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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q72-

Q77):

NEW QUESTION # 72

Which of the following is an administrative penalty that can be imposed on financial institutions that violate the law and regulations in relation to money laundering and terrorism financing?

- A. A penalty of no less than AED 5,000 and no more than AED 1,000,000 for each violation
- B. A penalty of no less than AED 15,000 and no more than AED 5,000,000 for each violation
- C. A penalty of no less than AED 100,000 and no more than AED 10,000,000 for each violation
- D. A penalty of no less than AED 50,000 and no more than AED 5,000,000 for each violation

Answer: D

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, financial institutions that violate anti-money laundering (AML) and counter-terrorism financing (CTF) laws may be subjected to administrative penalties ranging from no less than AED 50,000 and no more than AED 5,000,000 for each violation. These substantial fines underscore the UAE's commitment to stringent AML/CTF enforcement and deterrence. Administrative penalties are imposed alongside other measures such as corrective actions and possible criminal sanctions, ensuring comprehensive regulatory oversight.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.4 (2023).

NEW QUESTION # 73

If the two evaluators for an in-kind share transfer produce different fair value figures, what figure must be used?

- A. The lowest one
- B. The one produced by the most experienced evaluator
- C. The average of the two amounts
- D. The highest one

Answer: C

Explanation:

In the case of an in-kind share transfer where two evaluators produce different fair value figures, the average of the two amounts is typically used. This approach helps ensure fairness and reduces the risk of biases from individual evaluations. The CISI UAE Financial Rules and Regulations recommend averaging the values to arrive at a reasonable and balanced assessment, especially when the evaluators may have different methods or opinions regarding the valuation of assets. This method is widely accepted as it prevents any single evaluator's assessment from disproportionately influencing the final valuation.

Reference: CISI UAE Financial Rules and Regulations - In-kind Share Transfer Valuation, Section 8.4.2 (2023).

NEW QUESTION # 74

Where a private equity fund is to be incorporated, the incorporation agreement must include a statement indicating:

- A. who will be appointed auditor for the fund
- B. whether the limited partners can influence investment management
- C. whether the investment management will be outsourced
- D. who bears main responsibility for regulatory compliance

Answer: D

Explanation:

The CISI UAE Financial Rules and Regulations stipulate that the incorporation agreement for a private equity fund must clearly specify who bears main responsibility for regulatory compliance. This is essential to delineate accountability and ensure the fund operates within the legal framework set by UAE regulators.

Establishing regulatory responsibility clarifies oversight roles, risk management, and adherence to licensing and reporting obligations. While other elements such as auditor appointments or investment management arrangements are important, the regulatory framework specifically mandates the explicit allocation of compliance responsibility in the incorporation agreement to prevent ambiguity and promote sound governance. This ensures protection of investors and maintains fund integrity.

Reference: CISI UAE Financial Rules and Regulations - Private Equity Funds Incorporation, Section 6.1.9 (2023).

NEW QUESTION # 75

If a discrepancy comes to light when conducting an external reconciliation, what must the firm do?

- A. Close the client's account by close of business on the same day
- B. Immediately suspend operations with the third party
- **C. Investigate and correct it as soon as possible**
- D. Immediately inform the regulator verbally and follow this up in writing

Answer: C

Explanation:

If a discrepancy is identified during an external reconciliation process, the firm is required to investigate and correct it as soon as possible. The CISI UAE Financial Rules and Regulations emphasize that discrepancies, whether in financial data or operational procedures, must be thoroughly examined to determine the root cause and rectified promptly. Immediate corrective action helps to ensure that financial statements and other reports remain accurate and reliable, preventing any further errors or compliance issues. While it may be necessary to inform the regulator or suspend operations in extreme cases, the first priority is to address the discrepancy through investigation and correction.

Reference: CISI UAE Financial Rules and Regulations - Reconciliation and Error Resolution, Section 8.1.4 (2023).

NEW QUESTION # 76

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

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

Answer: B

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 # 77

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