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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q14-

## Q19):

### NEW QUESTION # 14

If an existing company wants to offer shares after conversion into a public joint-stock company, it must have released audited financial statements for what minimum number of fiscal years prior to the request to offer shares?

- A. Three
- B. Two
- C. Four
- D. Five

**Answer: A**

Explanation:

For a company wishing to offer shares after converting into a public joint-stock company, it must have released audited financial statements for a minimum of three fiscal years prior to the request to offer shares.

This requirement ensures that the company has a solid track record of financial performance and transparency, which is essential for potential investors to evaluate the company's viability and financial health. The three- year period provides enough historical data to assess trends and make informed investment decisions, supporting market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Requirements for Public Offerings, Section 4.2.3 (2023).

### NEW QUESTION # 15

The conciliation process allows the Authority to impose what alternative to criminal prosecution?

- A. Suspension of activities for a specified period
- B. Referral to the Central Bank
- C. Negotiated out-of-court settlement
- D. Payment of a prescribed amount of money

**Answer: C**

Explanation:

The CISI UAE Financial Rules and Regulations provide for a conciliation process whereby the Authority may impose a negotiated out-of-court settlement as an alternative to criminal prosecution. This mechanism allows for the resolution of regulatory breaches through mutual agreement, often involving remedial actions and financial penalties, without lengthy court proceedings. It supports regulatory efficiency and offers a less adversarial path to compliance while maintaining enforcement effectiveness. Suspension or referral are different enforcement actions but not part of the conciliation alternative.

Reference: CISI UAE Financial Rules and Regulations - Enforcement and Conciliation Procedures, Section 2.7.5 (2023).

### NEW QUESTION # 16

If a discrepancy comes to light when conducting an external reconciliation, what must the firm do?

- A. Immediately inform the regulator verbally and follow this up in writing
- B. Investigate and correct it as soon as possible
- C. Immediately suspend operations with the third party
- D. Close the client's account by close of business on the same day

**Answer: B**

Explanation:

If a discrepancy is identified during an external reconciliation process, the firm is required to investigate and correct it as soon as possible. The CISI UAE Financial Rules and Regulations emphasize that discrepancies, whether in financial data or operational procedures, must be thoroughly examined to determine the root cause and rectified promptly. Immediate corrective action helps to ensure that financial statements and other reports remain accurate and reliable, preventing any further errors or compliance issues. While it may be necessary to inform the regulator or suspend operations in extreme cases, the first priority is to address the discrepancy through investigation and correction.

Reference: CISI UAE Financial Rules and Regulations - Reconciliation and Error Resolution, Section 8.1.4 (2023).

### NEW QUESTION # 17

The role of the authorised agent of the exchange-traded fund (ETF) is to:

- A. ensure that the transfer of ownership of units is completed
- B. update sell and buy orders
- C. announce the net value of the unit's assets on a daily basis
- D. regularly announce the indicative value of the net value of assets

**Answer: D**

Explanation:

The authorised agent of an ETF has a critical role in maintaining transparency and liquidity in the market.

According to CISI UAE Financial Rules and Regulations, the authorised agent is responsible for regularly announcing the indicative value of the net assets of the ETF units. This indicative net asset value (iNAV) provides investors and market participants with a near real-time estimate of the underlying assets' value, reflecting market fluctuations throughout the trading day. Unlike the official net asset value (NAV), which is typically calculated at the end of the trading day, the iNAV supports intra-day trading decisions and helps maintain price alignment between the ETF units and their underlying assets. This responsibility is fundamental in ensuring efficient price discovery and protecting investor interests in the ETF market.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds and ETF Operations, Section 6.4.2 (2023).

### NEW QUESTION # 18

A real estate investment fund may borrow no more than what percentage of its total assets value?

- A. 50%
- B. 25%
- C. 10%
- D. 75%

**Answer: A**

Explanation:

According to the CISI UAE Financial Rules and Regulations, real estate investment funds are subject to borrowing limits to ensure financial stability and prevent excessive leverage. A real estate investment fund may borrow no more than 50% of its total assets value. This limit helps mitigate the risks associated with high levels of debt and ensures that the fund remains adequately capitalized to handle fluctuations in the real estate market. By restricting the borrowing capacity, the regulations aim to protect investors and ensure the fund's long-term sustainability.

Reference: CISI UAE Financial Rules and Regulations - Borrowing Limits for Real Estate Investment Funds, Section 6.1.5 (2023).

### NEW QUESTION # 19

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