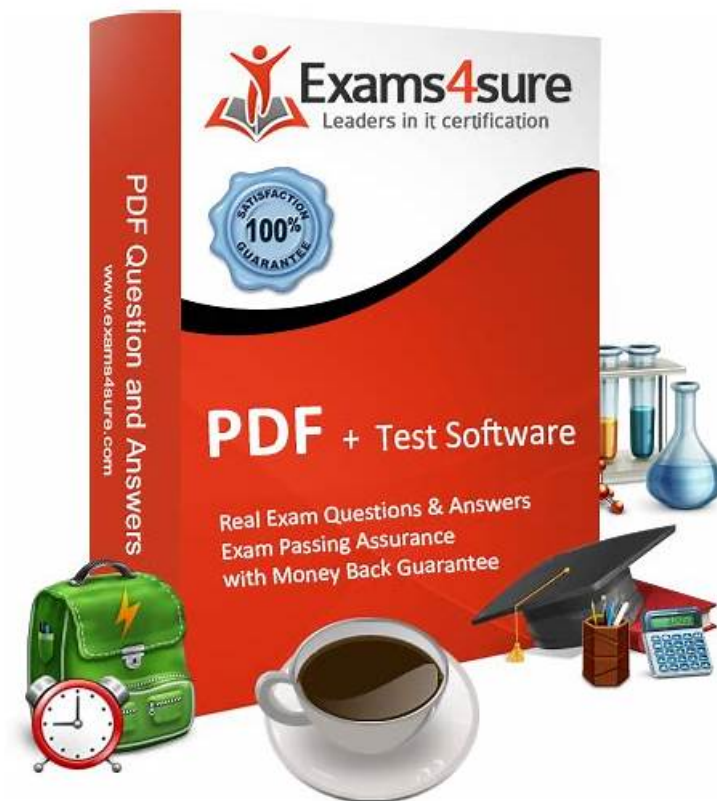


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q36-Q41):

NEW QUESTION # 36

When promoting private funds, related materials must:

- A. advise that the funds cannot be transferred to a third party
- **B. clarify the private fund's specific nature and include the required disclaimer laid down by the Authority**
- C. receive prior approval of the content from the Authority
- D. refrain from using public advertisement media of certain types, including audio and video, with the exception of read media

Answer: B

Explanation:

Promotional materials for private funds in the UAE must clearly clarify the fund's specific nature and include the required disclaimer as prescribed by the Authority. This requirement ensures that potential investors receive accurate and compliant information about the private fund's characteristics, risks, and restrictions. The disclaimer serves to limit investor expectations and legal liabilities. While certain media restrictions and content approvals may apply in some jurisdictions, the key regulatory focus is on transparency and proper disclosure within promotional materials to protect investor interests.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Promotion and Disclosure Requirements, Section 6.3.9 (2023).

NEW QUESTION # 37

Where a client is a legal person, the customer due diligence obligations require verification of identity for any natural persons holding what minimum controlling ownership interest?

- A. 10%
- B. 3%
- **C. 25%**
- D. 51%

Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, when the client is a legal person, customer due diligence (CDD) requires verification of identity for any natural person holding a minimum controlling ownership interest of 25%. This threshold identifies beneficial owners who have significant influence or control over the legal entity. Verifying these individuals is critical for AML/CTF compliance to prevent misuse of corporate vehicles for illicit purposes. The 25% figure aligns with international standards such as FATF recommendations and ensures that regulatory scrutiny extends beyond the legal entity to its key controllers.

Reference: CISI UAE Financial Rules and Regulations - Client Due Diligence, Beneficial Ownership Verification, Section 8.1.4 (2023).

NEW QUESTION # 38

Which of the following is a sanction available to the Authority in the event of a violation of its provisions?

- **A. Impose a financial fine of not less than AED 100,000**
- B. Suspend any financial activity practised during an investigation
- C. Suspend the licensed body for a period of two years
- D. Impose a financial fine of not more than AED 100,000

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations empower the Authority to impose financial fines of not less than AED 100,000 on licensed entities or persons found in violation of regulatory provisions. This minimum fine serves as a deterrent and underscores the regulator's authority to enforce compliance. While suspension of licensed bodies or activities can be imposed in some cases, the standard and frequently applied sanction is the financial penalty starting from AED 100,000. The Authority's sanctions framework

ensures robust regulatory oversight and promotes adherence to UAE financial laws.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Sanctions and Penalties, Section 2.6.4 (2023).

NEW QUESTION # 39

If an existing company wants to offer shares after conversion into a public joint-stock company, it must have released audited financial statements for what minimum number of fiscal years prior to the request to offer shares?

- A. Two
- B. Four
- **C. Three**
- D. Five

Answer: C

Explanation:

For a company wishing to offer shares after converting into a public joint-stock company, it must have released audited financial statements for a minimum of three fiscal years prior to the request to offer shares.

This requirement ensures that the company has a solid track record of financial performance and transparency, which is essential for potential investors to evaluate the company's viability and financial health. The three- year period provides enough historical data to assess trends and make informed investment decisions, supporting market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Requirements for Public Offerings, Section 4.2.3 (2023).

NEW QUESTION # 40

In what circumstances can the requirement for licensed bodies to disclose their legal status be waived?

- A. A court case against the licensed body is in progress
- **B. An emergency has been notified to the Authority**
- C. A significant market correction is taking place
- D. A takeover bid for the licensed body has been launched

Answer: B

Explanation:

The CISI UAE Financial Rules and Regulations allow the waiver of the requirement for licensed bodies to disclose their legal status only in specific scenarios such as when an emergency has been notified to the Authority. This provision recognizes that during certain urgent situations, standard disclosure obligations may be temporarily suspended to allow for swift action or confidentiality. Other circumstances such as ongoing court cases, market corrections, or takeover bids do not automatically justify waivers of disclosure obligations, preserving investor transparency and trust under normal conditions.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Disclosure Obligations and Waivers, Section 4.1.10 (2023).

NEW QUESTION # 41

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