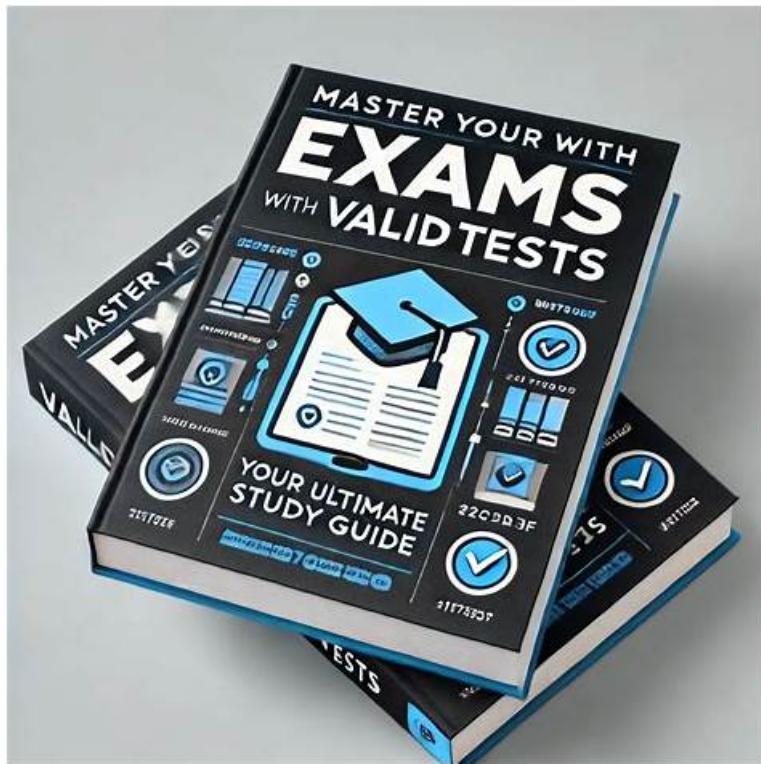


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q40-Q45):

NEW QUESTION # 40

The policies of a firm applying for a financial activities licence must include arrangements to provide a copy of its complaints handling procedure to clients:

- A. within 48 hours of accepting the client
- **B. on request**
- C. within 24 hours of accepting the client
- D. on receipt of a complaint

Answer: B

Explanation:

Under the CISI UAE Financial Rules and Regulations, firms applying for a financial activities licence are required to have formal policies addressing client protection, including clear complaints handling procedures.

Such firms must make these procedures available to clients on request, ensuring transparency and accessibility without imposing undue burden on clients or firms. The regulatory framework does not mandate automatic distribution within fixed timeframes upon client acceptance or complaint receipt but emphasizes accessibility and prompt responsiveness when clients seek the information. This approach balances operational feasibility and client rights to be informed about how their complaints will be managed. Providing the procedure upon request also fosters a trust-based relationship and helps resolve disputes effectively.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Complaints Handling, Section 4.2.7 (2023).

NEW QUESTION # 41

A real estate investment fund may borrow no more than what percentage of its total assets value?

- A. 75%
- B. 25%
- C. 10%
- **D. 50%**

Answer: D

Explanation:

According to the CISI UAE Financial Rules and Regulations, real estate investment funds are subject to borrowing limits to ensure financial stability and prevent excessive leverage. A real estate investment fund may borrow no more than 50% of its total assets value. This limit helps mitigate the risks associated with high levels of debt and ensures that the fund remains adequately capitalized to handle fluctuations in the real estate market. By restricting the borrowing capacity, the regulations aim to protect investors and ensure the fund's long-term sustainability.

Reference: CISI UAE Financial Rules and Regulations - Borrowing Limits for Real Estate Investment Funds, Section 6.1.5 (2023).

NEW QUESTION # 42

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 increased by 50%
- **B. It is doubled**
- C. It is quadrupled
- D. It is tripled

Answer: B

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 # 43

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. Seek Authority approval to proceed
- C. Examine the latest Interpol watch list
- 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 # 44

The last trading day for an India Gold Quanto Futures contract is:

- A. four business days prior to the 25th calendar day of the delivery month
- B. one business day prior to the last business day of the delivery month
- C. the 25th calendar day of the delivery month
- D. two business days prior to the last business day of the delivery month

Answer: D

Explanation:

For India Gold Quanto Futures contracts, the last trading day is defined as two business days prior to the last business day of the delivery month. This rule ensures that there is adequate time for the settlement and adjustment of any open positions before the final day of trading. The two-day buffer also allows for the reconciliation of positions, making the futures market more efficient and reducing the likelihood of disputes regarding settlement. This is in line with global standards for futures contracts where the settlement and final trading days are clearly defined to protect market integrity and investor interests.

Reference: CISI UAE Financial Rules and Regulations - Futures Contract Trading, Section 8.2.4 (2023).

NEW QUESTION # 45

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