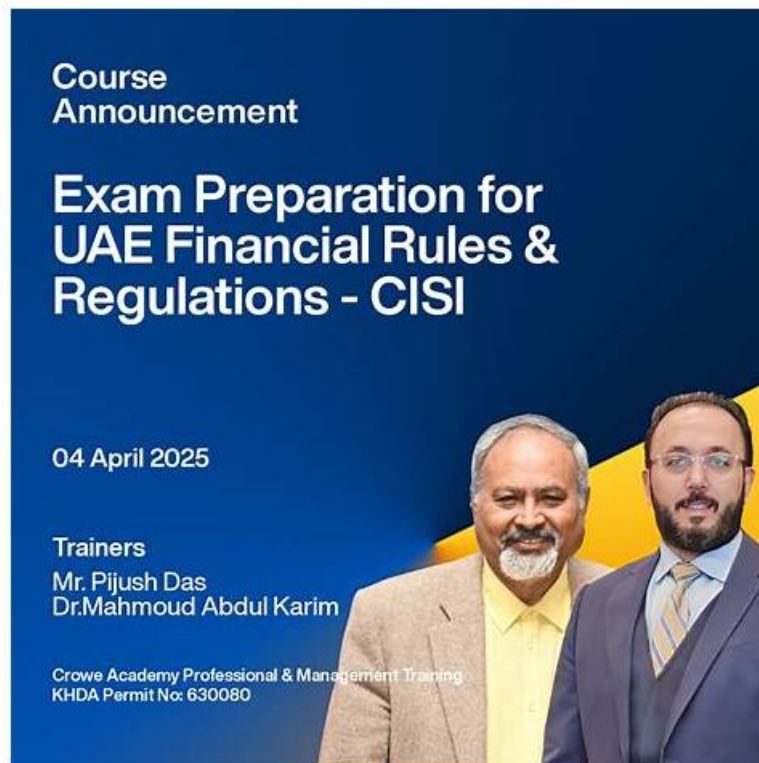


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q82-Q87):

NEW QUESTION # 82

The Board of a securities market wished to suspend a rule relating to the operations of that market, why was it unable to do so?

- A. The majority of the board was not present
- B. A 30-day notice was not provided
- C. It failed to seek permission from the Authority
- D. An Authority penalty was pending

Answer: C

Explanation:

When the Board of a securities market wishes to suspend a rule related to the market's operations, it must first obtain permission from the regulatory Authority. According to the CISI UAE Financial Rules and Regulations, if permission is not sought from the Authority before attempting to suspend the rule, the suspension request will not be valid. This requirement ensures that the Authority has oversight over the market's operational changes and can assess whether suspending the rule aligns with regulatory goals such as market stability, fairness, and transparency. This helps prevent arbitrary or inconsistent rule changes that might undermine investor confidence or disrupt the smooth functioning of the market.

Reference: CISI UAE Financial Rules and Regulations - Market Rule Suspension Procedures, Section 2.4.7 (2023).

NEW QUESTION # 83

The Authority will only grant a licence to operate a crypto fundraising platform in the UAE if the applicant is a legal person in the form of:

- A. a company incorporated under Shariah law
- B. a sophisticated trader or a qualified investor
- C. an exchange licensed by a market in the UAE
- D. an exchange licensed by the Authority in the UAE

Answer: D

Explanation:

According to CISI UAE Financial Rules and Regulations, the Securities and Commodities Authority (SCA) grants licences to operate crypto fundraising platforms only to legal persons that are exchanges licensed by the Authority within the UAE. This ensures that the entity has the appropriate regulatory oversight, infrastructure, and governance aligned with UAE financial laws. Sophisticated traders or qualified investors, as well as companies incorporated under Shariah law, do not meet the legal entity criteria for such licensing.

The requirement guarantees that fundraising platforms operate within a controlled and transparent environment, protecting investors and maintaining market integrity.

Reference: CISI UAE Financial Rules and Regulations - Crypto Asset Platforms Licensing, Section 7.1.5 (2023).

NEW QUESTION # 84

Establishing a local investment fund requires the approval of the Authority, for a public fund this will either be granted or rejected within:

- A. 20 working days
- B. 5 working days
- C. 30 working days
- D. 10 working days

Answer: A

Explanation:

According to the CISI UAE Financial Rules and Regulations, the process for establishing a local investment fund, including a public fund, involves obtaining approval from the relevant regulatory authority, which is usually the Securities and Commodities Authority (SCA). For public funds, the authority is required to either grant or reject the application within 20 working days from the submission date. This time frame ensures that there is adequate time for the Authority to review the application, conduct necessary evaluations, and ensure that the fund complies with all regulatory and legal requirements. The 20-working-day period ensures efficiency while allowing for a thorough review.

Reference: CISI UAE Financial Rules and Regulations - Investment Fund Establishment Process, Section 6.2.1 (2023).

NEW QUESTION # 85

During an investigation, what should a licensed body do if it discovers that any of the submitted documents or information are incorrect, misleading or have been changed?

- A. Notify the concerned entity at the Authority or any of the capital market institutions within 5 working days
- **B. Notify the concerned entity at the Authority or any of the capital market institutions immediately**
- C. Call an emergency Board meeting and thereafter notify the concerned entity at the Authority
- D. The Chair and Board of Directors should notify the Authority and tender their resignations

Answer: B

Explanation:

If a licensed body discovers that any submitted documents or information are incorrect, misleading, or have been changed during an investigation, it is required to notify the concerned entity at the Authority or any of the capital market institutions immediately.

According to the CISI UAE Financial Rules and Regulations, this immediate disclosure is critical for maintaining market integrity and ensuring that the Authority and other relevant bodies can take appropriate actions to address any issues of non-compliance or fraud. The prompt notification prevents further misrepresentation and safeguards the transparency of the financial markets.

Reference: CISI UAE Financial Rules and Regulations - Investigation and Disclosure Requirements, Section 5.6.2 (2023).

NEW QUESTION # 86

In order to be authorised to deal in investments, which of the following professional roles would the Authority expect to see within the firm?

- A. Operations Manager
- B. Trading Manager
- C. Compliance Officer
- **D. Broker Representative**

Answer: D

Explanation:

The Authority expects licensed firms authorised to deal in investments to include a Broker Representative within their professional staff. The Broker Representative is the role licensed and trained to execute investment transactions on behalf of clients, adhering to regulatory standards. While other roles like Trading Manager, Compliance Officer, and Operations Manager are vital for the firm's overall functioning and compliance, the Broker Representative is specifically required for dealing activities, ensuring qualified and responsible conduct in investment execution.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles for Investment Dealing, Section 3.1.9 (2023).

NEW QUESTION # 87

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