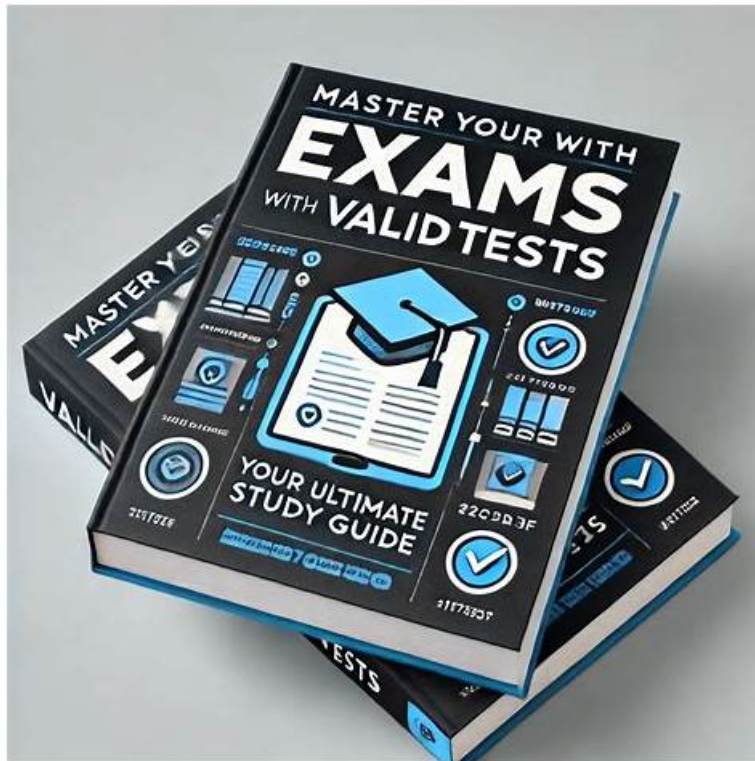


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q31-Q36):

NEW QUESTION # 31

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. prudence
- D. governance

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 # 32

Where self-fund founders intend to accept in-kind shares, the fund prospectus must state whether these shares:

- **A. are consistent with the fund's investment strategy**
- B. will be held as capital assets of the fund
- C. are to be valued subjectively
- D. may subsequently be disposed of

Answer: A

Explanation:

For self-funded founders accepting in-kind shares into a fund, the CISI UAE Financial Rules and Regulations require that the fund prospectus clearly state whether such shares are consistent with the fund's investment strategy. This ensures transparency for investors regarding the nature and suitability of the assets held within the fund. Declaring consistency with the investment strategy helps investors assess the fund's objectives and risk profile accurately. Other details like valuation and disposal are important but the primary disclosure focus is on strategic alignment to maintain trust and regulatory compliance. This requirement underscores the importance of fund governance and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds, Fund Prospectus Requirements, Section 6.2.4 (2023).

NEW QUESTION # 33

If a listed company faces accumulated losses of 50% or more of capital, what is required to happen?

- A. It is required to be audited more frequently
- B. Its shares are suspended for at least six months
- **C. It is moved from a first category listing to a second category of listing**
- D. It is moved from a second category listing to a first category of listing

Answer: C

Explanation:

If a listed company faces accumulated losses of 50% or more of its capital, the company is required to be moved from a first category listing to a second category of listing. This measure is designed to protect investors by ensuring that only financially stable companies remain in the primary listing category, which is subject to stricter regulatory oversight and higher investor expectations. The second category listing provides a lower level of visibility, which reflects the increased financial risks associated with such companies. This helps mitigate the potential impact on other market participants.

Reference: CISI UAE Financial Rules and Regulations - Listing Categories and Financial Health, Section 2.5.1 (2023).

NEW QUESTION # 34

DFM brokerage firms are required to ensure that employees have appropriate professional experience if they:

- A. are on full-time or substantial part-time contracts
- **B. are employed to deal with clients or on their behalf**
- C. are employed to operate an electronic trading or clearing system
- D. are new to the company or the industry

Answer: B

Explanation:

DFM brokerage firms are required to ensure that their employees have appropriate professional experience if they are employed to deal with clients or on their behalf. This is because employees interacting directly with clients must possess the necessary skills, knowledge, and experience to provide accurate information, manage client portfolios, and handle client transactions in compliance with regulatory standards. This ensures that clients are protected from potential mismanagement or malpractice and that the brokerage firm maintains a high standard of service.

Reference: CISI UAE Financial Rules and Regulations - Employee Competency Requirements for DFM Brokerage Firms, Section 7.2.1 (2023).

NEW QUESTION # 35

An applicant for a financial activities licence must have procedures in place to recover electronic records from the archive within what maximum period?

- **A. Three business days**
- B. Five business days
- C. Four calendar days
- D. Two calendar days

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, applicants for a financial activities licence must ensure that their record-keeping systems allow for recovery of electronic records from archives within a maximum period of three business days. This requirement ensures timely access to data necessary for audits, investigations, and regulatory reviews. The three-business-day timeframe balances operational feasibility with regulatory needs for responsiveness and data integrity, supporting transparency and compliance in the UAE financial sector.

Reference: CISI UAE Financial Rules and Regulations - Record-Keeping and Data Recovery Procedures, Section 3.5.10 (2023).

NEW QUESTION # 36

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