

# UAE-Financial-Rules-and-Regulations Exam Overviews, New UAE-Financial-Rules-and-Regulations Mock Exam



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## Financial Rules and Regulations Exam –High-quality Exam Overviews

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### CISI UAE Financial Rules and Regulations Exam Sample Questions (Q97-Q102):

#### NEW QUESTION # 97

If the perpetrator of a money laundering crime is a repeat offender, what impact does this have on the minimum fine compared to a first offence?

- A. It is doubled
- B. It is quadrupled
- C. It is tripled
- D. It is increased by 50%

#### Answer: A

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, if a person convicted of a money laundering offence is a repeat offender, the minimum fine imposed is doubled compared to the first offence. This increased penalty reflects the heightened regulatory and punitive response to repeated non-compliance, emphasizing deterrence and the protection of the financial system. Repeat offenders face more severe consequences to underscore the seriousness of continued illegal activity and to promote adherence to AML laws.

Reference: CISI UAE Financial Rules and Regulations - AML Penalties and Repeat Offences, Section 8.4.6 (2023).

#### NEW QUESTION # 98

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

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

#### Answer: A

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 # 99

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

#### Answer: B

#### 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 # 100

A public joint-stock company is automatically prevented by the regulations from executing a buyback transaction if it:

- A. has been designated a company of State importance
- B. was incorporated in the last three years
- C. issued shares in a public offer in the last six months
- D. is formally classed as an insurance company

#### Answer: C

#### Explanation:

According to CISI UAE Financial Rules and Regulations, a public joint-stock company is automatically barred from executing a buyback transaction if it issued shares in a public offer in the last six months. This regulatory restriction is designed to prevent market manipulation and protect shareholders' interests by ensuring sufficient market stability following a new share issuance. Buybacks shortly after public offerings could distort share prices or unfairly affect market liquidity. Other conditions like being an insurance company or state-designated firm do not automatically preclude buybacks under these regulations. This rule aligns with international corporate governance best practices governing share repurchases.

Reference: CISI UAE Financial Rules and Regulations - Share Buyback Rules, Section 5.4.7 (2023).

#### NEW QUESTION # 101

Why would a transaction to purchase securities be declared null and void?

- A. The individual is a former employee
- B. It was the result of a rumour being spread
- C. The investor has a conviction of an offence of dishonour
- D. The Authority has levied a penalty for delay of payment

#### Answer: B

#### Explanation:

A transaction to purchase securities could be declared null and void if it was the result of a rumour being spread. According to the CISI UAE Financial Rules and Regulations, transactions based on market manipulation, misinformation, or rumors that mislead investors and distort the market are considered invalid.

The integrity of the financial markets depends on transparency and the accuracy of the information that drives trading decisions. Therefore, if a transaction is found to have been influenced by rumors, it could be declared void to maintain fairness and prevent manipulative practices.

Reference: CISI UAE Financial Rules and Regulations - Market Manipulation and Invalid Transactions, Section 6.3.2 (2023).

#### NEW QUESTION # 102

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