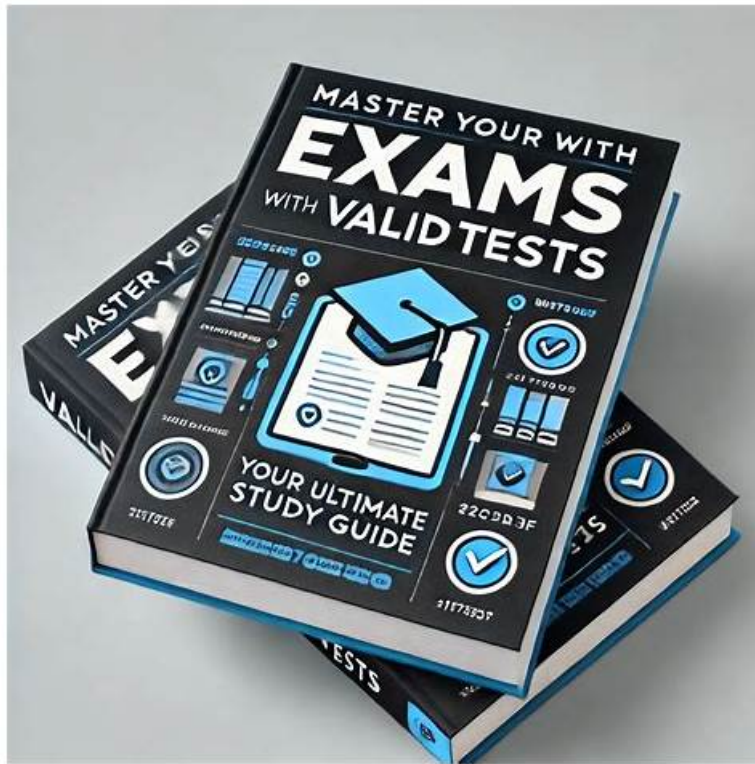


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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q54-

## Q59):

### NEW QUESTION # 54

Under what circumstances, if any, is an introducer allowed to provide an investor with financial analysis?

- A. Only if the client proactively requests one
- **B. Only if it is licensed to do so**
- C. Only if no recommendations are made
- D. Under no circumstances

**Answer: B**

Explanation:

CISI UAE Financial Rules and Regulations clearly state that an introducer may only provide financial analysis if it is licensed to do so. Licensing ensures that the introducer has the required qualifications, governance, and regulatory oversight to deliver accurate and compliant financial analyses. Providing financial analysis without licensing can mislead investors and expose them to unsuitable advice. Therefore, introducers without proper licensing are prohibited from offering such analyses, irrespective of client requests or absence of recommendations, preserving market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Licensing of Financial Analysis Providers, Section 4.4.5 (2023).

### NEW QUESTION # 55

An applicant for a financial activities licence must have procedures in place to recover electronic records from the archive within what maximum period?

- **A. Three business days**
- B. Five business days
- C. Two calendar days
- D. Four calendar days

**Answer: A**

Explanation:

According to CISI UAE Financial Rules and Regulations, applicants for a financial activities licence must ensure that their record-keeping systems allow for recovery of electronic records from archives within a maximum period of three business days. This requirement ensures timely access to data necessary for audits, investigations, and regulatory reviews. The three-business-day timeframe balances operational feasibility with regulatory needs for responsiveness and data integrity, supporting transparency and compliance in the UAE financial sector.

Reference: CISI UAE Financial Rules and Regulations - Record-Keeping and Data Recovery Procedures, Section 3.5.10 (2023).

### NEW QUESTION # 56

The statement in a suitability report giving reasons for the recommendation must also indicate:

- **A. the client's ability to bear any risks and losses**
- B. the extent to which the author is qualified to make this judgement
- C. whether or not the client has accepted this guidance
- D. why the next best product or service was disregarded

**Answer: A**

Explanation:

In CISI UAE Financial Rules and Regulations, suitability reports must include a clear statement addressing the client's ability to bear any risks and losses associated with the recommended financial product or service.

This disclosure ensures that recommendations are made with a full understanding of the client's financial capacity and risk tolerance, protecting clients from unsuitable advice. While explanations about alternative products, client acceptance, and author qualifications are relevant, the ability to bear risk is essential to justify the recommendation and meet regulatory standards for investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Reporting, Section 4.3.11 (2023).

#### NEW QUESTION # 57

A firm offering custody, clearing and recording, is required to have a minimum paid-up capital of:

- A. AED 100 million
- B. AED 150 million
- C. AED 50 million
- D. AED 30 million

**Answer: A**

Explanation:

As per the CISI UAE Financial Rules and Regulations, firms involved in custody, clearing, and recording services must have a minimum paid-up capital of AED 100 million. This capital requirement ensures that firms in this category have sufficient financial resources to manage the risks associated with their operations, which include handling clients' assets, ensuring compliance with financial regulations, and absorbing potential operational or financial losses. The higher capital threshold also enhances the stability and credibility of such firms, making them more resilient to market fluctuations and operational challenges.

Reference: CISI UAE Financial Rules and Regulations - Capital Requirements for Custody, Clearing, and Recording Firms, Section 7.3.2 (2023).

#### NEW QUESTION # 58

An in-kind shares evaluation report must be based on data covering what maximum period before the evaluation date?

- A. Three months
- B. Two months
- C. Four months
- D. One month

**Answer: A**

Explanation:

Under CISI UAE Financial Rules and Regulations, an in-kind shares evaluation report must be based on data covering a maximum period of three months prior to the evaluation date. This ensures the valuation reflects recent market conditions and financial information, maintaining accuracy and relevance. Longer periods could risk outdated or misleading valuations, affecting investor decisions and fund reporting. The three-month timeframe is aligned with international valuation standards applied to in-kind contributions to investment funds.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds, In-Kind Share Valuation Requirements, Section 6.2.8 (2023).

#### NEW QUESTION # 59

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