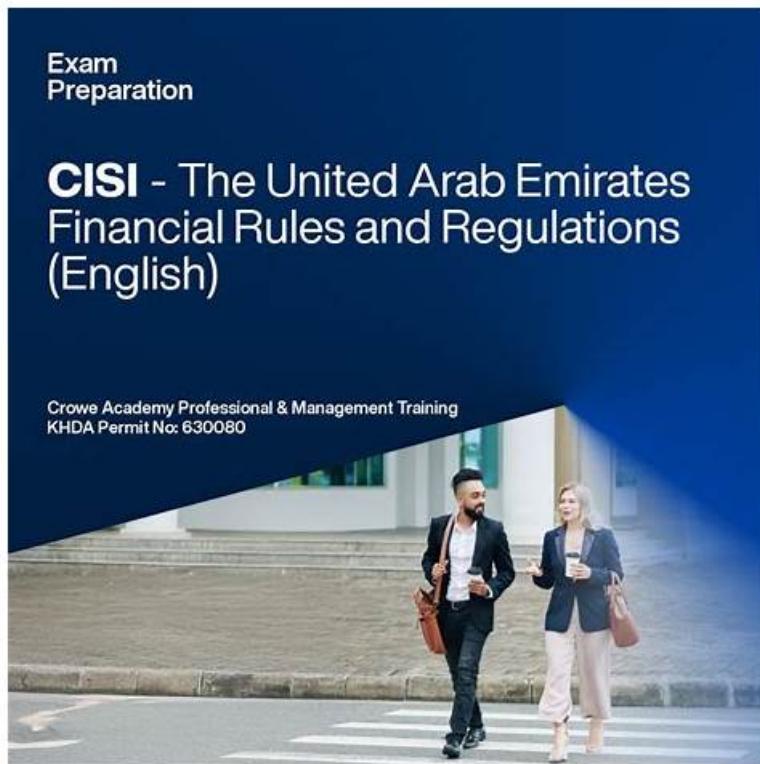


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q10-Q15):

NEW QUESTION # 10

In order for the contents of a financial promotion which quotes yield figures to satisfy the clear, fair, and not misleading rule, it should:

- A. give a balanced impression of both short and long term prospects
- B. ensure all monetary examples are calculated to at least two decimal places
- C. make the promotion available simultaneously in printed form and online
- D. always assume the communication is intended for a retail client

Answer: A

Explanation:

For a financial promotion that quotes yield figures to comply with the clear, fair, and not misleading rule, it must give a balanced impression of both short and long term prospects. This ensures that the promotion does not mislead the client by focusing too heavily on short-term returns or exaggerating long-term performance. A balanced presentation of both short and long-term outcomes is essential for providing a full, accurate picture of the investment, allowing clients to make informed decisions. This approach aligns with the principles of transparency and fairness that underpin financial regulation.

Reference: CISI UAE Financial Rules and Regulations - Financial Promotions and Yield Quotes, Section 5.2.3 (2023).

NEW QUESTION # 11

Why might employees in one part of a regulated business be permitted to withhold information from employees in another part of the business?

- A. Strict privacy of client information
- B. Prevention of insider trading
- C. To comply with a Chinese wall
- D. At the request of the audit function

Answer: C

Explanation:

CISI UAE Financial Rules and Regulations recognize the concept of a Chinese wall, which permits employees in one part of a regulated business to withhold certain information from employees in other parts.

This internal information barrier is designed to prevent conflicts of interest and insider trading by restricting the flow of sensitive or non-public information between departments. By implementing Chinese walls, firms ensure compliance with legal and regulatory requirements, uphold market integrity, and protect client interests. While audit requests and privacy concerns are valid, the primary regulatory rationale for withholding information internally is to maintain effective Chinese walls.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Information Barriers, Section 3.4.10 (2023).

NEW QUESTION # 12

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

Answer: A

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 # 13

If an existing company wants to offer shares after conversion into a public joint-stock company, it must have released audited

financial statements for what minimum number of fiscal years prior to the request to offer shares?

- A. Three
- B. Two
- C. Four
- D. Five

Answer: A

Explanation:

For a company wishing to offer shares after converting into a public joint-stock company, it must have released audited financial statements for a minimum of three fiscal years prior to the request to offer shares.

This requirement ensures that the company has a solid track record of financial performance and transparency, which is essential for potential investors to evaluate the company's viability and financial health. The three- year period provides enough historical data to assess trends and make informed investment decisions, supporting market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Requirements for Public Offerings, Section 4.2.3 (2023).

NEW QUESTION # 14

Why would a transaction to purchase securities be declared null and void?

- A. The individual is a former employee
- B. The Authority has levied a penalty for delay of payment
- C. It was the result of a rumour being spread
- D. The investor has a conviction of an offence of dishonour

Answer: C

Explanation:

A transaction to purchase securities could be declared null and void if it was the result of a rumour being spread. According to the CISI UAE Financial Rules and Regulations, transactions based on market manipulation, misinformation, or rumors that mislead investors and distort the market are considered invalid.

The integrity of the financial markets depends on transparency and the accuracy of the information that drives trading decisions. Therefore, if a transaction is found to have been influenced by rumors, it could be declared void to maintain fairness and prevent manipulative practices.

Reference: CISI UAE Financial Rules and Regulations - Market Manipulation and Invalid Transactions, Section 6.3.2 (2023).

NEW QUESTION # 15

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