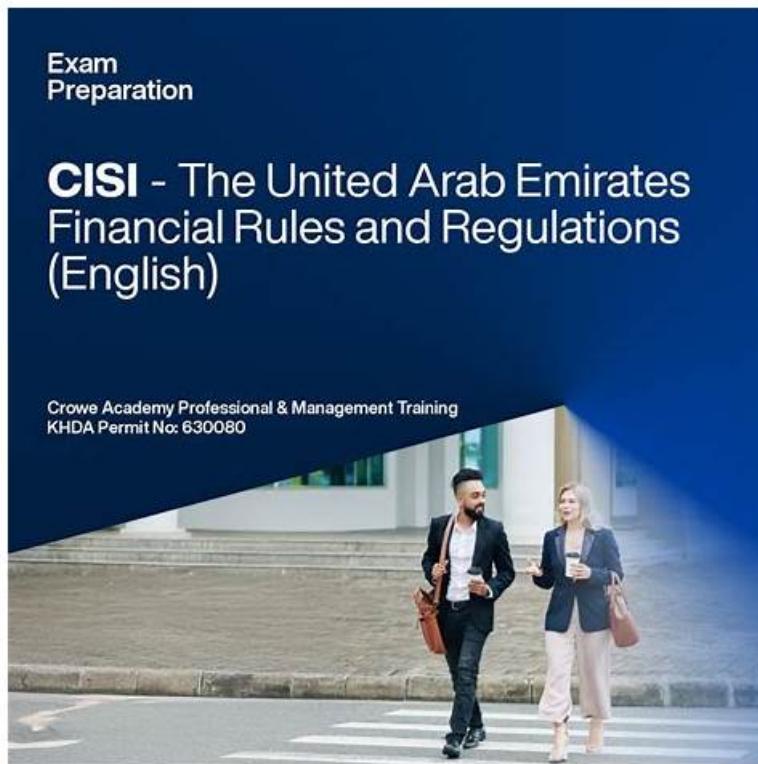


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q40-Q45):

NEW QUESTION # 40

If in-kind shares are provided when the fund is founded; if the subscription fails and there is no special agreement, who would bear the expenses?

- A. Auditors
- **B. Founders**
- C. Evaluators
- D. Share providers

Answer: B

Explanation:

According to CISI UAE Financial Rules and Regulations, when in-kind shares are provided at fund inception and the subscription fails, the founders bear the related expenses in the absence of any special agreement. This allocation reflects the founders' responsibility in establishing and capitalizing the fund and absorbing initial setup costs, including those related to failed subscriptions. Share providers, auditors, or evaluators are not typically liable for such expenses unless contractual terms explicitly assign such responsibility. This regulatory stance encourages clarity and accountability in fund founding arrangements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Incorporation and Expense Allocation, Section 6.2.11 (2023).

NEW QUESTION # 41

An obligor with a retail primary listing of Sukuk immediately notified the Authority when one of its board directors was replaced. Why was the obligor considered to be in breach of its continuing obligations?

- A. The new director had less than 5 years' experience
- **B. The obligor failed to also notify the market**
- C. The new director held a foreign passport
- D. The obligor failed to give 14 days' notice

Answer: B

Explanation:

Under the CISI UAE Financial Rules and Regulations governing Sukuk issuers with retail primary listings, obligors have continuing disclosure obligations designed to ensure transparency and maintain investor confidence. While immediate notification to the Authority is necessary, the obligor must also notify the market to keep all stakeholders informed promptly. Failure to inform the market simultaneously constitutes a breach, as investors rely on timely and complete information to make decisions. This dual-notification requirement is critical to ensure fairness and prevent information asymmetry. The nature of the new director's passport or experience is not the determining factor; rather, it is the procedural omission of market notification that constitutes the breach.

Reference: CISI UAE Financial Rules and Regulations - Continuing Obligations for Sukuk Issuers, Section 5.7.3 (2023).

NEW QUESTION # 42

Each licence applicant must submit a risk management guide that includes:

- **A. development and implementation of policies and procedures**
- B. the mechanisms required to enable the compliance officer to have access to sufficient resources
- C. the procedures and mechanisms required to enable the internal auditor to act independently
- D. the procedures and mechanisms that ensure that the responsible officer shall have access to all records

Answer: A

Explanation:

In the UAE regulatory framework, every licence applicant is mandated to provide a comprehensive risk management guide. As per CISI UAE Financial Rules and Regulations, this guide must explicitly address the development and implementation of policies and

procedures to identify, assess, monitor, and mitigate risks within the licensed entity. This requirement ensures that firms proactively manage financial, operational, and compliance risks, safeguarding market integrity and client interests. While other governance and compliance mechanisms such as compliance officer resources and internal auditor independence are important, the risk management guide specifically focuses on how the firm establishes and enforces risk-related policies and procedures. This foundational element of risk governance demonstrates the applicant's readiness and capability to operate safely within the UAE financial markets.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, Risk Management Requirements, Section 3.2.7 (2023).

NEW QUESTION # 43

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

Answer: B

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 # 44

An applicant for a license from the Authority has submitted a feasibility study and work plan. What method will be used to evaluate this?

- A. An operational risk matrix
- B. Comparison with the same sector
- C. **SWOT analysis**
- D. A stress testing exercise

Answer: C

Explanation:

CISI UAE Financial Rules and Regulations require that feasibility studies and work plans submitted by licence applicants be evaluated using a SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats).

This comprehensive method assesses the internal and external factors affecting the viability and strategic positioning of the applicant's business plan. The SWOT analysis helps regulators understand the applicant's operational readiness, competitive environment, risk exposures, and growth potential, ensuring robust due diligence before licensing. Other methods such as operational risk matrices or stress testing may be used in broader risk assessments but are not the primary evaluation tool for feasibility studies.

Reference: CISI UAE Financial Rules and Regulations - Licensing Procedures and Evaluation, Section 3.6.2 (2023).

NEW QUESTION # 45

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