

# Exam UAE-Financial-Rules-and-Regulations Collection Pdf | UAE-Financial-Rules-and-Regulations Reliable Test Cost



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### CISI UAE Financial Rules and Regulations Exam Sample Questions (Q62-Q67):

#### NEW QUESTION # 62

In order for the contents of a financial promotion which quotes yield figures to satisfy the clear, fair, and not misleading rule, it should:

- A. make the promotion available simultaneously in printed form and online
- B. always assume the communication is intended for a retail client

- C. ensure all monetary examples are calculated to at least two decimal places
- **D. give a balanced impression of both short and long term prospects**

**Answer: D**

Explanation:

For a financial promotion that quotes yield figures to comply with the clear, fair, and not misleading rule, it must give a balanced impression of both short and long term prospects. This ensures that the promotion does not mislead the client by focusing too heavily on short-term returns or exaggerating long-term performance. A balanced presentation of both short and long-term outcomes is essential for providing a full, accurate picture of the investment, allowing clients to make informed decisions. This approach aligns with the principles of transparency and fairness that underpin financial regulation.

Reference: CISI UAE Financial Rules and Regulations - Financial Promotions and Yield Quotes, Section 5.2.3 (2023).

### NEW QUESTION # 63

The Depository Centre must periodically report to the Authority on shareholders who hold more than what threshold percentage of equity in the Centre's capital?

- **A. 5%**
- B. 3%
- C. 10%
- D. 15%

**Answer: A**

Explanation:

The Depository Centre is required to periodically report to the Authority on shareholders who hold more than 5% of equity in the Centre's capital. This threshold ensures that the Authority is informed about substantial holdings, which could influence corporate governance, voting rights, and overall control within the company.

The report helps maintain transparency regarding ownership structures, which is critical for monitoring potential conflicts of interest, shareholder influence, and market stability. Regular updates on these holdings contribute to the regulatory oversight of significant shareholders.

Reference: CISI UAE Financial Rules and Regulations - Reporting Requirements for Depository Centres, Section 7.1.2 (2023).

### NEW QUESTION # 64

If there is a material change in the nature of the relevant software, the regulations state that investors who have accepted an offer of crypto assets must be notified:

- A. within no less than 7 days
- B. within no less than 14 days
- **C. promptly in advance**
- D. immediately after implementation

**Answer: C**

Explanation:

The CISI UAE Financial Rules and Regulations require that investors in crypto assets be promptly notified in advance of any material change in the nature of the software relevant to the assets. This advance notification is crucial to allow investors to make informed decisions regarding their holdings before changes take effect.

Material changes could affect functionality, security, or value of the crypto asset. The regulation promotes transparency and investor protection by ensuring timely and clear communication, preventing investors from being blindsided by unexpected developments. The requirement aligns with international best practices on disclosure for crypto asset issuers.

Reference: CISI UAE Financial Rules and Regulations - Legislation and Practice, Crypto Asset Regulation, Section 7.2.1 (2023).

### NEW QUESTION # 65

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

- A. whether or not the client has accepted this guidance

- B. why the next best product or service was disregarded
- **C. the client's ability to bear any risks and losses**
- D. the extent to which the author is qualified to make this judgement

**Answer: C**

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 # 66**

Anyone who notifies or warns a person in relation to suspicions, or reveals any transaction under review in relation to suspicions, is guilty of:

- A. money laundering
- **B. tipping off**
- C. layering
- D. collusion

**Answer: B**

Explanation:

Under UAE's Anti-Money Laundering (AML) and Combating the Financing of Terrorism (CFT) regulations, revealing or notifying a person about suspicions of money laundering or disclosing any transaction under review is classified as 'tipping off'. The act of tipping off is prohibited and criminalized under the UAE's AML/CFT laws, as it can obstruct investigations and alert potential wrongdoers, allowing them to take steps to conceal illicit activities. This is a key part of maintaining the integrity of AML regulations, as it prevents individuals from undermining the enforcement process. Firms and individuals are strictly prohibited from warning clients or revealing details about investigations in order to protect the confidentiality and effectiveness of the review process.

Reference: CISI UAE Financial Rules and Regulations - Tipping Off and AML Compliance, Section 9.7.3 (2023).

#### **NEW QUESTION # 67**

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