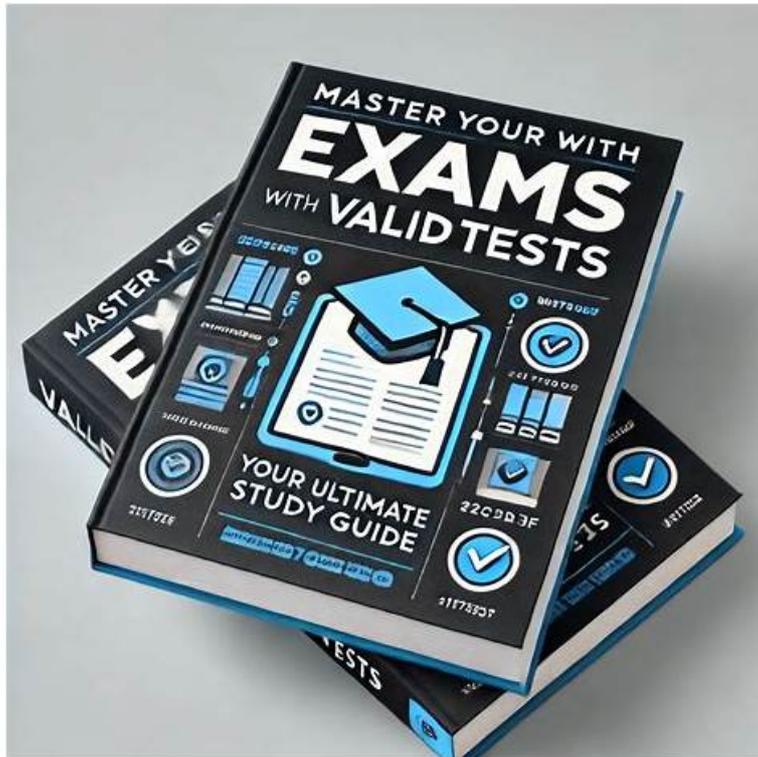


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q75-

Q80):

NEW QUESTION # 75

If there is a material change in the nature of the relevant software, the regulations state that investors who have accepted an offer of crypto assets must be notified:

- A. within no less than 14 days
- B. within no less than 7 days
- C. promptly in advance
- D. immediately after implementation

Answer: C

Explanation:

The CISI UAE Financial Rules and Regulations require that investors in crypto assets be promptly notified in advance of any material change in the nature of the software relevant to the assets. This advance notification is crucial to allow investors to make informed decisions regarding their holdings before changes take effect.

Material changes could affect functionality, security, or value of the crypto asset. The regulation promotes transparency and investor protection by ensuring timely and clear communication, preventing investors from being blindsided by unexpected developments. The requirement aligns with international best practices on disclosure for crypto asset issuers.

Reference: CISI UAE Financial Rules and Regulations - Legislation and Practice, Crypto Asset Regulation, Section 7.2.1 (2023).

NEW QUESTION # 76

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

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

Answer: A

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 # 77

The Authority will only grant a licence to operate a crypto fundraising platform in the UAE if the applicant is a legal person in the form of:

- A. an exchange licensed by a market in the UAE
- B. a company incorporated under Shariah law
- C. a sophisticated trader or a qualified investor
- D. an exchange licensed by the Authority in the UAE

Answer: D

Explanation:

According to CISI UAE Financial Rules and Regulations, the Securities and Commodities Authority (SCA) grants licences to operate crypto fundraising platforms only to legal persons that are exchanges licensed by the Authority within the UAE. This ensures that the entity has the appropriate regulatory oversight, infrastructure, and governance aligned with UAE financial laws. Sophisticated traders or qualified investors, as well as companies incorporated under Shariah law, do not meet the legal entity criteria for such licencing.

The requirement guarantees that fundraising platforms operate within a controlled and transparent environment, protecting investors

and maintaining market integrity.

Reference: CISI UAE Financial Rules and Regulations - Crypto Asset Platforms Licensing, Section 7.1.5 (2023).

NEW QUESTION # 78

When debt securities are offered through a public subscription, the offeror will be required to announce any replacement of the trustee:

- A. after 5 working days
- **B. within a maximum of 72 hours**
- C. within a maximum of 48 hours
- D. immediately

Answer: B

Explanation:

CISI UAE Financial Rules and Regulations stipulate that for debt securities issued via public subscription, the offeror must announce any replacement of the trustee within a maximum of 72 hours. Prompt notification ensures transparency, allowing investors to be informed about key custodial and fiduciary changes that may affect the security's management and enforcement of rights. Delays beyond this period could impact investor confidence and violate continuous disclosure requirements, thus the 72-hour timeframe strikes a balance between operational feasibility and timely communication.

Reference: CISI UAE Financial Rules and Regulations - Debt Securities Public Offers and Trustee Notifications, Section 5.8.6 (2023).

NEW QUESTION # 79

The statement in a suitability report giving reasons for the recommendation must also indicate:

- **A. the client's ability to bear any risks and losses**
- B. the extent to which the author is qualified to make this judgement
- C. why the next best product or service was disregarded
- D. whether or not the client has accepted this guidance

Answer: A

Explanation:

In CISI UAE Financial Rules and Regulations, suitability reports must include a clear statement addressing the client's ability to bear any risks and losses associated with the recommended financial product or service.

This disclosure ensures that recommendations are made with a full understanding of the client's financial capacity and risk tolerance, protecting clients from unsuitable advice. While explanations about alternative products, client acceptance, and author qualifications are relevant, the ability to bear risk is essential to justify the recommendation and meet regulatory standards for investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Reporting, Section 4.3.11 (2023).

NEW QUESTION # 80

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