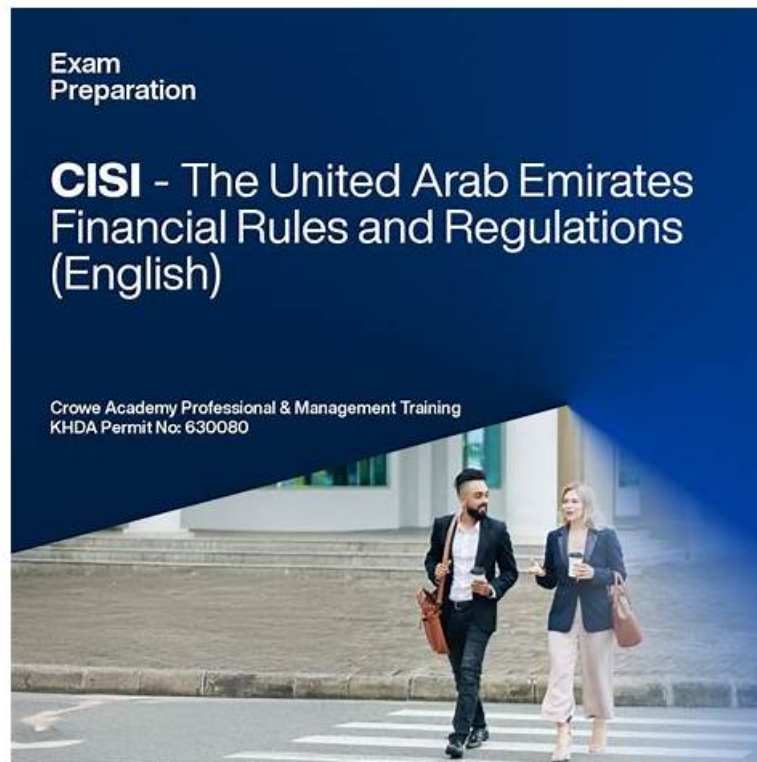


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q54-Q59):

NEW QUESTION # 54

The approved job for conducting securities dealing is:

- A. Category Manager
- B. Trading Manager
- C. Operations Manager
- **D. Broker Representative**

Answer: D

Explanation:

In the CISI UAE Financial Rules and Regulations, the role formally authorized to conduct securities dealing is that of a Broker Representative. This role is specifically licensed and trained to execute trades on behalf of clients and manage securities transactions within regulatory frameworks. Other positions like Trading Manager or Operations Manager have important but different operational and supervisory functions and do not directly engage in client securities dealing. The Broker Representative's licensing ensures adherence to professional standards, client protection, and market integrity.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles, Section 3.1.9 (2023).

NEW QUESTION # 55

In order to be authorised to deal in investments, which of the following professional roles would the Authority expect to see within the firm?

- A. Trading Manager
- B. Compliance Officer
- C. Operations Manager
- **D. Broker Representative**

Answer: D

Explanation:

The Authority expects licensed firms authorised to deal in investments to include a Broker Representative within their professional staff. The Broker Representative is the role licensed and trained to execute investment transactions on behalf of clients, adhering to regulatory standards. While other roles like Trading Manager, Compliance Officer, and Operations Manager are vital for the firm's overall functioning and compliance, the Broker Representative is specifically required for dealing activities, ensuring qualified and responsible conduct in investment execution.

Reference: CISI UAE Financial Rules and Regulations - Licensing and Job Roles for Investment Dealing, Section 3.1.9 (2023).

NEW QUESTION # 56

When a company applies to become a Special Purpose Acquisition Company, its sponsors must prepare proposals to:

- A. reduce the risk to investors
- B. identify potential money laundering
- C. deal with succession planning
- **D. manage conflicts of interest**

Answer: D

Explanation:

Sponsors of companies applying to become Special Purpose Acquisition Companies (SPACs) in the UAE must prepare detailed proposals that specifically address the management of conflicts of interest. This is mandated under CISI UAE Financial Rules and Regulations to ensure that the SPAC's activities remain transparent and investors' interests are protected. Conflicts of interest may arise from the sponsors' dual roles or relationships with target companies or investors. Addressing these conflicts proactively through proposals and policies supports integrity and market confidence. While risk reduction and anti-money laundering are critical, the regulations explicitly highlight conflict management as a core area for SPAC sponsors.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, SPAC Sponsorship Requirements, Section 6.3.4 (2023).

NEW QUESTION # 57

What is the minimum fine that can be levied on a person found guilty of financing an illegal organisation?

- A. AED 250,000
- B. AED 300,000
- **C. AED 150,000**
- D. AED 200,000

Answer: C

Explanation:

Under Federal Law No. 20 of 2018 and relevant CISI UAE Financial Rules and Regulations, the minimum fine imposed on a person convicted of financing an illegal organisation is AED 150,000. This penalty underscores the seriousness with which the UAE treats the crime of funding illegal or terrorist entities.

Alongside financial sanctions, convicted individuals may face imprisonment and other legal consequences.

These stringent penalties are part of the UAE's commitment to combating terrorism financing and protecting national and international security.

Reference: CISI UAE Financial Rules and Regulations - AML Criminal Sanctions, Section 8.4.5 (2023).

NEW QUESTION # 58

When a company applies to become a Special Purpose Acquisition Company, its sponsors must prepare proposals to:

- A. reduce the risk to investors
- B. identify potential money laundering
- C. deal with succession planning
- **D. manage conflicts of interest**

Answer: D

Explanation:

Sponsors of companies applying to become Special Purpose Acquisition Companies (SPACs) in the UAE must prepare detailed proposals that specifically address the management of conflicts of interest. This is mandated under CISI UAE Financial Rules and Regulations to ensure that the SPAC's activities remain transparent and investors' interests are protected. Conflicts of interest may arise from the sponsors' dual roles or relationships with target companies or investors. Addressing these conflicts proactively through proposals and policies supports integrity and market confidence. While risk reduction and anti-money laundering are critical, the regulations explicitly highlight conflict management as a core area for SPAC sponsors.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, SPAC Sponsorship Requirements, Section 6.3.4 (2023).

NEW QUESTION # 59

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