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### CISI UAE Financial Rules and Regulations Exam Sample Questions (Q81-Q86):

#### NEW QUESTION # 81

What is the minimum fine that can be levied on a person found guilty of financing an illegal organisation?

- A. AED 200,000
- B. AED 250,000
- C. AED 150,000
- D. AED 300,000

**Answer: C**

Explanation:

Under Federal Law No. 20 of 2018 and relevant CISI UAE Financial Rules and Regulations, the minimum fine imposed on a person convicted of financing an illegal organisation is AED 150,000. This penalty underscores the seriousness with which the UAE treats the crime of funding illegal or terrorist entities.

Alongside financial sanctions, convicted individuals may face imprisonment and other legal consequences.

These stringent penalties are part of the UAE's commitment to combating terrorism financing and protecting national and international security.

Reference: CISI UAE Financial Rules and Regulations - AML Criminal Sanctions, Section 8.4.5 (2023).

#### **NEW QUESTION # 82**

Where a local investment fund is established by an entity licensed to conduct family investment management, what minimum proportion of the units must be owned by family members?

- A. 51%
- B. 100%
- C. 75%
- **D. 90%**

**Answer: D**

Explanation:

CISI UAE Financial Rules and Regulations specify that when a local investment fund is established by an entity licensed for family investment management, at least 90% of the fund units must be owned by family members. This high ownership threshold ensures that the fund serves its intended purpose as a family investment vehicle, restricting external investor participation. The rule protects the fund's family-oriented investment strategy, governance, and compliance with related regulatory provisions. It also aligns with the regulatory framework promoting transparency and proper segmentation of family investment funds in the UAE financial markets.

Reference: CISI UAE Financial Rules and Regulations - Family Investment Management Funds, Ownership Requirements, Section 6.6.5 (2023).

#### **NEW QUESTION # 83**

Where an applicant for a financial activities licence uses a cloud-based server, they must set out provisions to ensure the outsourced party can operate with zero data loss for what stated period?

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

**Answer: D**

Explanation:

According to CISI UAE Financial Rules and Regulations, applicants utilizing cloud-based servers must demonstrate that their outsourced service providers have provisions in place to guarantee zero data loss for a minimum of five years. This requirement protects the integrity and availability of critical financial data over the regulatory retention period. The five-year timeframe aligns with data retention standards for audit, compliance, and operational continuity in the UAE financial sector, ensuring that regulatory bodies and firms can access historical information for supervisory purposes.

Reference: CISI UAE Financial Rules and Regulations - IT and Data Management Requirements, Section 3.5.7 (2023).

#### **NEW QUESTION # 84**

During an investigation, what should a licensed body do if it discovers that any of the submitted documents or information are incorrect, misleading or have been changed?

- A. The Chair and Board of Directors should notify the Authority and tender their resignations
- B. Notify the concerned entity at the Authority or any of the capital market institutions within 5 working days
- C. Call an emergency Board meeting and thereafter notify the concerned entity at the Authority

- **D. Notify the concerned entity at the Authority or any of the capital market institutions immediately**

**Answer: D**

Explanation:

If a licensed body discovers that any submitted documents or information are incorrect, misleading, or have been changed during an investigation, it is required to notify the concerned entity at the Authority or any of the capital market institutions immediately.

According to the CISI UAE Financial Rules and Regulations, this immediate disclosure is critical for maintaining market integrity and ensuring that the Authority and other relevant bodies can take appropriate actions to address any issues of non-compliance or fraud. The prompt notification prevents further misrepresentation and safeguards the transparency of the financial markets.

Reference: CISI UAE Financial Rules and Regulations - Investigation and Disclosure Requirements, Section 5.6.2 (2023).

#### **NEW QUESTION # 85**

Under what circumstances, if any, is an introducer allowed to provide an investor with financial analysis?

- A. Only if the client proactively requests one
- **B. Only if it is licensed to do so**
- C. Under no circumstances
- D. Only if no recommendations are made

**Answer: B**

Explanation:

CISI UAE Financial Rules and Regulations clearly state that an introducer may only provide financial analysis if it is licensed to do so. Licensing ensures that the introducer has the required qualifications, governance, and regulatory oversight to deliver accurate and compliant financial analyses. Providing financial analysis without licensing can mislead investors and expose them to unsuitable advice. Therefore, introducers without proper licensing are prohibited from offering such analyses, irrespective of client requests or absence of recommendations, preserving market integrity and investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Licensing of Financial Analysis Providers, Section 4.4.5 (2023).

#### **NEW QUESTION # 86**

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