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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q45-Q50):

### NEW QUESTION # 45

When collecting data from official authorities, evaluators of investment fund in-kind shares are required to abide by the principles of honesty, justice and:

- A. governance

- B. confidentiality
- C. equality
- D. prudence

**Answer: B**

Explanation:

Evaluators of in-kind shares for investment funds must adhere to key ethical principles including honesty, justice, and confidentiality when collecting data from official authorities. Confidentiality ensures sensitive information obtained during valuation processes is protected against unauthorized disclosure, preserving trust and compliance with legal requirements. This principle complements honesty and justice by maintaining the integrity of the evaluation process and protecting the interests of the fund and its investors. Governance, equality, and prudence are important but not the specifically mandated principles in this context.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Valuation and Ethical Standards, Section 6.2.9 (2023).

**NEW QUESTION # 46**

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

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

**Answer: B**

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 # 47**

Under what circumstances must licensed entities provide the Authority with copies of appropriateness reports issued to clients?

- A. Routinely on a monthly basis
- B. Only if a complaint is made
- C. Routinely on a quarterly basis
- D. Only if requested by them to do so

**Answer: D**

Explanation:

Licensed entities in the UAE financial sector, under the supervision of the Securities and Commodities Authority (SCA), are required to maintain and provide documents related to client interactions and suitability assessments when requested by the Authority.

According to the CISI UAE Financial Rules and Regulations, appropriateness reports- used to assess whether certain financial products or services are suitable for clients- are not routinely submitted on a monthly or quarterly basis unless specifically demanded. Instead, the responsibility lies with the licensed entity to retain these reports and submit copies only upon explicit request by the Authority or in case of regulatory investigations. This ensures a balanced approach between regulatory oversight and operational efficiency. The rationale is to allow the Authority to conduct targeted reviews while minimizing administrative burdens on firms, thus enabling a focused compliance regime that protects client interests without unnecessary procedural overload. This is aligned with the regulatory framework designed to ensure transparency, investor protection, and market integrity in the UAE.

Reference: CISI UAE Financial Rules and Regulations Study Guide, Section on Client Protection - Obligations of Licensed Entities Regarding Appropriateness Reports, SCA Compliance Guidelines 2023.

**NEW QUESTION # 48**

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

**Answer: D**

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 # 49**

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. why the next best product or service was disregarded
- C. whether or not the client has accepted this guidance
- 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 # 50**

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