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## CISI UAE Financial Rules and Regulations Exam Sample Questions (Q38-Q43):

### NEW QUESTION # 38

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

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

**Answer: D**

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 # 39**

Which of the following is an administrative penalty that can be imposed on financial institutions that violate the law and regulations in relation to money laundering and terrorism financing?

- A. A penalty of no less than AED 5,000 and no more than AED 1,000,000 for each violation
- B. A penalty of no less than AED 15,000 and no more than AED 5,000,000 for each violation
- **C. A penalty of no less than AED 50,000 and no more than AED 5,000,000 for each violation**
- D. A penalty of no less than AED 100,000 and no more than AED 10,000,000 for each violation

**Answer: C**

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, financial institutions that violate anti-money laundering (AML) and counter-terrorism financing (CTF) laws may be subjected to administrative penalties ranging from no less than AED 50,000 and no more than AED 5,000,000 for each violation. These substantial fines underscore the UAE's commitment to stringent AML/CTF enforcement and deterrence. Administrative penalties are imposed alongside other measures such as corrective actions and possible criminal sanctions, ensuring comprehensive regulatory oversight.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.4 (2023).

#### **NEW QUESTION # 40**

If an offering person arranges the issuance of crypto assets for which funds have been subscribed by investors, controls must be set up to avoid:

- **A. subscriptions being taken at excessive levels from non-qualified investors**
- B. subscriptions being taken at different threshold levels
- C. prices being allowed to fluctuate during the opening offer period
- D. prices being determined at the discretion of the issuer

**Answer: A**

Explanation:

Under Federal Law No. 20 of 2018 and related CISI UAE Financial Rules and Regulations, issuers arranging crypto asset offerings must establish controls to prevent subscriptions being taken at excessive levels from non-qualified investors. This is a key investor protection and anti-money laundering measure designed to restrict high-risk investment exposure to those with adequate knowledge, resources, and risk appetite. By enforcing subscription limits for non-qualified investors, the regulations mitigate fraud, market manipulation, and financial losses while ensuring regulatory compliance. Controls over pricing discretion or fluctuations, while relevant, are not the central regulatory concern in this context.

Reference: CISI UAE Financial Rules and Regulations - AML and Crypto Asset Issuance Controls, Section 8.2.4 (2023).

#### **NEW QUESTION # 41**

A vote carried out by the board of the Authority resulted in a tie. What happens in these circumstances?

- A. The vote against the resolution is automatically carried
- B. The decision is postponed until another vote can be taken
- **C. The chairman or their deputy is granted the casting vote**
- D. The vote for the resolution is automatically carried

**Answer: C**

Explanation:

Under the CISI UAE Financial Rules and Regulations, in the event of a tie vote by the board of the Authority, the chairman or their deputy is granted the casting vote to resolve the deadlock. This mechanism ensures decisions can be made efficiently without indefinite postponement. The casting vote provides a decisive voice to the chair in balancing the board's decisions, reflecting common governance principles in corporate and regulatory bodies. Automatic carriage or rejection of resolutions without further input is not allowed, and postponement is typically avoided to maintain regulatory effectiveness.

Reference: CISI UAE Financial Rules and Regulations - Governance and Board Procedures, Section 2.4.8 (2023).

#### NEW QUESTION # 42

When licence applicants submit behaviour regulations including a professional code of ethics, this falls under the category of:

- **A. governance regulation**
- B. administration regulation
- C. technical system
- D. employee regulation

**Answer: A**

Explanation:

Behaviour regulations submitted by license applicants, such as a professional code of ethics, are classified under governance regulations within the CISI UAE Financial Rules and Regulations framework. Governance regulations encompass policies, standards, and codes that guide the ethical conduct, integrity, and responsibilities of licensed entities and their employees. They are designed to promote accountability, compliance, and good corporate citizenship within the financial industry. Unlike technical systems, which relate to operational infrastructure, or employee regulations focused on HR and workplace rules, governance regulations provide the overarching ethical and procedural guidelines essential for sustaining market confidence and protecting stakeholders. The inclusion of a professional code of ethics ensures license applicants demonstrate commitment to the principles of fairness, transparency, and fiduciary duty, which are fundamental requirements by the Securities and Commodities Authority (SCA) for licensing approval.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Governance, Section 3.1.4 (2023).

#### NEW QUESTION # 43

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