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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q24-Q29):

NEW QUESTION # 24

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

Answer: D

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 # 25

Where a financial analyst wants to conduct a personal transaction which relates to investment research being undertaken, what additional requirement is normally imposed?

- A. Signing of a non-conflict disclaimer
- **B. Approval from the firm's legal or compliance department**
- C. Approval from the Authority or Central Bank
- D. Signing of a guarantee undertaking

Answer: B

Explanation:

When a financial analyst wishes to conduct a personal transaction that is related to ongoing investment research, the approval from the firm's legal or compliance department is typically required. This additional requirement helps ensure that there is no conflict of interest and that the analyst's personal transactions do not interfere with their professional duties or the integrity of the research process. The compliance department will review the transaction to ensure it adheres to the firm's internal policies and regulatory requirements, thus safeguarding the analyst's objectivity and maintaining the credibility of the investment research.

Reference: CISI UAE Financial Rules and Regulations - Personal Transaction Requirements for Financial Analysts, Section 9.3.4 (2023).

NEW QUESTION # 26

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 one business day 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 two business days 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 # 27

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

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

Answer: D

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 # 28

A real estate investment fund may borrow no more than what percentage of its total assets value?

- A. 10%
- **B. 50%**
- C. 75%
- D. 25%

Answer: B

Explanation:

According to the CISI UAE Financial Rules and Regulations, real estate investment funds are subject to borrowing limits to ensure financial stability and prevent excessive leverage. A real estate investment fund may borrow no more than 50% of its total assets value. This limit helps mitigate the risks associated with high levels of debt and ensures that the fund remains adequately capitalized to handle fluctuations in the real estate market. By restricting the borrowing capacity, the regulations aim to protect investors and ensure the fund's long-term sustainability.

Reference: CISI UAE Financial Rules and Regulations - Borrowing Limits for Real Estate Investment Funds, Section 6.1.5 (2023).

NEW QUESTION # 29

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