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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q60-Q65):

NEW QUESTION # 60
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. Broker Representative
- B. Compliance Officer
- C. Operations Manager
- D. Trading Manager

Answer: A

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 # 61
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 court case against the licensed body is in progress
- C. A takeover bid for the licensed body has been launched
- D. A significant market correction is taking place

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 # 62
The Corporate Governance Guide automatically allows board members of public joint-stock companies to accept gifts up to what maximum stated value?

- A. AED 100
- B. AED 500
- C. AED 300
- D. AED 200

Answer: C

Explanation:
According to the Corporate Governance Guide for public joint-stock companies, board members are automatically allowed to

accept gifts up to a maximum value of AED 300. This limit is set to ensure that the acceptance of gifts does not raise concerns about conflicts of interest or unethical conduct. By establishing a cap on the value of acceptable gifts, the guide aims to promote transparency and prevent any undue influence on the decision-making process of board members. This helps maintain the integrity of the corporate governance framework and fosters trust among stakeholders.
Reference: CISI UAE Financial Rules and Regulations - Corporate Governance and Gift Acceptance, Section 10.4.5 (2023).

NEW QUESTION # 63
When a company applies to become a Special Purpose Acquisition Company, its sponsors must prepare proposals to:

- A. manage conflicts of interest
- B. reduce the risk to investors
- C. deal with succession planning
- D. identify potential money laundering

Answer: A

Explanation:
Sponsors of companies applying to become Special Purpose Acquisition Companies (SPACs) in the UAE must prepare detailed proposals that specifically address the management of conflicts of interest. This is mandated under CISI UAE Financial Rules and Regulations to ensure that the SPAC's activities remain transparent and investors' interests are protected. Conflicts of interest may arise from the sponsors' dual roles or relationships with target companies or investors. Addressing these conflicts proactively through proposals and policies supports integrity and market confidence. While risk reduction and anti-money laundering are critical, the regulations explicitly highlight conflict management as a core area for SPAC sponsors.
Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, SPAC Sponsorship Requirements, Section 6.3.4 (2023).

NEW QUESTION # 64
Where a private equity fund is to be incorporated, the incorporation agreement must include a statement indicating:

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

Answer: A

Explanation:
The CISI UAE Financial Rules and Regulations stipulate that the incorporation agreement for a private equity fund must clearly specifywho 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 # 65
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