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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q27-Q32):

NEW QUESTION # 27

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

- A. the client's ability to bear any risks and losses
- B. the extent to which the author is qualified to make this judgement
- C. whether or not the client has accepted this guidance
- D. why the next best product or service was disregarded

Answer: A

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 # 28

A public real estate investment fund must distribute at least what percentage of the achieved net profits every year, to the holders of its units?

- A. 50%
- B. 80%
- C. 100%
- D. 75%

Answer: B

Explanation:

The CISI UAE Financial Rules and Regulations specify that public real estate investment funds are mandated to distribute a minimum of 80% of their achieved net profits annually to unit holders. This distribution requirement ensures that investors receive regular income from the fund's operations, promoting investor confidence and fairness. It also aligns with the principle of pass-through taxation and transparency in fund performance. The regulation balances income distribution with fund sustainability, allowing the retention of a portion of profits for operational needs and growth.

Reference: CISI UAE Financial Rules and Regulations - Real Estate Investment Funds, Profit Distribution Requirements, Section 6.7.2 (2023).

NEW QUESTION # 29

Which of the following is an administrative penalty that can be imposed on financial institutions that violate the law and regulations in relation to money laundering and terrorism financing?

- A. A penalty of no less than AED 5,000 and no more than AED 1,000,000 for each violation
- B. A penalty of no less than AED 15,000 and no more than AED 5,000,000 for each violation
- C. A penalty of no less than AED 50,000 and no more than AED 5,000,000 for each violation
- D. A penalty of no less than AED 100,000 and no more than AED 10,000,000 for each violation

Answer: C

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, financial institutions that violate anti-money laundering (AML) and counter-terrorism financing (CTF) laws may be subjected to administrative penalties ranging from no less than AED 50,000 and no more than AED 5,000,000 for each violation. These substantial fines underscore the UAE's commitment to stringent AML/CTF enforcement and deterrence. Administrative penalties are imposed alongside other measures such as corrective actions and possible criminal sanctions, ensuring comprehensive regulatory oversight.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.4 (2023).

NEW QUESTION # 30

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 # 31

The minimum price movement for a West Texas Intermediate (WTI) Light Sweet Oil Futures contract is:

- A. US\$ 25 per barrel
- B. US\$ 100 per barrel
- **C. US\$ 0.01 per barrel**
- D. US\$ 1 per barrel

Answer: C

Explanation:

The minimum price movement for a West Texas Intermediate (WTI) Light Sweet Oil Futures contract is 0.01 per barrel. This means that the price can move in increments of 1 cent per barrel, which is standard for most futures contracts of this type. The minimum price movement allows for a high degree of price discovery and liquidity in the market, as traders can make smaller adjustments to their positions. This is a crucial aspect of trading in commodities, where price fluctuations can have significant financial implications.

Reference: CISI UAE Financial Rules and Regulations - WTI Light Sweet Oil Futures, Section 7.2.1 (2023).

NEW QUESTION # 32

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