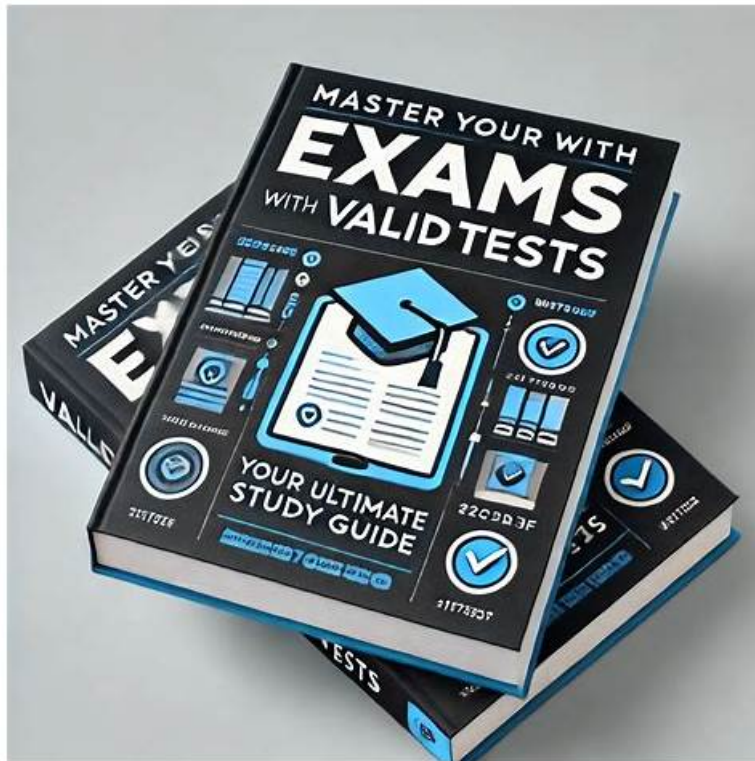


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q28-

Q33):

NEW QUESTION # 28

An application submitted to the ADX by the brokerage company to enable it to supply E-Trading services will result in a decision to approve or reject the application within:

- A. 30 days
- B. 10 days
- C. 2 days
- **D. 5 days**

Answer: D

Explanation:

Brokerage firms seeking approval from the Abu Dhabi Securities Exchange (ADX) to offer E-Trading services are subject to a timely review process. According to the CISI UAE Financial Rules and Regulations, the ADX is required to make a decision to approve or reject such applications within 5 business days. This rapid response timeline ensures that brokers can efficiently begin offering E-Trading services to clients, which is crucial in today's fast-paced financial markets. By maintaining this short decision-making window, the ADX fosters an environment of operational efficiency and responsiveness, which supports both market development and investor confidence.

Reference: CISI UAE Financial Rules and Regulations - E-Trading Approval Process, Section 10.4.1 (2023).

NEW QUESTION # 29

What is the maximum term of imprisonment that can be imposed on a person who attempts to commit the crime of money laundering?

- A. Three years
- B. Seven years
- **C. Five years**
- D. Ten years

Answer: C

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 # 30

To qualify as a big block deal on the ADX's E-Trading system, the securities to be traded must be a minimum of what proportion of the issuer's capital?

- **A. 1.0%**
- B. 2.5%
- C. 0.5%
- D. 2.0%

Answer: A

Explanation:

A big block deal on the ADX's E-Trading system must involve securities that are at least 1.0% of the issuer's capital. This threshold ensures that large transactions, which could significantly affect the stock's market price, are categorized appropriately as big block deals. The rule helps to distinguish between regular trades and larger institutional trades, which often have different liquidity and market impact considerations. This also provides transparency for market participants regarding the size and nature of the transaction.

Reference: CISI UAE Financial Rules and Regulations - Big Block Deal Requirements on ADX, Section

6.1.2 (2023).

NEW QUESTION # 31

The Corporate Governance Guide automatically allows board members of public joint-stock companies to accept gifts up to what maximum stated value?

- A. AED 300
- B. AED 500
- C. AED 100
- D. AED 200

Answer: A

Explanation:

According to the Corporate Governance Guide for public joint-stock companies, board members are automatically allowed to accept gifts up to a maximum value of AED 300. This limit is set to ensure that the acceptance of gifts does not raise concerns about conflicts of interest or unethical conduct. By establishing a cap on the value of acceptable gifts, the guide aims to promote transparency and prevent any undue influence on the decision-making process of board members. This helps maintain the integrity of the corporate governance framework and fosters trust among stakeholders.

Reference: CISI UAE Financial Rules and Regulations - Corporate Governance and Gift Acceptance, Section 10.4.5 (2023).

NEW QUESTION # 32

The Board of a securities market wished to suspend a rule relating to the operations of that market, why was it unable to do so?

- A. The majority of the board was not present
- B. It failed to seek permission from the Authority
- C. An Authority penalty was pending
- D. A 30-day notice was not provided

Answer: B

Explanation:

When the Board of a securities market wishes to suspend a rule related to the market's operations, it must first obtain permission from the regulatory Authority. According to the CISI UAE Financial Rules and Regulations, if permission is not sought from the Authority before attempting to suspend the rule, the suspension request will not be valid. This requirement ensures that the Authority has oversight over the market's operational changes and can assess whether suspending the rule aligns with regulatory goals such as market stability, fairness, and transparency. This helps prevent arbitrary or inconsistent rule changes that might undermine investor confidence or disrupt the smooth functioning of the market.

Reference: CISI UAE Financial Rules and Regulations - Market Rule Suspension Procedures, Section 2.4.7 (2023).

NEW QUESTION # 33

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