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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q49-

Q54):

NEW QUESTION # 49

If the perpetrator of a money laundering crime is a repeat offender, what impact does this have on the minimum fine compared to a first offence?

- A. It is quadrupled
- B. It is increased by 50%
- C. It is tripled
- **D. It is doubled**

Answer: D

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, if a person convicted of a money laundering offence is a repeat offender, the minimum fine imposed is doubled compared to the first offence. This increased penalty reflects the heightened regulatory and punitive response to repeated non-compliance, emphasizing deterrence and the protection of the financial system. Repeat offenders face more severe consequences to underscore the seriousness of continued illegal activity and to promote adherence to AML laws.

Reference: CISI UAE Financial Rules and Regulations - AML Penalties and Repeat Offences, Section 8.4.6 (2023).

NEW QUESTION # 50

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. Ten years
- **C. Five years**
- D. Seven 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 # 51

Where self-fund founders intend to accept in-kind shares, the fund prospectus must state whether these shares:

- A. may subsequently be disposed of
- B. are to be valued subjectively
- **C. are consistent with the fund's investment strategy**
- D. will be held as capital assets of the fund

Answer: C

Explanation:

For self-funded founders accepting in-kind shares into a fund, the CISI UAE Financial Rules and Regulations require that the fund prospectus clearly state whether such shares are consistent with the fund's investment strategy. This ensures transparency for investors regarding the nature and suitability of the assets held within the fund. Declaring consistency with the investment strategy helps investors assess the fund's objectives and risk profile accurately. Other details like valuation and disposal are important but the primary disclosure focus is on strategic alignment to maintain trust and regulatory compliance. This requirement underscores the importance of fund governance and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds, Fund Prospectus Requirements, Section 6.2.4 (2023).

NEW QUESTION # 52

A vote carried out by the board of the Authority resulted in a tie. What happens in these circumstances?

- A. The vote for the resolution is automatically carried
- B. The vote against the resolution is automatically carried
- **C. The chairman or their deputy is granted the casting vote**
- D. The decision is postponed until another vote can be taken

Answer: C

Explanation:

Under the CISI UAE Financial Rules and Regulations, in the event of a tie vote by the board of the Authority, the chairman or their deputy is granted the casting vote to resolve the deadlock. This mechanism ensures decisions can be made efficiently without indefinite postponement. The casting vote provides a decisive voice to the chair in balancing the board's decisions, reflecting common governance principles in corporate and regulatory bodies. Automatic carriage or rejection of resolutions without further input is not allowed, and postponement is typically avoided to maintain regulatory effectiveness.

Reference: CISI UAE Financial Rules and Regulations - Governance and Board Procedures, Section 2.4.8 (2023).

NEW QUESTION # 53

An error was made by a broker which led to a trade being conducted using the wrong trading account number.

If the trader submitted a request to have the number amended 40 minutes after the end of the trading session, the amendment would only be made if:

- A. an alteration fee is paid at the same time
- B. an impact assessment gives acceptable results
- **C. the circumstances are considered to be exceptional**
- D. the correction is within a 5% error margin

Answer: C

Explanation:

In trading systems regulated under the CISI UAE Financial Rules and Regulations, brokers must ensure the accuracy of account details associated with transactions. However, if an error occurs, such as using an incorrect trading account number, amendments are generally not allowed beyond the trading session unless specific conditions are met. The CISI rules state that amendments will only be made in exceptional circumstances. For instance, if the request for the amendment is made shortly after the session, such as within

40 minutes, and it can be demonstrated that the error had no significant impact on market stability or the involved parties, it may be considered exceptional. Therefore, a correction request is usually subject to a careful review of its impact, and the circumstances of the error must be deemed significant enough to warrant such an exception.

Reference: CISI UAE Financial Rules and Regulations - Trading Errors and Amendments, Section 8.4.1 (2023).

NEW QUESTION # 54

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