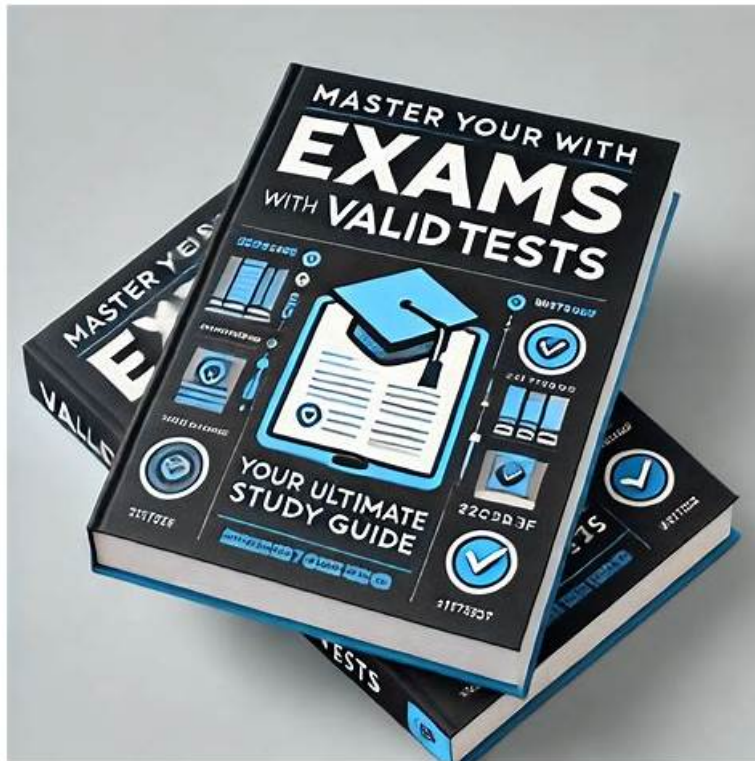


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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q80-Q85):

### NEW QUESTION # 80

Firms providing investment management services must provide periodic statements to retail clients, in normal circumstances at least every:

- A. month
- B. 12 months
- C. 3 months
- **D. 6 months**

**Answer: D**

Explanation:

The CISI UAE Financial Rules and Regulations require that firms offering investment management services deliver periodic statements to retail clients at least every 6 months under normal circumstances. This frequency strikes a balance between providing clients with timely updates on their investments and operational practicality for firms. The statements include performance, transaction details, fees, and holdings, enabling retail clients to monitor their portfolios and make informed decisions. More frequent reporting may be required in special situations, but semi-annual reporting is the standard minimum.

Reference: CISI UAE Financial Rules and Regulations - Client Reporting Requirements, Section 4.5.3 (2023).

### NEW QUESTION # 81

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

**Answer: B**

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 # 82

The minimum paid-up capital requirement for ranking and advice firms is:

- A. none
- B. AED 50 million
- C. AED 30 million
- **D. AED 5 million**

**Answer: D**

Explanation:

Under CISI UAE Financial Rules and Regulations, firms offering ranking and advisory services in the financial sector must meet a minimum paid-up capital requirement of AED 5 million. This capital threshold ensures that such firms have sufficient financial resources to maintain operational stability, manage risks, and fulfill regulatory obligations. It also reflects the level of responsibility these firms carry in providing investment advice and rankings that impact market participants. Higher capital requirements apply to more systemically significant entities, but the AED 5 million benchmark balances accessibility and prudence for ranking and advice firms.

Reference: CISI UAE Financial Rules and Regulations - Licensing Capital Requirements, Section 3.2.5 (2023).

#### NEW QUESTION # 83

What proportion of the market value of securities owned by a brokerage company are used to increase the value of its guarantee?

- A. 60%
- **B. 70%**
- C. 50%
- D. 80%

**Answer: B**

Explanation:

According to CISI UAE Financial Rules and Regulations, brokerage companies must use 70% of the market value of securities they own to increase the value of their guarantee. This guarantee acts as a financial safeguard to ensure the firm's stability and protect clients and counterparties against default risk. The 70% proportion strikes a balance between maximizing the leverage of owned securities and maintaining prudent risk management. It reflects the regulatory emphasis on requiring sufficient collateral and guarantees to support brokerage operations, maintaining market confidence and financial soundness within the UAE capital markets. Reference: CISI UAE Financial Rules and Regulations - Brokerage Firms Guarantees, Section 3.3.9 (2023).

#### NEW QUESTION # 84

The effectiveness of a financial institution's internal policies, controls and procedures to combat money laundering must be tested by:

- A. the audit committee
- **B. an independent audit function**
- C. regular operational resilience exercises
- D. external consultants

**Answer: B**

Explanation:

Under the UAE Anti-Money Laundering (AML) laws and regulations, financial institutions are required to periodically test the effectiveness of their internal policies, controls, and procedures designed to combat money laundering. The independent audit function is specifically responsible for testing and evaluating these AML frameworks. The independent auditor must assess whether the institution's systems and procedures effectively detect, prevent, and report suspicious transactions and activities. This audit ensures that the policies are up-to-date, comprehensive, and compliant with both local and international standards. Regular audits provide an additional layer of scrutiny, ensuring that financial institutions can demonstrate their commitment to preventing money laundering and terrorist financing.

Reference: CISI UAE Financial Rules and Regulations - AML Testing and Audits, Section 9.5.2 (2023).

#### NEW QUESTION # 85

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