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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q79-Q84):

NEW QUESTION # 79

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

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

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 # 80

A fund manager is considering investing in medium-term bonds, commercial papers, and deposit certificates.

Under the regulations, which of these can be held under a cash investment fund?

- A. Medium-term bonds, commercial papers and deposit certificates
- B. Medium-term bonds and commercial papers only
- C. Deposit certificates and medium-term bonds only
- **D. Commercial papers and deposit certificates only**

Answer: D

Explanation:

CISI UAE Financial Rules and Regulations define that cash investment funds may hold commercial papers and deposit certificates only. Medium-term bonds are typically excluded from cash funds as they have longer maturities and more interest rate risk, which conflicts with the liquidity and capital preservation objectives of cash funds. Commercial papers and deposit certificates, with their shorter maturities and high liquidity, are appropriate instruments for cash funds, providing stable, low-risk returns in line with regulatory requirements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Asset Eligibility, Section 6.4.3 (2023).

NEW QUESTION # 81

When debt securities are offered through a public subscription, the offeror will be required to announce any replacement of the trustee:

- A. immediately
- B. after 5 working days
- **C. within a maximum of 72 hours**
- D. within a maximum of 48 hours

Answer: C

Explanation:

CISI UAE Financial Rules and Regulations stipulate that for debt securities issued via public subscription, the offeror must announce any replacement of the trustee within a maximum of 72 hours. Prompt notification ensures transparency, allowing investors to be

informed about key custodial and fiduciary changes that may affect the security's management and enforcement of rights. Delays beyond this period could impact investor confidence and violate continuous disclosure requirements, thus the 72-hour timeframe strikes a balance between operational feasibility and timely communication.

Reference: CISI UAE Financial Rules and Regulations - Debt Securities Public Offers and Trustee Notifications, Section 5.8.6 (2023).

NEW QUESTION # 82

In order for the contents of a financial promotion which quotes yield figures to satisfy the clear, fair, and not misleading rule, it should:

- A. give a balanced impression of both short and long term prospects
- B. always assume the communication is intended for a retail client
- C. make the promotion available simultaneously in printed form and online
- D. ensure all monetary examples are calculated to at least two decimal places

Answer: A

Explanation:

For a financial promotion that quotes yield figures to comply with the clear, fair, and not misleading rule, it must give a balanced impression of both short and long term prospects. This ensures that the promotion does not mislead the client by focusing too heavily on short-term returns or exaggerating long-term performance. A balanced presentation of both short and long-term outcomes is essential for providing a full, accurate picture of the investment, allowing clients to make informed decisions. This approach aligns with the principles of transparency and fairness that underpin financial regulation.

Reference: CISI UAE Financial Rules and Regulations - Financial Promotions and Yield Quotes, Section 5.2.3 (2023).

NEW QUESTION # 83

Which of the following financial activities comes under the fifth category licence?

- A. Dealing in investments
- B. Credit rating agencies
- C. Arrangement and advice
- D. Dealing in securities

Answer: B

Explanation:

The fifth category licence under UAE financial regulations pertains specifically to credit rating agencies.

These entities assess the creditworthiness of issuers of debt, including governments and corporations, and their ratings are critical for investors and markets. The fifth category licence provides the legal framework for credit rating agencies to operate within the UAE's financial sector, ensuring they meet the regulatory standards and criteria set by the Securities and Commodities Authority (SCA). This helps ensure transparency, reliability, and trust in the credit ratings issued, which are vital for maintaining market stability and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - Financial Activities Licences, Section 4.2.1 (2023).

NEW QUESTION # 84

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