In addition to imprisonment, offenders may also face fines and asset confiscation. This punitive framework is designed to align with international AML standards, emphasizing the seriousness with which the UAE treats attempts to launder money, whether successful or not.

Reference: CISI UAE Financial Rules and Regulations - AML Criminal Sanctions, Section 8.4.3 (2023).

#### NEW QUESTION # 97

The compliance regulation guide, submitted by an applicant for a license from the Authority, must set out procedures and mechanisms which will ensure that the compliance officer:

- **A. has access to sufficient resources**
- B. can appoint a deputy during an unplanned absence
- C. is able to suspend operations in an emergency
- D. can report confidentially to the regulator

**Answer: A**

Explanation:

Per CISI UAE Financial Rules and Regulations, the compliance regulation guide submitted by licensing applicants must include procedures and mechanisms that ensure the compliance officer has access to sufficient resources. Adequate resources are critical for the compliance officer to effectively oversee adherence to regulatory requirements, manage risks, and implement compliance programs. This includes staffing, technology, training, and authority necessary to fulfill the role's responsibilities. While emergency powers or deputizing may be operationally important, the regulations emphasize resource adequacy as a fundamental compliance enabler.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Compliance Officer Requirements, Section 3.3.6 (2023).

#### NEW QUESTION # 98

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