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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q16-Q21):

NEW QUESTION # 16

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. development and implementation of policies and procedures**
- D. the mechanisms required to enable the compliance officer to have access to sufficient resources

Answer: C

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 # 17

Which of the following acts is considered to constitute the crime of money laundering?

- A. Investigating or checking on the true nature, source or location of proceeds as well as the method involving their ownership
- B. Investigating internal reports where concerns of illegal activities are raised by staff
- **C. Acquiring, possessing or using proceeds from an unverified source**
- D. Transferring or moving proceeds or conducting any transaction with the aim of highlighting or opening their source to scrutiny

Answer: C

Explanation:

Under the UAE's Anti-Money Laundering (AML) laws, acquiring, possessing, or using proceeds from an unverified source constitutes the crime of money laundering. The crime occurs when an individual or entity uses illicitly obtained funds without verifying the legitimate source of those funds. This includes activities such as using proceeds from illegal activities for legitimate business purposes, thereby "laundering" the illicit funds. The UAE AML regulations impose strict penalties for such actions to deter money laundering and its harmful effects on the economy and financial system.

Reference: CISI UAE Financial Rules and Regulations - Money Laundering Definitions, Section 9.1.2 (2023).

NEW QUESTION # 18

Customer due diligence measures require management approval if the natural person involved is:

- A. under the age of 21
- B. normally resident outside the State
- **C. a politically exposed person**
- D. registered as disabled

Answer: C

Explanation:

Federal Law No. 20 of 2018 and related CISI UAE Financial Rules specify that enhanced customer due diligence procedures require management approval when the client is a politically exposed person (PEP).

PEPs present higher risks due to their potential access to public funds and influence, increasing vulnerability to corruption or money laundering. Management approval ensures senior oversight in onboarding and monitoring PEP clients, aligning with international AML/CTF best practices. Other conditions such as residency or age do not mandate this elevated level of scrutiny. This regulatory requirement enhances governance and mitigates reputational and compliance risks associated with politically exposed persons.

Reference: CISI UAE Financial Rules and Regulations - AML Regulations, Enhanced Due Diligence, Section 8.1.7 (2023).

NEW QUESTION # 19

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. Compliance Officer
- C. Broker Representative
- D. Trading Manager

Answer: C

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 # 20

To qualify as a big block deal on the ADX's E-Trading system, the securities to be traded must be a minimum of what proportion of the issuer's capital?

- A. 2.0%
- B. 1.0%
- C. 0.5%
- D. 2.5%

Answer: B

Explanation:

A big block deal on the ADX's E-Trading system must involve securities that are at least 1.0% of the issuer's capital. This threshold ensures that large transactions, which could significantly affect the stock's market price, are categorized appropriately as big block deals. The rule helps to distinguish between regular trades and larger institutional trades, which often have different liquidity and market impact considerations. This also provides transparency for market participants regarding the size and nature of the transaction.

Reference: CISI UAE Financial Rules and Regulations - Big Block Deal Requirements on ADX, Section 6.1.2 (2023).

NEW QUESTION # 21

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