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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q48-

Q53):

NEW QUESTION # 48

DFM brokerage firms are required to ensure that employees have appropriate professional experience if they:

- A. are employed to operate an electronic trading or clearing system
- B. are on full-time or substantial part-time contracts
- C. are new to the company or the industry
- **D. are employed to deal with clients or on their behalf**

Answer: D

Explanation:

DFM brokerage firms are required to ensure that their employees have appropriate professional experience if they are employed to deal with clients or on their behalf. This is because employees interacting directly with clients must possess the necessary skills, knowledge, and experience to provide accurate information, manage client portfolios, and handle client transactions in compliance with regulatory standards. This ensures that clients are protected from potential mismanagement or malpractice and that the brokerage firm maintains a high standard of service.

Reference: CISI UAE Financial Rules and Regulations - Employee Competency Requirements for DFM Brokerage Firms, Section 7.2.1 (2023).

NEW QUESTION # 49

What is the maximum term of imprisonment that can be imposed on a person who attempts to commit the crime of money laundering?

- A. Seven years
- **B. Five years**
- C. Three years
- D. Ten years

Answer: B

Explanation:

Under Federal Law No. 20 of 2018 and relevant CISI UAE Financial Rules and Regulations, the maximum term of imprisonment for a person who attempts to commit the crime of money laundering is five years. The law imposes stringent penalties to deter money laundering activities and ensure the integrity of the UAE's financial system. In addition to imprisonment, offenders may also face fines and asset confiscation. This punitive framework is designed to align with international AML standards, emphasizing the seriousness with which the UAE treats attempts to launder money, whether successful or not.

Reference: CISI UAE Financial Rules and Regulations - AML Criminal Sanctions, Section 8.4.3 (2023).

NEW QUESTION # 50

Why would a transaction to purchase securities be declared null and void?

- **A. It was the result of a rumour being spread**
- B. The investor has a conviction of an offence of dishonour
- C. The individual is a former employee
- D. The Authority has levied a penalty for delay of payment

Answer: A

Explanation:

A transaction to purchase securities could be declared null and void if it was the result of a rumour being spread. According to the CISI UAE Financial Rules and Regulations, transactions based on market manipulation, misinformation, or rumors that mislead investors and distort the market are considered invalid.

The integrity of the financial markets depends on transparency and the accuracy of the information that drives trading decisions. Therefore, if a transaction is found to have been influenced by rumors, it could be declared void to maintain fairness and prevent manipulative practices.

Reference: CISI UAE Financial Rules and Regulations - Market Manipulation and Invalid Transactions, Section 6.3.2 (2023).

NEW QUESTION # 51

Where an applicant for a financial activities licence uses a cloud-based server, they must set out provisions to ensure the outsourced party can operate with zero data loss for what stated period?

- A. Seven years
- **B. Five years**
- C. Three years
- D. Ten years

Answer: B

Explanation:

According to CISI UAE Financial Rules and Regulations, applicants utilizing cloud-based servers must demonstrate that their outsourced service providers have provisions in place to guarantee zero data loss for a minimum of five years. This requirement protects the integrity and availability of critical financial data over the regulatory retention period. The five-year timeframe aligns with data retention standards for audit, compliance, and operational continuity in the UAE financial sector, ensuring that regulatory bodies and firms can access historical information for supervisory purposes.

Reference: CISI UAE Financial Rules and Regulations - IT and Data Management Requirements, Section 3.5.7 (2023).

NEW QUESTION # 52

Each licence applicant must submit a risk management guide that includes:

- A. the procedures and mechanisms required to enable the internal auditor to act independently
- B. the procedures and mechanisms that ensure that the responsible officer shall have access to all records
- C. the mechanisms required to enable the compliance officer to have access to sufficient resources
- **D. development and implementation of policies and procedures**

Answer: D

Explanation:

In the UAE regulatory framework, every licence applicant is mandated to provide a comprehensive risk management guide. As per CISI UAE Financial Rules and Regulations, this guide must explicitly address the development and implementation of policies and procedures to identify, assess, monitor, and mitigate risks within the licensed entity. This requirement ensures that firms proactively manage financial, operational, and compliance risks, safeguarding market integrity and client interests. While other governance and compliance mechanisms such as compliance officer resources and internal auditor independence are important, the risk management guide specifically focuses on how the firm establishes and enforces risk-related policies and procedures. This foundational element of risk governance demonstrates the applicant's readiness and capability to operate safely within the UAE financial markets.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, Risk Management Requirements, Section 3.2.7 (2023).

NEW QUESTION # 53

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