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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q38-Q43):

NEW QUESTION # 38

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

Answer: B

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 # 39

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

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

Answer: B

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 # 40

Why would the Authority board resolve temporarily to halt trading in the shares of any company?

- A. It transpires that the spouse of a board member is a director of that entity
- **B. A threat to the proper and regular working of that market arises**
- C. A written complaint is made relating to a market activity
- D. It does not have the technical equipment necessary to conduct its activity electronically

Answer: B

Explanation:

The Authority board may decide to temporarily halt trading in the shares of a company if a threat to the proper and regular working of that market arises. This action is taken to ensure the integrity of the market and protect investors from any disruption caused by irregularities or unexpected events. Such threats could include issues like system failures, significant market manipulation, or events that might cause unfair trading conditions.

Halting trading is a precautionary measure that aims to stabilize the market, allowing time for the issue to be resolved before trading resumes.

Reference: CISI UAE Financial Rules and Regulations - Trading Halts and Market Integrity, Section 3.4.2 (2023).

NEW QUESTION # 41

A failure to report suspicions, or gross negligence in implementing processes and procedures in relation to suspicions of money laundering, can result in a fine of:

- A. no less than AED 100,000 and no more than AED 5,000,000
- B. no less than AED 100,000 and no more than AED 1,000,000
- C. no less than AED 1,000,000 and no more than AED 10,000,000
- D. no less than AED 50,000 and no more than AED 1,000,000

Answer: A

Explanation:

Under Federal Law No. 20 of 2018 and the CISI UAE Financial Rules and Regulations, entities failing to report suspicions of money laundering or exhibiting gross negligence in their anti-money laundering (AML) processes are subject to severe financial penalties. The fine ranges from no less than AED 100,000 and no more than AED 5,000,000. These substantial fines are intended to enforce strict compliance with AML obligations and deter negligence or complicity in money laundering activities. This penalty framework ensures organizations maintain robust internal controls, timely reporting, and staff training to identify and report suspicious activities effectively, thereby protecting the UAE's financial system.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.2 (2023).

NEW QUESTION # 42

Where a financial analyst wants to conduct a personal transaction which relates to investment research being undertaken, what additional requirement is normally imposed?

- A. Signing of a guarantee undertaking
- B. Approval from the firm's legal or compliance department
- C. Signing of a non-conflict disclaimer
- D. Approval from the Authority or Central Bank

Answer: B

Explanation:

When a financial analyst wishes to conduct a personal transaction that is related to ongoing investment research, the approval from the firm's legal or compliance department is typically required. This additional requirement helps ensure that there is no conflict of interest and that the analyst's personal transactions do not interfere with their professional duties or the integrity of the research process. The compliance department will review the transaction to ensure it adheres to the firm's internal policies and regulatory requirements, thus safeguarding the analyst's objectivity and maintaining the credibility of the investment research.

Reference: CISI UAE Financial Rules and Regulations - Personal Transaction Requirements for Financial Analysts, Section 9.3.4 (2023).

NEW QUESTION # 43

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