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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q94-Q99):

### NEW QUESTION # 94

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 # 95

In order for the contents of a financial promotion which quotes yield figures to satisfy the clear, fair, and not misleading rule, it should:

- **A. give a balanced impression of both short and long term prospects**
- B. make the promotion available simultaneously in printed form and online
- C. always assume the communication is intended for a retail client
- D. ensure all monetary examples are calculated to at least two decimal places

**Answer: A**

Explanation:

For a financial promotion that quotes yield figures to comply with the clear, fair, and not misleading rule, it must give a balanced impression of both short and long term prospects. This ensures that the promotion does not mislead the client by focusing too heavily on short-term returns or exaggerating long-term performance. A balanced presentation of both short and long-term outcomes is essential for providing a full, accurate picture of the investment, allowing clients to make informed decisions. This approach aligns with the principles of transparency and fairness that underpin financial regulation.

Reference: CISI UAE Financial Rules and Regulations - Financial Promotions and Yield Quotes, Section 5.2.3 (2023).

### NEW QUESTION # 96

The watch list, which is monitored by an Authority-established committee, consists of which group of companies?

- A. Companies in the second category
- B. All private companies which have declared losses in the last 12 months
- C. Companies in the first category
- **D. All public companies which have declared losses in the last 12 months**

**Answer: D**

Explanation:

Per CISI UAE Financial Rules and Regulations, the watch list monitored by the Authority's committee consists of all public companies that have declared losses in the last 12 months. These companies are subject to closer regulatory scrutiny to protect investors and maintain market stability. Monitoring focuses on financial health indicators that might signal increased risk, ensuring timely intervention if necessary. Private companies are generally not included in this watch list, which targets publicly traded entities with broader investor impact.

Reference: CISI UAE Financial Rules and Regulations - Market Surveillance and Watch List, Section 5.6.4 (2023).

#### NEW QUESTION # 97

During a trading session, if an order is not fully executed, then:

- A. the remaining unexecuted volume is cancelled and a new order is placed, at the last executed price
- B. the order will be dealt with at the next trading session
- C. the transaction is executed at the price set on the other side of the transaction
- D. the remaining unexecuted volume stays on the trading system, at the last executed price

**Answer: D**

Explanation:

In the Dubai Financial Market (DFM) and other UAE exchanges, if an order is not fully executed during a trading session, the remaining unexecuted volume remains on the trading system at the last executed price, subject to the order's validity instructions (e.g., good-till-cancelled). This approach allows the unfilled portion to remain active in the market for potential matching with future opposing orders, supporting liquidity and order continuity. Orders are not automatically cancelled or deferred to the next session unless specified. This process ensures transparency and orderly execution consistent with regulatory trading rules.

Reference: CISI UAE Financial Rules and Regulations - Trading Order Execution Rules, Section 7.2.8 (2023).

#### NEW QUESTION # 98

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. Ten years
- D. Three 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 # 99

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