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## **CISI UAE Financial Rules and Regulations Exam Sample Questions (Q87-Q92):**

### **NEW QUESTION # 87**

When updating their money laundering compliance framework, firms involved in crypto assets are required to take into account the recommendations of which body?

- A. Bank for International Settlements
- B. United Nations Office on Drugs and Crime
- **C. Financial Action Task Force**
- D. World Bank

### **Answer: C**

Explanation:

Under the UAE's Anti-Money Laundering (AML) and Combating the Financing of Terrorism (CFT) framework, firms, including those involved in crypto assets, are required to align their compliance practices with international standards. The Financial Action Task Force (FATF) provides the global framework and recommendations to combat money laundering and terrorism financing. Firms must adhere to these recommendations to update and maintain their AML compliance programs effectively, ensuring that they remain in line with the best global practices and avoid involvement in illicit activities. The FATF's guidelines specifically address the risks posed by crypto assets and set standards for monitoring, reporting, and controlling potential misuse of such assets for money laundering purposes.

Reference: CISI UAE Financial Rules and Regulations - Anti-Money Laundering Framework and Crypto Assets, Section 9.2.4 (2023).

### **NEW QUESTION # 88**

Where a private equity fund is to be incorporated, the incorporation agreement must include a statement indicating:

- A. whether the limited partners can influence investment management
- B. who will be appointed auditor for the fund
- **C. who bears main responsibility for regulatory compliance**
- D. whether the investment management will be outsourced

### **Answer: C**

Explanation:

The CISI UAE Financial Rules and Regulations stipulate that the incorporation agreement for a private equity fund must clearly specify who bears main responsibility for regulatory compliance. This is essential to delineate accountability and ensure the fund operates within the legal framework set by UAE regulators.

Establishing regulatory responsibility clarifies oversight roles, risk management, and adherence to licensing and reporting obligations. While other elements such as auditor appointments or investment management arrangements are important, the regulatory framework specifically mandates the explicit allocation of compliance responsibility in the incorporation agreement to prevent ambiguity and promote sound governance. This ensures protection of investors and maintains fund integrity.

Reference: CISI UAE Financial Rules and Regulations - Private Equity Funds Incorporation, Section 6.1.9 (2023).

### **NEW QUESTION # 89**

An application submitted to the ADX by the brokerage company to enable it to supply E-Trading services will result in a decision to approve or reject the application within:

- A. 30 days
- **B. 5 days**

- C. 10 days
- D. 2 days

**Answer: B**

Explanation:

Brokerage firms seeking approval from the Abu Dhabi Securities Exchange (ADX) to offer E-Trading services are subject to a timely review process. According to the CISI UAE Financial Rules and Regulations, the ADX is required to make a decision to approve or reject such applications within 5 business days. This rapid response timeline ensures that brokers can efficiently begin offering E-Trading services to clients, which is crucial in today's fast-paced financial markets. By maintaining this short decision-making window, the ADX fosters an environment of operational efficiency and responsiveness, which supports both market development and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - E-Trading Approval Process, Section 10.4.1 (2023).

**NEW QUESTION # 90**

If a Special Purpose Acquisition Company fails to complete a business combination, measures to return the funds to investors must be taken within what maximum number of business days?

- A. 0
- B. 1
- C. 2
- **D. 3**

**Answer: D**

Explanation:

Under CISI UAE Financial Rules and Regulations, if a Special Purpose Acquisition Company (SPAC) does not complete a business combination within the stipulated timeframe, it must initiate measures to return the funds to investors within a maximum of 20 business days. This safeguard ensures that investors are not indefinitely exposed to risks related to unutilized capital in the SPAC, maintaining market discipline and investor protection. The regulations mandate clear timelines for fund returns to prevent misuse or undue delay, aligning with international SPAC best practices. Timely fund returns uphold investor confidence and market integrity, essential in the UAE's evolving financial landscape.

Reference: CISI UAE Financial Rules and Regulations - SPAC Regulations, Investor Protection and Fund Return, Section 6.3.8 (2023).

**NEW QUESTION # 91**

An obligor with a retail primary listing of Sukuk immediately notified the Authority when one of its board directors was replaced. Why was the obligor considered to be in breach of its continuing obligations?

- A. The new director had less than 5 years' experience
- B. The new director held a foreign passport
- C. The obligor failed to give 14 days' notice
- **D. The obligor failed to also notify the market**

**Answer: D**

Explanation:

Under the CISI UAE Financial Rules and Regulations governing Sukuk issuers with retail primary listings, obligors have continuing disclosure obligations designed to ensure transparency and maintain investor confidence. While immediate notification to the Authority is necessary, the obligor must also notify the market to keep all stakeholders informed promptly. Failure to inform the market simultaneously constitutes a breach, as investors rely on timely and complete information to make decisions. This dual-notification requirement is critical to ensure fairness and prevent information asymmetry. The nature of the new director's passport or experience is not the determining factor; rather, it is the procedural omission of market notification that constitutes the breach.

Reference: CISI UAE Financial Rules and Regulations - Continuing Obligations for Sukuk Issuers, Section 5.7.3 (2023).

**NEW QUESTION # 92**

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