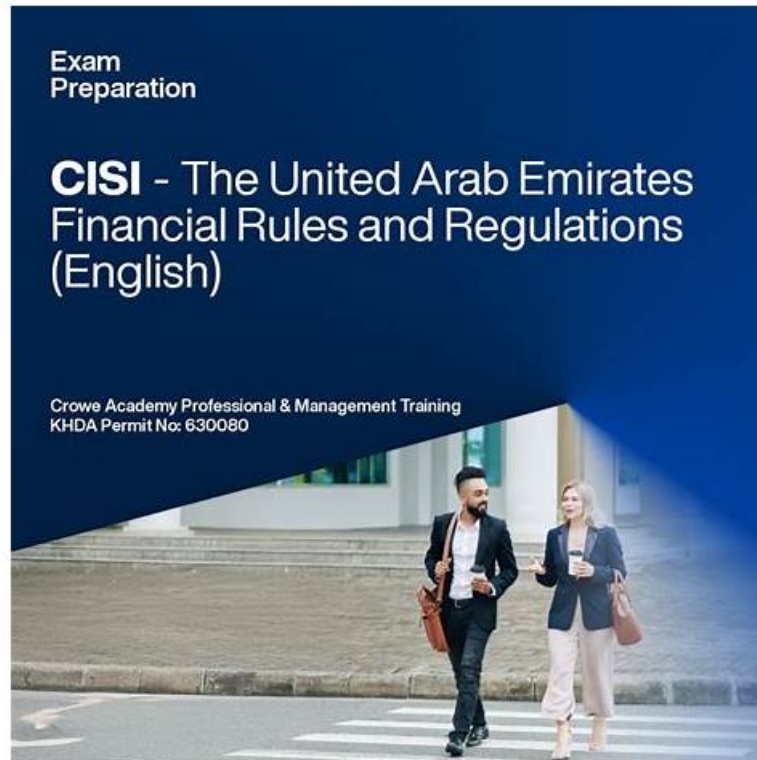


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q78-Q83):

NEW QUESTION # 78

When debt securities are offered through a public subscription, the offeror will be required to announce any replacement of the trustee:

- A. within a maximum of 72 hours
- B. immediately
- C. within a maximum of 48 hours
- D. after 5 working days

Answer: A

Explanation:

CISI UAE Financial Rules and Regulations stipulate that for debt securities issued via public subscription, the offeror must announce any replacement of the trustee within a maximum of 72 hours. Prompt notification ensures transparency, allowing investors to be informed about key custodial and fiduciary changes that may affect the security's management and enforcement of rights. Delays beyond this period could impact investor confidence and violate continuous disclosure requirements, thus the 72-hour timeframe strikes a balance between operational feasibility and timely communication.

Reference: CISI UAE Financial Rules and Regulations - Debt Securities Public Offers and Trustee Notifications, Section 5.8.6 (2023).

NEW QUESTION # 79

The Authority will only grant a licence to operate a crypto fundraising platform in the UAE if the applicant is a legal person in the form of:

- A. an exchange licensed by a market in the UAE
- B. a sophisticated trader or a qualified investor
- C. an exchange licensed by the Authority in the UAE
- D. a company incorporated under Shariah law

Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, the Securities and Commodities Authority (SCA) grants licences to operate crypto fundraising platforms only to legal persons that are exchanges licensed by the Authority within the UAE. This ensures that the entity has the appropriate regulatory oversight, infrastructure, and governance aligned with UAE financial laws. Sophisticated traders or qualified investors, as well as companies incorporated under Shariah law, do not meet the legal entity criteria for such licencing.

The requirement guarantees that fundraising platforms operate within a controlled and transparent environment, protecting investors and maintaining market integrity.

Reference: CISI UAE Financial Rules and Regulations - Crypto Asset Platforms Licensing, Section 7.1.5 (2023).

NEW QUESTION # 80

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. whether or not the client has accepted this guidance
- C. why the next best product or service was disregarded
- D. the extent to which the author is qualified to make this judgement

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 # 81

The policies of a firm applying for a financial activities licence must include arrangements to provide a copy of its complaints handling procedure to clients:

- A. within 48 hours of accepting the client
- B. within 24 hours of accepting the client
- C. on request
- D. on receipt of a complaint

Answer: C

Explanation:

Under the CISI UAE Financial Rules and Regulations, firms applying for a financial activities licence are required to have formal policies addressing client protection, including clear complaints handling procedures.

Such firms must make these procedures available to clients on request, ensuring transparency and accessibility without imposing undue burden on clients or firms. The regulatory framework does not mandate automatic distribution within fixed timeframes upon client acceptance or complaint receipt but emphasizes accessibility and prompt responsiveness when clients seek the information. This approach balances operational feasibility and client rights to be informed about how their complaints will be managed. Providing the procedure upon request also fosters a trust-based relationship and helps resolve disputes effectively.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Complaints Handling, Section 4.2.7 (2023).

NEW QUESTION # 82

Which of the following is a sanction available to the Authority in the event of a violation of its provisions?

- A. Suspend the licensed body for a period of two years
- B. Impose a financial fine of not more than AED 100,000
- C. Impose a financial fine of not less than AED 100,000
- D. Suspend any financial activity practised during an investigation

Answer: C

Explanation:

The CISI UAE Financial Rules and Regulations empower the Authority to impose financial fines of not less than AED 100,000 on licensed entities or persons found in violation of regulatory provisions. This minimum fine serves as a deterrent and underscores the regulator's authority to enforce compliance. While suspension of licensed bodies or activities can be imposed in some cases, the standard and frequently applied sanction is the financial penalty starting from AED 100,000. The Authority's sanctions framework ensures robust regulatory oversight and promotes adherence to UAE financial laws.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Sanctions and Penalties, Section 2.6.4 (2023).

NEW QUESTION # 83

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