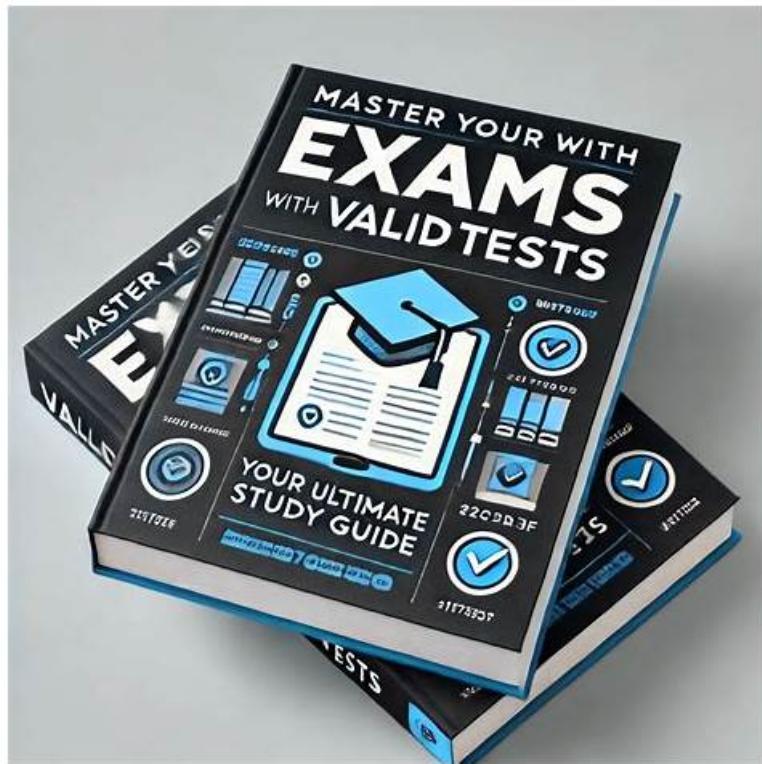


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q71-Q76):

NEW QUESTION # 71

If an offering person arranges the issuance of crypto assets for which funds have been subscribed by investors, controls must be set up to avoid:

- A. prices being determined at the discretion of the issuer
- B. **subscriptions being taken at excessive levels from non-qualified investors**
- C. subscriptions being taken at different threshold levels
- D. prices being allowed to fluctuate during the opening offer period

Answer: B

Explanation:

Under Federal Law No. 20 of 2018 and related CISI UAE Financial Rules and Regulations, issuers arranging crypto asset offerings must establish controls to prevent subscriptions being taken at excessive levels from non-qualified investors. This is a key investor protection and anti-money laundering measure designed to restrict high-risk investment exposure to those with adequate knowledge, resources, and risk appetite. By enforcing subscription limits for non-qualified investors, the regulations mitigate fraud, market manipulation, and financial losses while ensuring regulatory compliance. Controls over pricing discretion or fluctuations, while relevant, are not the central regulatory concern in this context.

Reference: CISI UAE Financial Rules and Regulations - AML and Crypto Asset Issuance Controls, Section 8.2.4 (2023).

NEW QUESTION # 72

The Corporate Governance Guide automatically allows board members of public joint-stock companies to accept gifts up to what maximum stated value?

- A. **AED 300**
- B. AED 500
- C. AED 200
- D. AED 100

Answer: A

Explanation:

According to the Corporate Governance Guide for public joint-stock companies, board members are automatically allowed to accept gifts up to a maximum value of AED 300. This limit is set to ensure that the acceptance of gifts does not raise concerns about conflicts of interest or unethical conduct. By establishing a cap on the value of acceptable gifts, the guide aims to promote transparency and prevent any undue influence on the decision-making process of board members. This helps maintain the integrity of the corporate governance framework and fosters trust among stakeholders.

Reference: CISI UAE Financial Rules and Regulations - Corporate Governance and Gift Acceptance, Section 10.4.5 (2023).

NEW QUESTION # 73

The disclosure of a licensed body's legal status, including the fact that it is licensed by the Authority, is important because:

- A. it allows third party firms to use, utilise, or copy the Authority's logo for any reason and this reassures clients
- B. it ensures that no clients suffer from perceived or actual misbehaviour at the hands of a firm which is regulated
- C. **it enables those that might suffer from perceived or actual misbehaviour at the hands of a firm to raise their concerns with the regulator**
- D. it forces firms to disclose their regulatory status and that they are subject to the Authority's control and supervision

Answer: C

Explanation:

Disclosing a licensed body's legal status and its licensing by the Authority is crucial because it enables clients and others who may suffer from perceived or actual misbehaviour to raise their concerns with the regulator.

This transparency mechanism empowers investors and market participants to seek redress and promotes regulatory oversight. While the disclosure also signifies the firm's subjection to regulatory supervision, the primary benefit is facilitating complaint handling and

protection. It does not imply that no misbehaviour occurs, nor does it authorize the unauthorised use of the Authority's branding by third parties.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Regulatory Disclosure, Section 4.1.8 (2023).

NEW QUESTION # 74

The compliance regulation guide, submitted by an applicant for a license from the Authority, must set out procedures and mechanisms which will ensure that the compliance officer:

- A. is able to suspend operations in an emergency
- B. can report confidentially to the regulator
- C. can appoint a deputy during an unplanned absence
- D. **has access to sufficient resources**

Answer: D

Explanation:

Per CISI UAE Financial Rules and Regulations, the compliance regulation guide submitted by licensing applicants must include procedures and mechanisms that ensure the compliance officer has access to sufficient resources. Adequate resources are critical for the compliance officer to effectively oversee adherence to regulatory requirements, manage risks, and implement compliance programs. This includes staffing, technology, training, and authority necessary to fulfill the role's responsibilities. While emergency powers or deputizing may be operationally important, the regulations emphasize resource adequacy as a fundamental compliance enabler.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Compliance Officer Requirements, Section 3.3.6 (2023).

NEW QUESTION # 75

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

- A. **AED 100 million**
- B. AED 50 million
- C. AED 30 million
- D. AED 150 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 # 76

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