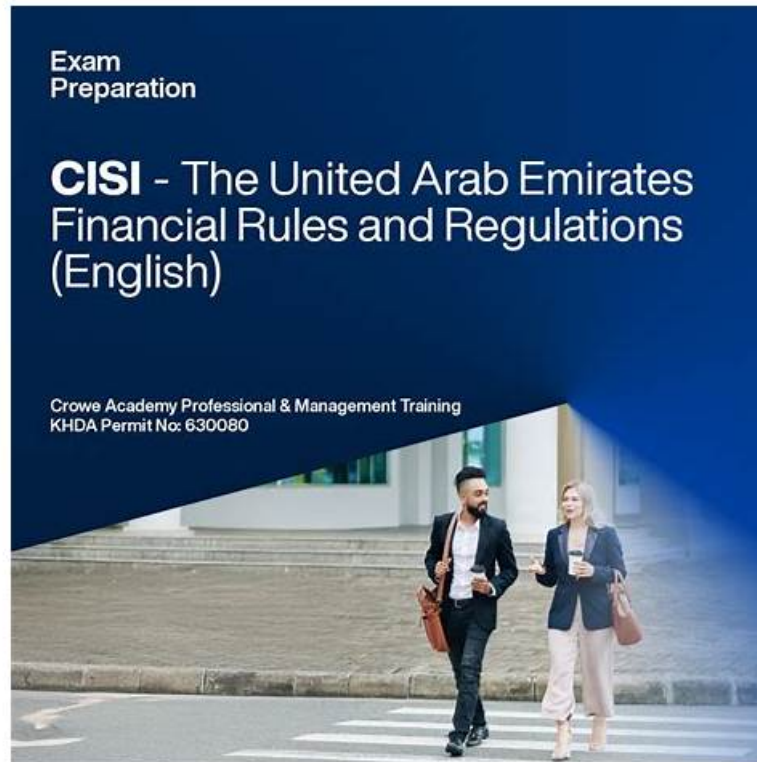


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q37-

Q42):

NEW QUESTION # 37

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

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

Answer: B

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 # 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 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 # 39

The DFM's Professional Code of Conduct requires brokerage firms to take reasonable steps to determine the identity of their clients. For natural persons, this should include:

- **A. profession, exact address, PO Box and phone number**
- B. full name of portfolio manager
- C. nature of the entity, its legal form, type and capital
- D. commercial register number and commercial licence

Answer: A

Explanation:

The Dubai Financial Market (DFM) Professional Code of Conduct mandates that brokerage firms perform thorough customer due diligence to confirm client identities. For natural persons, this includes obtaining detailed personal information such as profession, exact residential address, PO Box, and phone number. This comprehensive identification requirement supports anti-money laundering (AML) and know-your-customer (KYC) policies by enabling firms to verify clients accurately and assess their risk profiles effectively.

Commercial registration details and legal entity information apply to corporate clients, not individuals.

Collecting detailed contact and occupational data also facilitates ongoing monitoring and communication, fulfilling regulatory obligations to maintain transparent client records.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and DFM Professional Code of Conduct, Section 4.1.3 (2023).

NEW QUESTION # 40

What is the maximum term of imprisonment that can be imposed on a person who attempts to commit the crime of money laundering?

- A. Seven years
- B. Three years
- C. Ten years
- D. Five years

Answer: D

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 # 41

When establishing a local investment fund, how much are the founders required to subscribe?

- A. At least 5 million dirhams
- B. At least 1 million dirhams
- C. At least 10 million dirhams
- D. At least 20 million dirhams

Answer: C

Explanation:

When establishing a local investment fund in the UAE, the founders are required to subscribe a minimum amount to demonstrate commitment and to comply with the legal and financial requirements set by the Securities and Commodities Authority (SCA). The minimum required subscription is at least 10 million dirhams. This ensures that the fund has a solid financial base, contributing to its credibility and ability to cover initial operational and management expenses. The founders' subscription also serves to align their interests with those of potential investors and provides an assurance of the fund's viability and long-term sustainability.

Reference: CISI UAE Financial Rules and Regulations - Fund Formation Requirements, Section 6.1.2 (2023).

NEW QUESTION # 42

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