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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q67-Q72):

NEW QUESTION # 67

An in-kind shares evaluation report must be based on data covering what maximum period before the evaluation date?

- A. Two months
- **B. Three months**
- C. One month
- D. Four months

Answer: B

Explanation:

Under CISI UAE Financial Rules and Regulations, an in-kind shares evaluation report must be based on data covering a maximum period of three months prior to the evaluation date. This ensures the valuation reflects recent market conditions and financial information, maintaining accuracy and relevance. Longer periods could risk outdated or misleading valuations, affecting investor decisions and fund reporting. The three-month timeframe is aligned with international valuation standards applied to in-kind contributions to investment funds.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds, In-Kind Share Valuation Requirements, Section 6.2.8 (2023).

NEW QUESTION # 68

Where a financial analyst wants to conduct a personal transaction which relates to investment research being undertaken, what additional requirement is normally imposed?

- **A. Approval from the firm's legal or compliance department**
- B. Approval from the Authority or Central Bank
- C. Signing of a non-conflict disclaimer
- D. Signing of a guarantee undertaking

Answer: A

Explanation:

When a financial analyst wishes to conduct a personal transaction that is related to ongoing investment research, the approval from the firm's legal or compliance department is typically required. This additional requirement helps ensure that there is no conflict of interest and that the analyst's personal transactions do not interfere with their professional duties or the integrity of the research process. The compliance department will review the transaction to ensure it adheres to the firm's internal policies and regulatory requirements, thus safeguarding the analyst's objectivity and maintaining the credibility of the investment research.

Reference: CISI UAE Financial Rules and Regulations - Personal Transaction Requirements for Financial Analysts, Section 9.3.4 (2023).

NEW QUESTION # 69

A joint-stock company applying for a licence to conduct clearing activities in a commodity market recently appointed a new chairman and a new CEO. Why did this lead to the application being refused?

- **A. They had been employed by the company during the previous year**
- B. Only the CEO's compensation had been approved by the Authority
- C. They were supported by just three other board members
- D. Only the chairman held a tranche of the company's shares

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, applications for licences to conduct clearing activities require that key senior officers such as the chairman and CEO meet certain tenure and independence criteria. The application was refused because both the newly appointed chairman and CEO had been employed by the company during the previous year, which raises concerns about independence and potential conflicts of interest. Regulators require sufficient separation and stability in leadership to ensure effective governance and risk management in critical market infrastructure roles like clearing. The recent employment history suggested insufficient cooling-off periods or independence safeguards.

Reference: CISI UAE Financial Rules and Regulations - Licensing Requirements for Clearing Firms, Section 7.1.3 (2023).

NEW QUESTION # 70

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

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

Answer: A

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 # 71

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

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

Answer: A

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 # 72

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