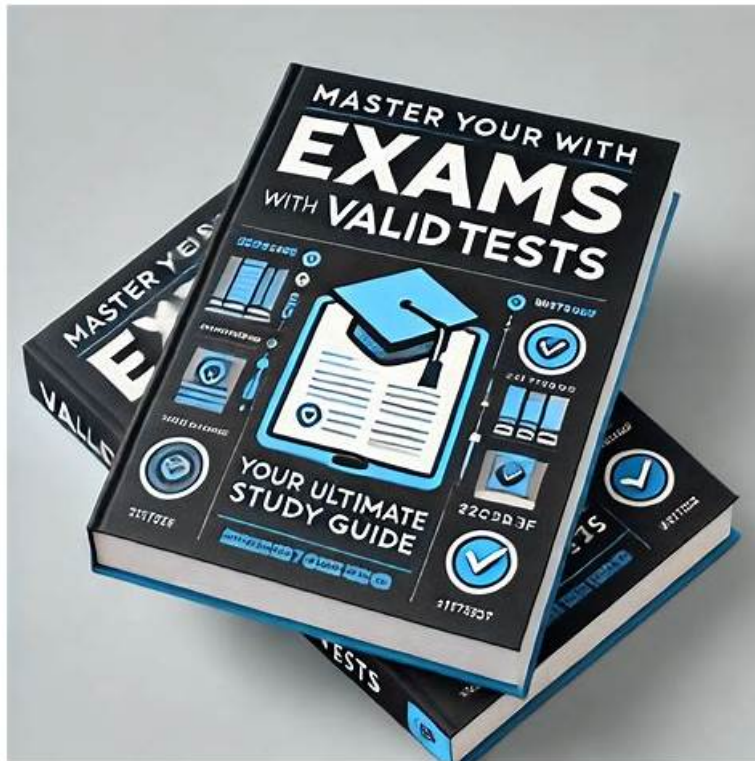


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q56-Q61):

NEW QUESTION # 56

Which of the following is a sanction available to the Authority in the event of a violation of its provisions?

- **A. Impose a financial fine of not less than AED 100,000**
- B. Suspend the licensed body for a period of two years
- C. Suspend any financial activity practised during an investigation
- D. Impose a financial fine of not more than AED 100,000

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations empower the Authority to impose financial fines of not less than AED 100,000 on licensed entities or persons found in violation of regulatory provisions. This minimum fine serves as a deterrent and underscores the regulator's authority to enforce compliance. While suspension of licensed bodies or activities can be imposed in some cases, the standard and frequently applied sanction is the financial penalty starting from AED 100,000. The Authority's sanctions framework ensures robust regulatory oversight and promotes adherence to UAE financial laws.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Sanctions and Penalties, Section 2.6.4 (2023).

NEW QUESTION # 57

An applicant for a license from the Authority has submitted a feasibility study and work plan. What method will be used to evaluate this?

- **A. SWOT analysis**
- B. An operational risk matrix
- C. A stress testing exercise
- D. Comparison with the same sector

Answer: A

Explanation:

CISI UAE Financial Rules and Regulations require that feasibility studies and work plans submitted by licence applicants be evaluated using a SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats).

This comprehensive method assesses the internal and external factors affecting the viability and strategic positioning of the applicant's business plan. The SWOT analysis helps regulators understand the applicant's operational readiness, competitive environment, risk exposures, and growth potential, ensuring robust due diligence before licensing. Other methods such as operational risk matrices or stress testing may be used in broader risk assessments but are not the primary evaluation tool for feasibility studies.

Reference: CISI UAE Financial Rules and Regulations - Licensing Procedures and Evaluation, Section 3.6.2 (2023).

NEW QUESTION # 58

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. 51%
- C. 10%
- 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 # 59

The contract size for trading in Silver Futures on the Dubai Gold & Commodities Exchange is 1,000 troy ounces of refined silver, plus or minus what prescribed margin?

- A. 10%
- B. 1%
- C. 2%
- **D. 5%**

Answer: D

Explanation:

For Silver Futures contracts on the Dubai Gold & Commodities Exchange (DGEX), the contract size is 1,000 troy ounces of refined silver, with a prescribed margin of 5%. The margin requirement ensures that traders have sufficient collateral to cover potential price fluctuations in the market. The 5% margin provides a balance between allowing for liquidity in the market and managing the risks associated with futures trading.

This is a standard margin level designed to protect both market participants and the exchange from extreme volatility or defaults.

Reference: CISI UAE Financial Rules and Regulations - Silver Futures Trading on DGEX, Section 7.1.3 (2023).

NEW QUESTION # 60

If an issuer provides its shareholders with bonus shares, then the CSD Department will deposit the bonus shares issued in the account and will register them as a whole, round number. What happens in the case that there are fractions of shares?

- A. The issuing company must sell them within 30 days
- B. The issuing company must sell them within 45 days
- **C. They are totalled up and put in a suspense account**
- D. These are also added to the shareholder's account

Answer: C

Explanation:

When bonus shares are issued, the Central Securities Depository (CSD) registers shares in whole numbers only. Any fractions of shares that result from the bonus share calculation cannot be credited to individual shareholder accounts. According to CISI UAE Financial Rules and Regulations, these fractional shares are aggregated and placed into a suspense account by the CSD. The suspense account holds these fractional shares collectively until such time as they can be properly managed, such as by being sold off and the proceeds distributed to shareholders in proportion to their holdings. This process prevents fractional shares from being credited inaccurately, ensuring operational clarity and market integrity. The issuing company is not immediately responsible for selling these fractions, but regulatory oversight governs their eventual disposal.

Reference: CISI UAE Financial Rules and Regulations - Securities Issuance and Registration, Section 5.3.6 (2023).

NEW QUESTION # 61

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