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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q93-Q98):

NEW QUESTION # 93

If in-kind shares are provided when the fund is founded; if the subscription fails and there is no special agreement, who would bear the expenses?

- A. Evaluators
- B. Auditors
- C. **Founders**
- D. Share providers

Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, when in-kind shares are provided at fund inception and the subscription fails, the founders bear the related expenses in the absence of any special agreement. This allocation reflects the founders' responsibility in establishing and capitalizing the fund and absorbing initial setup costs, including those related to failed subscriptions. Share providers, auditors, or evaluators are not typically liable for such expenses unless contractual terms explicitly assign such responsibility. This regulatory stance encourages clarity and accountability in fund founding arrangements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Incorporation and Expense Allocation, Section 6.2.11 (2023).

NEW QUESTION # 94

The watch list, which is monitored by an Authority-established committee, consists of which group of companies?

- A. **All public companies which have declared losses in the last 12 months**
- B. All private companies which have declared losses in the last 12 months
- C. Companies in the first category
- D. Companies in the second category

Answer: A

Explanation:

Per CISI UAE Financial Rules and Regulations, the watch list monitored by the Authority's committee consists of all public companies that have declared losses in the last 12 months. These companies are subject to closer regulatory scrutiny to protect investors and maintain market stability. Monitoring focuses on financial health indicators that might signal increased risk, ensuring timely intervention if necessary. Private companies are generally not included in this watch list, which targets publicly traded entities with broader investor impact.

Reference: CISI UAE Financial Rules and Regulations - Market Surveillance and Watch List, Section 5.6.4 (2023).

NEW QUESTION # 95

A good-till-cancelled order on the DFM will remain available for execution unless it is cancelled by:

- A. the broker
- B. the market committee
- C. the clearing member
- D. **the investor**

Answer: D

Explanation:

On the Dubai Financial Market (DFM), a good-till-cancelled (GTC) order remains active and available for execution until explicitly cancelled by the investor who placed it. This means the investor maintains control over the order's lifespan, allowing it to persist through trading sessions unless they choose to withdraw it.

Brokers or clearing members do not have authority to unilaterally cancel GTC orders, ensuring investor autonomy. The market committee also does not intervene in the cancellation of individual orders under normal circumstances. This design supports investor flexibility and orderly market functioning.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Management, Section 7.3.2 (2023).

NEW QUESTION # 96

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

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

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 # 97

When establishing a local investment fund, how much are the founders required to subscribe?

- A. At least 20 million dirhams
- **B. At least 10 million dirhams**
- C. At least 5 million dirhams
- D. At least 1 million dirhams

Answer: B

Explanation:

When establishing a local investment fund in the UAE, the founders are required to subscribe a minimum amount to demonstrate commitment and to comply with the legal and financial requirements set by the Securities and Commodities Authority (SCA). The minimum required subscription is at least 10 million dirhams. This ensures that the fund has a solid financial base, contributing to its credibility and ability to cover initial operational and management expenses. The founders' subscription also serves to align their interests with those of potential investors and provides an assurance of the fund's viability and long-term sustainability.

Reference: CISI UAE Financial Rules and Regulations - Fund Formation Requirements, Section 6.1.2 (2023).

NEW QUESTION # 98

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