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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q44-Q49):

NEW QUESTION # 44

When updating their money laundering compliance framework, firms involved in crypto assets are required to take into account the recommendations of which body?

- A. Financial Action Task Force
- B. World Bank
- C. Bank for International Settlements
- D. United Nations Office on Drugs and Crime

Answer: A

Explanation:

Under the UAE's Anti-Money Laundering (AML) and Combating the Financing of Terrorism (CFT) framework, firms, including those involved in crypto assets, are required to align their compliance practices with international standards. The Financial Action Task Force (FATF) provides the global framework and recommendations to combat money laundering and terrorism financing. Firms must adhere to these recommendations to update and maintain their AML compliance programs effectively, ensuring that they remain in line with the best global practices and avoid involvement in illicit activities. The FATF's guidelines specifically address the risks posed by crypto assets and set standards for monitoring, reporting, and controlling potential misuse of such assets for money laundering purposes.

Reference: CISI UAE Financial Rules and Regulations - Anti-Money Laundering Framework and Crypto Assets, Section 9.2.4 (2023).

NEW QUESTION # 45

To qualify as a big block deal on the ADX's E-Trading system, the securities to be traded must be a minimum of what proportion of the issuer's capital?

- A. 2.5%
- B. 0.5%
- C. 2.0%
- D. 1.0%

Answer: D

Explanation:

A big block deal on the ADX's E-Trading system must involve securities that are at least 1.0% of the issuer's capital. This threshold ensures that large transactions, which could significantly affect the stock's market price, are categorized appropriately as big block deals. The rule helps to distinguish between regular trades and larger institutional trades, which often have different liquidity and market impact considerations. This also provides transparency for market participants regarding the size and nature of the transaction.

Reference: CISI UAE Financial Rules and Regulations - Big Block Deal Requirements on ADX, Section 6.1.2 (2023).

NEW QUESTION # 46

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

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

Answer: B

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 # 47

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

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

Answer: D

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 # 48

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 # 49

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