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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q61-Q66):

NEW QUESTION # 61

Which of the following is one of the prescribed financial activities for which the Authority can issue a license?

- A. Promotion
- B. Risk management
- C. Corporate planning
- D. Analysis

Answer: B

Explanation:

Under CISI UAE Financial Rules and Regulations, risk management is among the prescribed financial activities for which the Securities and Commodities Authority (SCA) issues licenses. Licensing ensures that entities engaging in financial risk assessment and mitigation services meet regulatory standards related to expertise, governance, and compliance. Activities such as analysis, promotion, and corporate planning are not independently licensable financial activities but may be ancillary functions within licensed firms. The licensure of risk management activities supports market stability and investor protection by formalizing oversight of critical financial functions.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Licensing, Section 3.1.2 (2023).

NEW QUESTION # 62

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. 5%
- C. 1%
- D. 2%

Answer: B

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 # 63

An applicant for a financial activities licence must have procedures in place to recover electronic records from the archive within what maximum period?

- A. Three business days
- B. Five business days
- C. Four calendar days
- D. Two calendar days

Answer: A

Explanation:

According to CISI UAE Financial Rules and Regulations, applicants for a financial activities licence must ensure that their record-keeping systems allow for recovery of electronic records from archives within a maximum period of three business days. This requirement ensures timely access to data necessary for audits, investigations, and regulatory reviews. The three-business-day timeframe balances operational feasibility with regulatory needs for responsiveness and data integrity, supporting transparency and compliance in the UAE financial sector.

Reference: CISI UAE Financial Rules and Regulations - Record-Keeping and Data Recovery Procedures, Section 3.5.10 (2023).

NEW QUESTION # 64

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

Answer: B

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 # 65

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

Answer: B

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 # 66

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