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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q100-Q105):

NEW QUESTION # 100

A public joint-stock company is automatically prevented by the regulations from executing a buyback transaction if it:

- A. issued shares in a public offer in the last six months
- B. has been designated a company of State importance
- C. is formally classed as an insurance company
- D. was incorporated in the last three years

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, a public joint-stock company is automatically barred from executing a buyback transaction if it issued shares in a public offer in the last six months. This regulatory restriction is designed to prevent market manipulation and protect shareholders' interests by ensuring sufficient market stability following a new share issuance. Buybacks shortly after public offerings could distort share prices or unfairly affect market liquidity. Other conditions like being an insurance company or state-designated firm do not automatically preclude buybacks under these regulations. This rule aligns with international corporate governance best practices governing share repurchases.

Reference: CISI UAE Financial Rules and Regulations - Share Buyback Rules, Section 5.4.7 (2023).

NEW QUESTION # 101

Where a local investment fund is established by an entity licensed to conduct family investment management, what minimum proportion of the units must be owned by family members?

- A. 51%
- B. 75%
- C. 100%
- D. 90%

Answer: D

Explanation:

CISI UAE Financial Rules and Regulations specify that when a local investment fund is established by an entity licensed for family investment management, at least 90% of the fund units must be owned by family members. This high ownership threshold ensures that the fund serves its intended purpose as a family investment vehicle, restricting external investor participation. The rule protects the fund's family-oriented investment strategy, governance, and compliance with related regulatory provisions. It also aligns with the regulatory framework promoting transparency and proper segmentation of family investment funds in the UAE financial markets.

Reference: CISI UAE Financial Rules and Regulations - Family Investment Management Funds, Ownership Requirements, Section 6.6.5 (2023).

NEW QUESTION # 102

For all local funds, a semi-annual report on the public fund's performance must be prepared no later than:

- A. 30 days from the end of the financial year
- B. 2 months from the end of the semi-annual period
- C. 2 months from the end of the financial year
- D. 45 days from the end of the semi-annual period

Answer: B

Explanation:

Per CISI UAE Financial Rules and Regulations governing investment funds, a semi-annual report on the public fund's performance must be prepared no later than 2 months from the end of the semi-annual period.

This reporting timeline ensures timely disclosure to investors and regulators, providing transparency about fund performance,

investment activities, and compliance with regulatory standards. The semi-annual report serves as a key accountability mechanism, enabling investors to make informed decisions and maintain confidence in the fund management. The requirement for a two-month deadline aligns with global best practices in fund reporting.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Reporting Requirements, Section 6.5.4 (2023).

NEW QUESTION # 103

Which of the following features of a previous order can be changed with the order remaining valid?

- A. Share category
- B. Market
- C. Volume
- D. Order type

Answer: C

Explanation:

In UAE financial markets, certain order attributes can be modified after submission while keeping the order active. According to the CISI UAE Financial Rules and Regulations on Trading, the volume of a previous order is the feature that can be changed without invalidating the order. Adjusting volume allows traders to increase or decrease the quantity of securities to be traded without withdrawing and resubmitting the order.

However, changes to share category, market, or order type typically require cancellation of the existing order and placing a new one, as these changes affect the fundamental nature and execution venue of the order. This flexibility in modifying volume supports market efficiency and helps traders respond swiftly to changing conditions while maintaining order validity.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Modifications, Section 7.1.5 (2023).

NEW QUESTION # 104

Where a client is a legal person, the customer due diligence obligations require verification of identity for any natural persons holding what minimum controlling ownership interest?

- A. 10%
- B. 51%
- C. 25%
- D. 3%

Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, when the client is a legal person, customer due diligence (CDD) requires verification of identity for any natural person holding a minimum controlling ownership interest of 25%. This threshold identifies beneficial owners who have significant influence or control over the legal entity. Verifying these individuals is critical for AML/CTF compliance to prevent misuse of corporate vehicles for illicit purposes. The 25% figure aligns with international standards such as FATF recommendations and ensures that regulatory scrutiny extends beyond the legal entity to its key controllers.

Reference: CISI UAE Financial Rules and Regulations - Client Due Diligence, Beneficial Ownership Verification, Section 8.1.4 (2023).

NEW QUESTION # 105

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