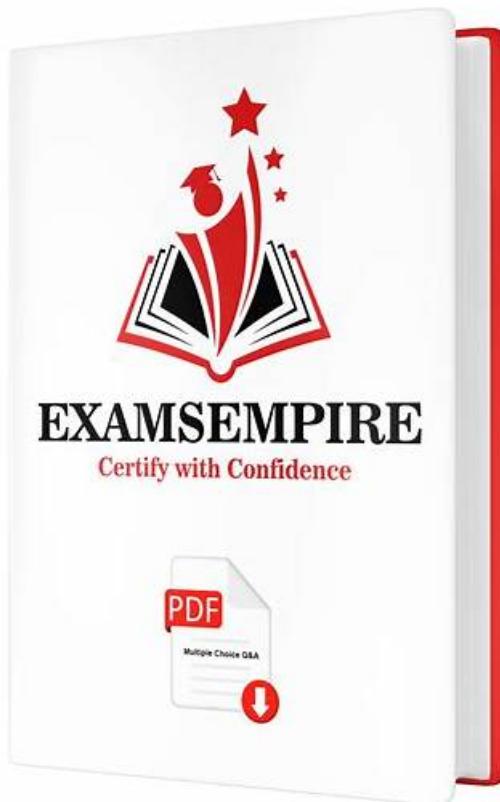


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q70-Q75):

NEW QUESTION # 70

If the perpetrator of a money laundering crime is a repeat offender, what impact does this have on the minimum fine compared to a first offence?

- A. It is tripled
- B. It is quadrupled
- **C. It is doubled**
- D. It is increased by 50%

Answer: C

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, if a person convicted of a money laundering offence is a repeat offender, the minimum fine imposed is doubled compared to the first offence. This increased penalty reflects the heightened regulatory and punitive response to repeated non-compliance, emphasizing deterrence and the protection of the financial system. Repeat offenders face more severe consequences to underscore the seriousness of continued illegal activity and to promote adherence to AML laws.

Reference: CISI UAE Financial Rules and Regulations - AML Penalties and Repeat Offences, Section 8.4.6 (2023).

NEW QUESTION # 71

Which category of firm is required to provide accounts using a 'Unified Centralised Back Office System'?

- A. Category 4 - Credit rating agencies
- B. Category 2 - Dealing in investments
- C. Category 1 - Dealing in securities
- **D. Category 3 - Custody, clearing and recording**

Answer: D

Explanation:

Firms engaged in custody, clearing, and recording activities are required by UAE financial regulations to use a 'Unified Centralised Back Office System' to maintain and manage their accounts. This requirement is outlined in the CISI UAE Financial Rules and Regulations under Category 3 firms, which include those involved in custodial services, clearing, and recording of transactions. The centralized system ensures that these firms can manage large volumes of transaction data securely and efficiently while adhering to regulatory standards for reporting and transparency. It is designed to streamline operational processes and reduce risks related to errors, fraud, or data mismanagement.

Reference: CISI UAE Financial Rules and Regulations - Unified Centralised Back Office System, Section 7.1.3 (2023).

NEW QUESTION # 72

What proportion of the market value of securities owned by a brokerage company are used to increase the value of its guarantee?

- A. 80%
- **B. 70%**
- C. 50%
- D. 60%

Answer: B

Explanation:

According to CISI UAE Financial Rules and Regulations, brokerage companies must use 70% of the market value of securities they own to increase the value of their guarantee. This guarantee acts as a financial safeguard to ensure the firm's stability and protect

clients and counterparties against default risk. The 70% proportion strikes a balance between maximizing the leverage of owned securities and maintaining prudent risk management. It reflects the regulatory emphasis on requiring sufficient collateral and guarantees to support brokerage operations, maintaining market confidence and financial soundness within the UAE capital markets. Reference: CISI UAE Financial Rules and Regulations - Brokerage Firms Guarantees, Section 3.3.9 (2023).

NEW QUESTION # 73

Which of the following is an administrative penalty that can be imposed on financial institutions that violate the law and regulations in relation to money laundering and terrorism financing?

- A. A penalty of no less than AED 5,000 and no more than AED 1,000,000 for each violation
- **B. A penalty of no less than AED 50,000 and no more than AED 5,000,000 for each violation**
- C. A penalty of no less than AED 100,000 and no more than AED 10,000,000 for each violation
- D. A penalty of no less than AED 15,000 and no more than AED 5,000,000 for each violation

Answer: B

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, financial institutions that violate anti-money laundering (AML) and counter-terrorism financing (CTF) laws may be subjected to administrative penalties ranging from no less than AED 50,000 and no more than AED 5,000,000 for each violation. These substantial fines underscore the UAE's commitment to stringent AML/CTF enforcement and deterrence. Administrative penalties are imposed alongside other measures such as corrective actions and possible criminal sanctions, ensuring comprehensive regulatory oversight.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.4 (2023).

NEW QUESTION # 74

The compliance regulation guide, submitted by an applicant for a license from the Authority, must set out procedures and mechanisms which will ensure that the compliance officer:

- A. can appoint a deputy during an unplanned absence
- B. is able to suspend operations in an emergency
- **C. has access to sufficient resources**
- D. can report confidentially to the regulator

Answer: C

Explanation:

Per CISI UAE Financial Rules and Regulations, the compliance regulation guide submitted by licensing applicants must include procedures and mechanisms that ensure the compliance officer has access to sufficient resources. Adequate resources are critical for the compliance officer to effectively oversee adherence to regulatory requirements, manage risks, and implement compliance programs. This includes staffing, technology, training, and authority necessary to fulfill the role's responsibilities. While emergency powers or deputizing may be operationally important, the regulations emphasize resource adequacy as a fundamental compliance enabler.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Compliance Officer Requirements, Section 3.3.6 (2023).

NEW QUESTION # 75

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