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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q81-Q86):

NEW QUESTION # 81

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

- A. When conducting real estate transactions within the UAE
- B. When advising on financial transactions for politically exposed persons
- C. When providing services relating to beneficiaries of insurance policies
- **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 # 82

During an investigation, what should a licensed body do if it discovers that any of the submitted documents or information are incorrect, misleading or have been changed?

- A. Notify the concerned entity at the Authority or any of the capital market institutions within 5 working days
- B. Call an emergency Board meeting and thereafter notify the concerned entity at the Authority
- C. The Chair and Board of Directors should notify the Authority and tender their resignations
- **D. Notify the concerned entity at the Authority or any of the capital market institutions immediately**

Answer: D

Explanation:

If a licensed body discovers that any submitted documents or information are incorrect, misleading, or have been changed during an investigation, it is required to notify the concerned entity at the Authority or any of the capital market institutions immediately. According to the CISI UAE Financial Rules and Regulations, this immediate disclosure is critical for maintaining market integrity and ensuring that the Authority and other relevant bodies can take appropriate actions to address any issues of non-compliance or fraud. The prompt notification prevents further misrepresentation and safeguards the transparency of the financial markets.

Reference: CISI UAE Financial Rules and Regulations - Investigation and Disclosure Requirements, Section 5.6.2 (2023).

NEW QUESTION # 83

An obligor with a retail primary listing of Sukuk immediately notified the Authority when one of its board directors was replaced. Why was the obligor considered to be in breach of its continuing obligations?

- A. The obligor failed to give 14 days' notice
- B. The new director held a foreign passport
- **C. The obligor failed to also notify the market**
- D. The new director had less than 5 years' experience

Answer: C

Explanation:

Under the CISI UAE Financial Rules and Regulations governing Sukuk issuers with retail primary listings, obligors have continuing disclosure obligations designed to ensure transparency and maintain investor confidence. While immediate notification to the

Authority is necessary, the obligor must also notify the market to keep all stakeholders informed promptly. Failure to inform the market simultaneously constitutes a breach, as investors rely on timely and complete information to make decisions. This dual-notification requirement is critical to ensure fairness and prevent information asymmetry. The nature of the new director's passport or experience is not the determining factor; rather, it is the procedural omission of market notification that constitutes the breach. Reference: CISI UAE Financial Rules and Regulations - Continuing Obligations for Sukuk Issuers, Section 5.7.3 (2023).

NEW QUESTION # 84

Membership of an Authority regulated market is obligatory for which of the following entities?

- A. Licensed brokers
- B. Listed joint-stock companies and licensed brokers
- C. Listed joint-stock companies, licensed brokers and other listed entities
- D. Listed joint-stock companies, licensed brokers and any other type of business entity

Answer: C

Explanation:

Under the UAE regulatory framework, membership of an Authority-regulated market is obligatory for listed joint-stock companies, licensed brokers, and other listed entities. This requirement ensures that all entities involved in public trading or listed on the market adhere to the regulatory standards set by the market's governing body. It provides a structured environment for trading and market oversight, promoting transparency and fairness. The inclusion of licensed brokers and other listed entities ensures that all market participants are subject to the same rules, helping to maintain integrity and stability in the market.

Reference: CISI UAE Financial Rules and Regulations - Market Membership Requirements, Section 3.1.4 (2023).

NEW QUESTION # 85

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

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

Answer: C

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 # 86

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