

CISI - UAE-Financial-Rules-and-Regulations - CISI UAE Financial Rules and Regulations Exam—Efficient Exam Questions Vce



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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q50-Q55):

NEW QUESTION # 50

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 two business days of receipt
- C. Deposit not less than 90% of the public subscription proceeds within two business days of receipt
- **D. Deposit not less than 100% of the public subscription proceeds within one business day of receipt**

Answer: D

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 # 51

Establishing a local investment fund requires the approval of the Authority, for a public fund this will either be granted or rejected within:

- A. 5 working days
- B. 10 working days
- C. 30 working days
- **D. 20 working days**

Answer: D

Explanation:

According to the CISI UAE Financial Rules and Regulations, the process for establishing a local investment fund, including a public fund, involves obtaining approval from the relevant regulatory authority, which is usually the Securities and Commodities Authority (SCA). For public funds, the authority is required to either grant or reject the application within 20 working days from the submission date. This time frame ensures that there is adequate time for the Authority to review the application, conduct necessary evaluations, and ensure that the fund complies with all regulatory and legal requirements. The 20-working-day period ensures efficiency while allowing for a thorough review.

Reference: CISI UAE Financial Rules and Regulations - Investment Fund Establishment Process, Section 6.2.1 (2023).

NEW QUESTION # 52

A public joint-stock company is automatically prevented by the regulations from executing a buyback transaction if it:

- A. has been designated a company of State importance
- B. was incorporated in the last three years
- **C. issued shares in a public offer in the last six months**
- D. is formally classed as an insurance company

Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, a public joint-stock company is automatically barred from executing a buyback transaction if it issued shares in a public offer in the last six months. This regulatory restriction is designed to prevent market manipulation and protect shareholders' interests by ensuring sufficient market stability following a new share issuance. Buybacks shortly after public offerings could distort share prices or unfairly affect market liquidity. Other conditions like being an insurance company or state-designated firm do not automatically preclude buybacks under these regulations. This rule aligns with international corporate governance best practices governing share repurchases.

Reference: CISI UAE Financial Rules and Regulations - Share Buyback Rules, Section 5.4.7 (2023).

NEW QUESTION # 53

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

Answer: C

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 # 54

In which circumstances might lawyers, notary publics, other legal stakeholders and independent legal auditors be exempt from suspicious transaction reporting requirements?

- **A. When providing legal opinion with regards to legal proceedings**
- B. When advising on financial transactions for politically exposed persons
- C. When providing services relating to beneficiaries of insurance policies
- D. When conducting real estate transactions within the UAE

Answer: A

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, lawyers, notary publics, and other legal professionals may be exempt from suspicious transaction reporting requirements when providing legal opinions related to legal proceedings. This exemption recognizes the privileged nature of legal advice and the confidentiality inherent in legal representation. However, when these professionals engage in financial or transactional activities outside the scope of legal proceedings, such as advising on financial transactions or real estate deals, they must comply with reporting obligations to prevent money laundering. The exemption balances legal professional privilege with AML/CTF requirements.

Reference: CISI UAE Financial Rules and Regulations - AML Exemptions for Legal Professionals, Section 8.3.1 (2023).

NEW QUESTION # 55

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