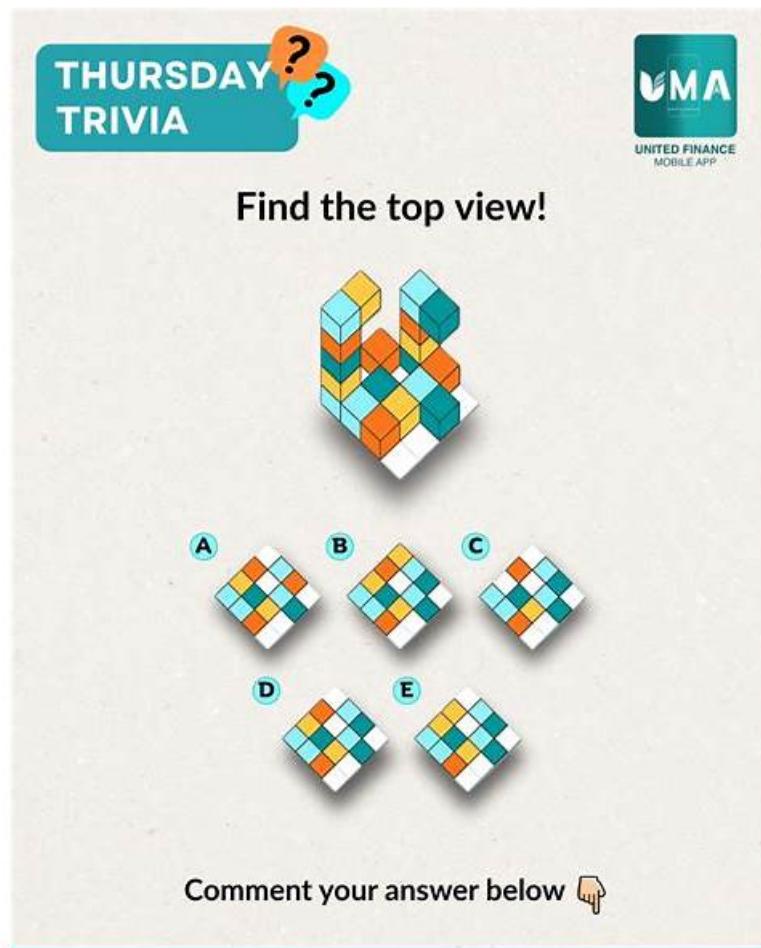


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q62-Q67):

NEW QUESTION # 62

An applicant for a license from the Authority has submitted a feasibility study and work plan. What method will be used to evaluate this?

- A. A stress testing exercise
- B. **SWOT analysis**
- C. Comparison with the same sector
- D. An operational risk matrix

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations require that feasibility studies and work plans submitted by licence applicants be evaluated using a SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats).

This comprehensive method assesses the internal and external factors affecting the viability and strategic positioning of the applicant's business plan. The SWOT analysis helps regulators understand the applicant's operational readiness, competitive environment, risk exposures, and growth potential, ensuring robust due diligence before licensing. Other methods such as operational risk matrices or stress testing may be used in broader risk assessments but are not the primary evaluation tool for feasibility studies.

Reference: CISI UAE Financial Rules and Regulations - Licensing Procedures and Evaluation, Section 3.6.2 (2023).

NEW QUESTION # 63

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 1,000,000 and no more than AED 10,000,000
- C. no less than AED 100,000 and no more than AED 1,000,000
- 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 # 64

Establishing a local investment fund requires the approval of the Authority, for a public fund this will either be granted or rejected within:

- A. 5 working days
- B. 10 working days
- C. 30 working days
- D. **20 working days**

Answer: D

Explanation:

According to the CISI UAE Financial Rules and Regulations, the process for establishing a local investment fund, including a public fund, involves obtaining approval from the relevant regulatory authority, which is usually the Securities and Commodities Authority (SCA). For public funds, the authority is required to either grant or reject the application within 20 working days from the submission date. This time frame ensures that there is adequate time for the Authority to review the application, conduct necessary evaluations, and ensure that the fund complies with all regulatory and legal requirements. The 20-working-day period ensures efficiency while allowing for a thorough review.

Reference: CISI UAE Financial Rules and Regulations - Investment Fund Establishment Process, Section 6.2.1 (2023).

NEW QUESTION # 65

The whistleblowing policy submitted by an applicant for a financial activities licence must include a mechanism for:

- A. protecting the reporting employee
- B. disciplining staff proven to have breached rules
- C. ensuring all staff have a named reporting contact
- D. escalating any reports to board level

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations require that the whistleblowing policy submitted by licence applicants incorporates a clear mechanism for protecting the reporting employee. This protection includes confidentiality safeguards, protection against retaliation, and secure channels for raising concerns. Ensuring the safety and anonymity of whistleblowers is fundamental to encouraging the reporting of unethical or illegal conduct, thereby enhancing regulatory compliance and corporate governance. Other aspects such as escalation procedures and disciplinary measures are important but secondary; the central pillar of effective whistleblowing policy is the protection of the individual who reports wrongdoing.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Whistleblowing, Section 3.4.2 (2023).

NEW QUESTION # 66

Following a public subscription, what must a Special Purpose Acquisition Company do with the proceeds?

- A. Deposit not less than 90% of the public subscription proceeds within two business days of receipt
- B. Deposit not less than 100% of the public subscription proceeds within one business day of receipt
- C. Deposit not less than 100% of the public subscription proceeds within two business days of receipt
- D. Deposit not less than 90% of the public subscription proceeds within one business day of receipt

Answer: B

Explanation:

Special Purpose Acquisition Companies (SPACs) operating under UAE financial regulations must safeguard investors' funds post-public subscription. According to the CISI UAE Financial Rules and Regulations, SPACs are required to deposit 100% of the public subscription proceeds within one business day of receipt into an escrow or segregated account. This requirement ensures that the funds are secured and managed transparently while awaiting acquisition activities. The strict one-business-day deadline prevents misuse or misallocation of investor money and aligns with international best practices for fund protection. This is critical in maintaining market confidence and regulatory compliance, as SPACs act as investment vehicles with inherent risk related to future mergers or acquisitions.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds and SPAC Requirements, Section 6.3.1 (2023).

NEW QUESTION # 67

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