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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q69-Q74):

NEW QUESTION # 69

The DFM's Professional Code of Conduct requires brokerage firms to take reasonable steps to determine the identity of their clients. For natural persons, this should include:

- A. commercial register number and commercial licence
- B. full name of portfolio manager
- **C. profession, exact address, PO Box and phone number**
- D. nature of the entity, its legal form, type and capital

Answer: C

Explanation:

The Dubai Financial Market (DFM) Professional Code of Conduct mandates that brokerage firms perform thorough customer due diligence to confirm client identities. For natural persons, this includes obtaining detailed personal information such as profession, exact residential address, PO Box, and phone number. This comprehensive identification requirement supports anti-money laundering (AML) and know-your-customer (KYC) policies by enabling firms to verify clients accurately and assess their risk profiles effectively.

Commercial registration details and legal entity information apply to corporate clients, not individuals.

Collecting detailed contact and occupational data also facilitates ongoing monitoring and communication, fulfilling regulatory obligations to maintain transparent client records.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and DFM Professional Code of Conduct, Section 4.1.3 (2023).

NEW QUESTION # 70

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

Answer: A

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 # 71

If in-kind shares are provided when the fund is founded; if the subscription fails and there is no special agreement, who would bear the expenses?

- **A. Founders**
- B. Evaluators

- C. Auditors
- D. Share providers

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, when in-kind shares are provided at fund inception and the subscription fails, the founders bear the related expenses in the absence of any special agreement. This allocation reflects the founders' responsibility in establishing and capitalizing the fund and absorbing initial setup costs, including those related to failed subscriptions. Share providers, auditors, or evaluators are not typically liable for such expenses unless contractual terms explicitly assign such responsibility. This regulatory stance encourages clarity and accountability in fund founding arrangements.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Incorporation and Expense Allocation, Section 6.2.11 (2023).

NEW QUESTION # 72

If an existing company wants to offer shares after conversion into a public joint-stock company, it must have released audited financial statements for what minimum number of fiscal years prior to the request to offer shares?

- A. Four
- B. Five
- C. Three
- D. Two

Answer: C

Explanation:

For a company wishing to offer shares after converting into a public joint-stock company, it must have released audited financial statements for a minimum of three fiscal years prior to the request to offer shares.

This requirement ensures that the company has a solid track record of financial performance and transparency, which is essential for potential investors to evaluate the company's viability and financial health. The three- year period provides enough historical data to assess trends and make informed investment decisions, supporting market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Requirements for Public Offerings, Section 4.2.3 (2023).

NEW QUESTION # 73

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

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

Answer: A

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 # 74

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