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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q21-Q26):

NEW QUESTION # 21

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. equality
- **B. confidentiality**
- C. governance
- 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 # 22

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. Share providers
- C. Evaluators
- **D. Founders**

Answer: D

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 # 23

A firm offering custody, clearing and recording, is required to have a minimum paid-up capital of:

- A. AED 50 million
- **B. AED 100 million**
- C. AED 150 million
- D. AED 30 million

Answer: B

Explanation:

As per the CISI UAE Financial Rules and Regulations, firms involved in custody, clearing, and recording services must have a minimum paid-up capital of AED 100 million. This capital requirement ensures that firms in this category have sufficient financial resources to manage the risks associated with their operations, which include handling clients' assets, ensuring compliance with financial regulations, and absorbing potential operational or financial losses. The higher capital threshold also enhances the stability and credibility of such firms, making them more resilient to market fluctuations and operational challenges.

Reference: CISI UAE Financial Rules and Regulations - Capital Requirements for Custody, Clearing, and Recording Firms, Section 7.3.2 (2023).

NEW QUESTION # 24

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 24 hours of accepting the client
- B. within 48 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 # 25

The approved job for conducting securities dealing is:

- A. Broker Representative
- B. Operations Manager
- C. Trading Manager
- D. Category Manager

Answer: A

Explanation:

In the CISI UAE Financial Rules and Regulations, the role formally authorized to conduct securities dealing is that of a Broker Representative. This role is specifically licensed and trained to execute trades on behalf of clients and manage securities transactions within regulatory frameworks. Other positions like Trading Manager or Operations Manager have important but different operational and supervisory functions and do not directly engage in client securities dealing. The Broker Representative's licensing ensures adherence to professional standards, client protection, and market integrity.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles, Section 3.1.9 (2023).

NEW QUESTION # 26

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