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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q89-Q94):

NEW QUESTION # 89

In cases where securities are bought and sold during the same trading session, the client must have in its cash account enough:

- A. credit to cover the value of purchase
- B. credit to cover the value of sale
- C. credit to cover the value of any losses
- D. securities to the value of purchase

Answer: A

Explanation:

According to the CISI UAE Financial Rules and Regulations under Client Protection provisions, when a client buys and sells securities within the same trading session (day trading), the client must maintain sufficient credit to cover the value of purchase in their cash account at the time of the transaction. This rule ensures that clients have the necessary funds to settle their purchase obligations promptly, reducing settlement risk and maintaining market stability. Credit to cover sales is not required since sales generate funds rather than consume them. This provision supports orderly trading and financial discipline among market participants by preventing unsettled trades and possible defaults.

Reference: CISI UAE Financial Rules and Regulations - Client Protection, Trading and Settlement Rules, Section 4.3.2 (2023).

NEW QUESTION # 90

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. Acquiring, possessing or using proceeds from an unverified source
- C. Investigating internal reports where concerns of illegal activities are raised by staff
- D. Transferring or moving proceeds or conducting any transaction with the aim of highlighting or opening their source to scrutiny

Answer: B

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 # 91

The last trading day for an India Gold Quanto Futures contract is:

- A. one business day prior to the last business day of the delivery month
- B. two business days prior to the last business day of the delivery month
- C. the 25th calendar day of the delivery month
- D. four business days prior to the 25th calendar day of the delivery month

Answer: B

Explanation:

For India Gold Quanto Futures contracts, the last trading day is defined as two business days prior to the last business day of the delivery month. This rule ensures that there is adequate time for the settlement and adjustment of any open positions before the final day of trading. The two-day buffer also allows for the reconciliation of positions, making the futures market more efficient and reducing the likelihood of disputes regarding settlement. This is in line with global standards for futures contracts where the settlement

and final trading days are clearly defined to protect market integrity and investor interests.
Reference: CISI UAE Financial Rules and Regulations - Futures Contract Trading, Section 8.2.4 (2023).

NEW QUESTION # 92

In which circumstances might lawyers, notary publics, other legal stakeholders and independent legal auditors be exempt from suspicious transaction reporting requirements?

- A. When advising on financial transactions for politically exposed persons
- B. When providing services relating to beneficiaries of insurance policies
- C. When conducting real estate transactions within the UAE
- **D. When providing legal opinion with regards to legal proceedings**

Answer: D

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, lawyers, notary publics, and other legal professionals may be exempt from suspicious transaction reporting requirements when providing legal opinions related to legal proceedings. This exemption recognizes the privileged nature of legal advice and the confidentiality inherent in legal representation. However, when these professionals engage in financial or transactional activities outside the scope of legal proceedings, such as advising on financial transactions or real estate deals, they must comply with reporting obligations to prevent money laundering. The exemption balances legal professional privilege with AML/CTF requirements.

Reference: CISI UAE Financial Rules and Regulations - AML Exemptions for Legal Professionals, Section 8.3.1 (2023).

NEW QUESTION # 93

A licensed person who conducts financial activities related to security tokens is required to carry out a suitability check only if:

- A. the token falls into the high risk category
- B. the licensed person has less than 3 years' relevant experience
- C. the amount being invested exceeds AED 100,000
- **D. the client is not a qualified investor**

Answer: D

Explanation:

According to CISI UAE Financial Rules and Regulations, a licensed person dealing with security tokens must conduct a suitability check when the client is not a qualified investor. This requirement protects less sophisticated investors by ensuring that the financial products offered match their investment knowledge, risk tolerance, and financial circumstances. Qualified investors are presumed to have sufficient expertise and resources, thus not mandating suitability checks. The nature of the token or amount invested is not the primary trigger; rather, client qualification status governs the obligation to perform suitability assessments.

This aligns with investor protection principles embedded in UAE financial regulations.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Checks, Section 4.3.9 (2023).

NEW QUESTION # 94

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