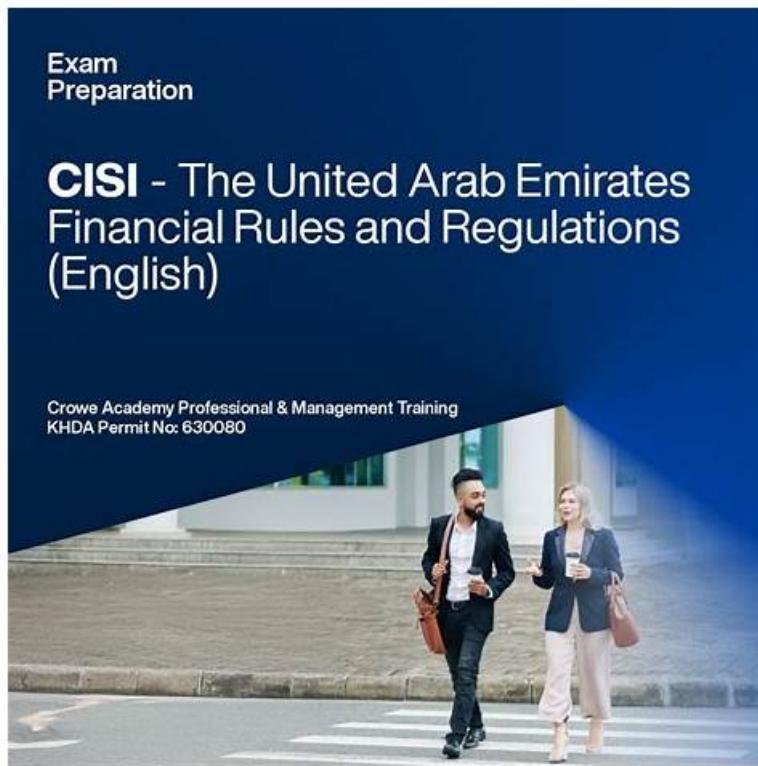


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q27-Q32):

NEW QUESTION # 27

Which of the following customer due diligence measures should be taken if a client is a foreign politically exposed person?

- A. Attempt to establish the source of the funds
- B. Examine the latest Interpol watch list
- C. Seek Authority approval to proceed
- D. Conduct a prescribed risk / benefit analysis

Answer: A

Explanation:

For foreign politically exposed persons (PEPs), CISI UAE Financial Rules and Regulations require that firms undertake rigorous customer due diligence, including attempting to establish the source of funds. Establishing the legitimacy and origin of funds is crucial to prevent illicit money laundering and terrorism financing. While risk/benefit analyses and regulatory approvals are important, the direct verification of fund sources is a primary control measure against financial crimes involving PEPs. Checking watchlists like Interpol's is supplementary but not sufficient alone. This requirement safeguards the financial system and aligns with Federal Law No. 20 of 2018's anti-money laundering mandates.

Reference: CISI UAE Financial Rules and Regulations - AML Controls and PEP Risk Management, Section 8.2.9 (2023).

NEW QUESTION # 28

Which of the following features of a previous order can be changed with the order remaining valid?

- A. Share category
- B. Market
- C. Volume
- D. Order type

Answer: C

Explanation:

In UAE financial markets, certain order attributes can be modified after submission while keeping the order active. According to the CISI UAE Financial Rules and Regulations on Trading, the volume of a previous order is the feature that can be changed without invalidating the order. Adjusting volume allows traders to increase or decrease the quantity of securities to be traded without withdrawing and resubmitting the order.

However, changes to share category, market, or order type typically require cancellation of the existing order and placing a new one, as these changes affect the fundamental nature and execution venue of the order. This flexibility in modifying volume supports market efficiency and helps traders respond swiftly to changing conditions while maintaining order validity.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Modifications, Section 7.1.5 (2023).

NEW QUESTION # 29

Customer due diligence measures require management approval if the natural person involved is:

- A. registered as disabled
- B. normally resident outside the State
- C. a politically exposed person
- D. under the age of 21

Answer: C

Explanation:

Federal Law No. 20 of 2018 and related CISI UAE Financial Rules specify that enhanced customer due diligence procedures require management approval when the client is a politically exposed person (PEP).

PEPs present higher risks due to their potential access to public funds and influence, increasing vulnerability to corruption or money laundering. Management approval ensures senior oversight in onboarding and monitoring PEP clients, aligning with international AML/CTF best practices. Other conditions such as residency or age do not mandate this elevated level of scrutiny. This regulatory requirement enhances governance and mitigates reputational and compliance risks associated with politically exposed persons.

Reference: CISI UAE Financial Rules and Regulations - AML Regulations, Enhanced Due Diligence, Section 8.1.7 (2023).

NEW QUESTION # 30

An obligor with a retail primary listing of Sukuk immediately notified the Authority when one of its board directors was replaced. Why was the obligor considered to be in breach of its continuing obligations?

- A. The new director had less than 5 years' experience
- B. The obligor failed to give 14 days' notice
- C. The obligor failed to also notify the market
- D. The new director held a foreign passport

Answer: C

Explanation:

Under the CISI UAE Financial Rules and Regulations governing Sukuk issuers with retail primary listings, obligors have continuing disclosure obligations designed to ensure transparency and maintain investor confidence. While immediate notification to the Authority is necessary, the obligor must also notify the market to keep all stakeholders informed promptly. Failure to inform the market simultaneously constitutes a breach, as investors rely on timely and complete information to make decisions. This dual-notification requirement is critical to ensure fairness and prevent information asymmetry. The nature of the new director's passport or experience is not the determining factor; rather, it is the procedural omission of market notification that constitutes the breach.

Reference: CISI UAE Financial Rules and Regulations - Continuing Obligations for Sukuk Issuers, Section 5.7.3 (2023).

NEW QUESTION # 31

Which of the following acts is considered to constitute the crime of money laundering?

- A. Acquiring, possessing or using proceeds from an unverified source
- B. Investigating internal reports where concerns of illegal activities are raised by staff
- C. Transferring or moving proceeds or conducting any transaction with the aim of highlighting or opening their source to scrutiny
- D. Investigating or checking on the true nature, source or location of proceeds as well as the method involving their ownership

Answer: A

Explanation:

Under the UAE's Anti-Money Laundering (AML) laws, acquiring, possessing, or using proceeds from an unverified source constitutes the crime of money laundering. The crime occurs when an individual or entity uses illicitly obtained funds without verifying the legitimate source of those funds. This includes activities such as using proceeds from illegal activities for legitimate business purposes, thereby "laundering" the illicit funds. The UAE AML regulations impose strict penalties for such actions to deter money laundering and its harmful effects on the economy and financial system.

Reference: CISI UAE Financial Rules and Regulations - Money Laundering Definitions, Section 9.1.2 (2023).

NEW QUESTION # 32

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