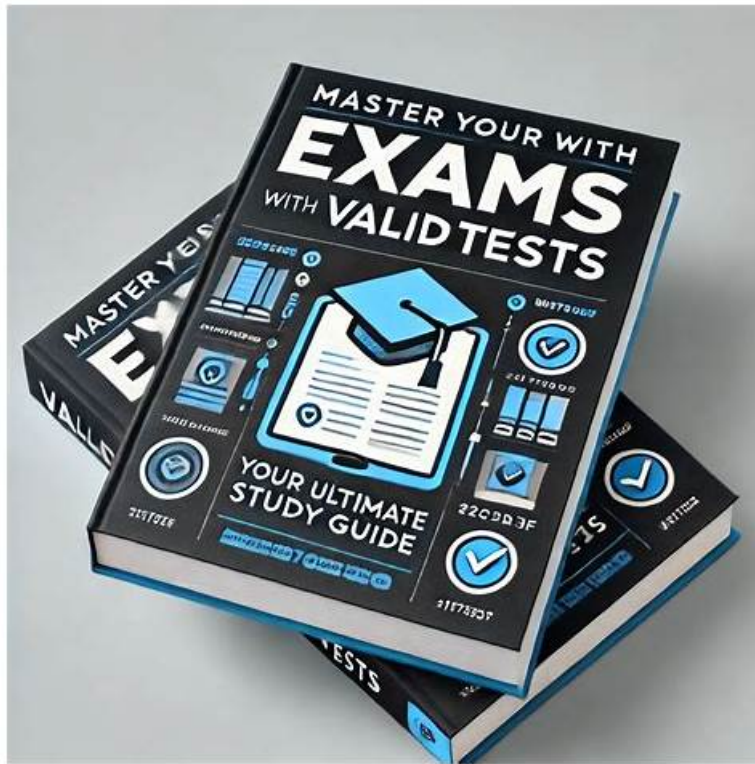


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q87-Q92):

NEW QUESTION # 87

The disclosure of a licensed body's legal status, including the fact that it is licensed by the Authority, is important because:

- A. it enables those that might suffer from perceived or actual misbehaviour at the hands of a firm to raise their concerns with the regulator
- B. it allows third party firms to use, utilise, or copy the Authority's logo for any reason and this reassures clients
- C. it forces firms to disclose their regulatory status and that they are subject to the Authority's control and supervision
- D. it ensures that no clients suffer from perceived or actual misbehaviour at the hands of a firm which is regulated

Answer: A

Explanation:

Disclosing a licensed body's legal status and its licensing by the Authority is crucial because it enables clients and others who may suffer from perceived or actual misbehaviour to raise their concerns with the regulator.

This transparency mechanism empowers investors and market participants to seek redress and promotes regulatory oversight. While the disclosure also signifies the firm's subjection to regulatory supervision, the primary benefit is facilitating complaint handling and protection. It does not imply that no misbehaviour occurs, nor does it authorize the unauthorised use of the Authority's branding by third parties.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Regulatory Disclosure, Section 4.1.8 (2023).

NEW QUESTION # 88

Where a client is a legal person, the customer due diligence obligations require verification of identity for any natural persons holding what minimum controlling ownership interest?

- A. 25%
- B. 10%
- C. 51%
- D. 3%

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, when the client is a legal person, customer due diligence (CDD) requires verification of identity for any natural person holding a minimum controlling ownership interest of 25%. This threshold identifies beneficial owners who have significant influence or control over the legal entity. Verifying these individuals is critical for AML/CTF compliance to prevent misuse of corporate vehicles for illicit purposes. The 25% figure aligns with international standards such as FATF recommendations and ensures that regulatory scrutiny extends beyond the legal entity to its key controllers.

Reference: CISI UAE Financial Rules and Regulations - Client Due Diligence, Beneficial Ownership Verification, Section 8.1.4 (2023).

NEW QUESTION # 89

Where self-funded founders intend to accept in-kind shares, the fund prospectus must state whether these shares:

- A. may subsequently be disposed of
- B. will be held as capital assets of the fund
- C. are consistent with the fund's investment strategy
- D. are to be valued subjectively

Answer: C

Explanation:

For self-funded founders accepting in-kind shares into a fund, the CISI UAE Financial Rules and Regulations require that the fund prospectus clearly state whether such shares are consistent with the fund's investment strategy. This ensures transparency for investors regarding the nature and suitability of the assets held within the fund. Declaring consistency with the investment strategy helps investors assess the fund's objectives and risk profile accurately. Other details like valuation and disposal are important but the primary disclosure focus is on strategic alignment to maintain trust and regulatory compliance. This requirement underscores the

importance of fund governance and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds, Fund Prospectus Requirements, Section 6.2.4 (2023).

NEW QUESTION # 90

A brokerage firm's records include client agreements, selling orders and accounts. Under the Professional Code of Conduct, which of these does the DFM have the right to access and review?

- A. Accounts and client agreements only
- **B. Client agreements, selling orders and accounts**
- C. Client agreements and selling orders only
- D. Selling orders and accounts only

Answer: B

Explanation:

The Dubai Financial Market's Professional Code of Conduct grants the DFM the right to access and review all core client-related records maintained by brokerage firms, including client agreements, selling orders, and accounts. This comprehensive access enables the DFM to monitor compliance, investigate complaints, and ensure that firms adhere to regulatory and ethical standards. Access to all three categories is essential to provide a complete picture of client interactions and transactions, ensuring market transparency and investor protection. Partial access would impair effective oversight and enforcement.

Reference: CISI UAE Financial Rules and Regulations - DFM Professional Code of Conduct, Records Access and Review, Section 4.1.6 (2023).

NEW QUESTION # 91

A failure to report suspicions, or gross negligence in implementing processes and procedures in relation to suspicions of money laundering, can result in a fine of:

- A. no less than AED 1,000,000 and no more than AED 10,000,000
- B. no less than AED 100,000 and no more than AED 1,000,000
- C. no less than AED 50,000 and no more than AED 1,000,000
- **D. no less than AED 100,000 and no more than AED 5,000,000**

Answer: D

Explanation:

Under Federal Law No. 20 of 2018 and the CISI UAE Financial Rules and Regulations, entities failing to report suspicions of money laundering or exhibiting gross negligence in their anti-money laundering (AML) processes are subject to severe financial penalties. The fine ranges from no less than AED 100,000 and no more than AED 5,000,000. These substantial fines are intended to enforce strict compliance with AML obligations and deter negligence or complicity in money laundering activities. This penalty framework ensures organizations maintain robust internal controls, timely reporting, and staff training to identify and report suspicious activities effectively, thereby protecting the UAE's financial system.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.2 (2023).

NEW QUESTION # 92

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