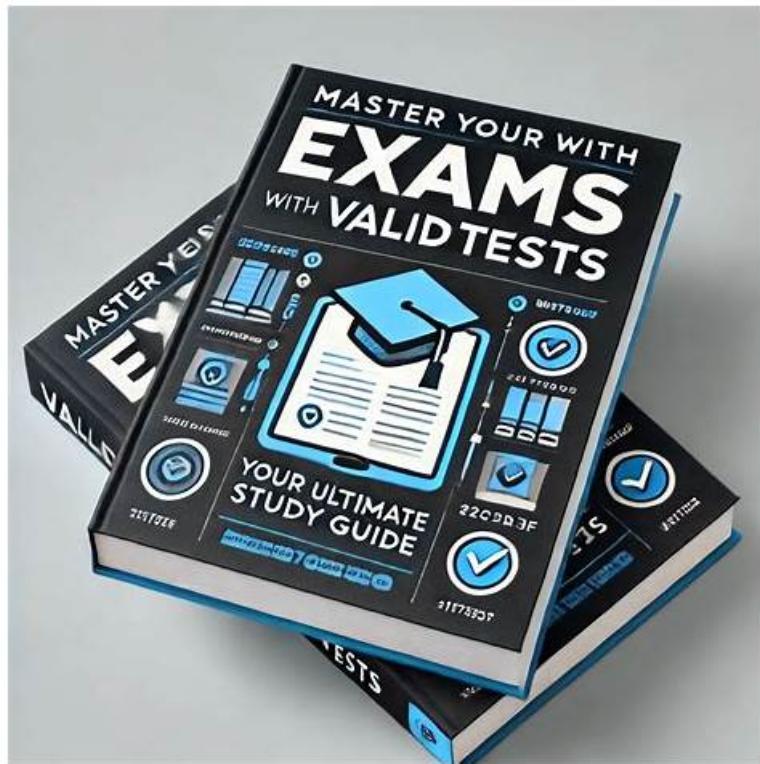


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q44-Q49):

NEW QUESTION # 44

In which circumstances might lawyers, notary publics, other legal stakeholders and independent legal auditors be exempt from suspicious transaction reporting requirements?

- A. When providing services relating to beneficiaries of insurance policies
- B. When advising on financial transactions for politically exposed persons
- C. When conducting real estate transactions within the UAE
- D. When providing legal opinion with regards to legal proceedings

Answer: D

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, lawyers, notary publics, and other legal professionals may be exempt from suspicious transaction reporting requirements when providing legal opinions related to legal proceedings. This exemption recognizes the privileged nature of legal advice and the confidentiality inherent in legal representation. However, when these professionals engage in financial or transactional activities outside the scope of legal proceedings, such as advising on financial transactions or real estate deals, they must comply with reporting obligations to prevent money laundering. The exemption balances legal professional privilege with AML/CTF requirements.

Reference: CISI UAE Financial Rules and Regulations - AML Exemptions for Legal Professionals, Section 8.3.1 (2023).

NEW QUESTION # 45

In what circumstances can the requirement for licensed bodies to disclose their legal status be waived?

- A. A significant market correction is taking place
- B. A takeover bid for the licensed body has been launched
- C. An emergency has been notified to the Authority
- D. A court case against the licensed body is in progress

Answer: C

Explanation:

The CISI UAE Financial Rules and Regulations allow the waiver of the requirement for licensed bodies to disclose their legal status only in specific scenarios such as when an emergency has been notified to the Authority. This provision recognizes that during certain urgent situations, standard disclosure obligations may be temporarily suspended to allow for swift action or confidentiality. Other circumstances such as ongoing court cases, market corrections, or takeover bids do not automatically justify waivers of disclosure obligations, preserving investor transparency and trust under normal conditions.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Disclosure Obligations and Waivers, Section 4.1.10 (2023).

NEW QUESTION # 46

An applicant for a license from the Authority has submitted a feasibility study and work plan. What method will be used to evaluate this?

- A. A stress testing exercise
- B. Comparison with the same sector
- C. An operational risk matrix
- D. SWOT analysis

Answer: D

Explanation:

CISI UAE Financial Rules and Regulations require that feasibility studies and work plans submitted by licence applicants be evaluated using a SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats).

This comprehensive method assesses the internal and external factors affecting the viability and strategic positioning of the applicant's business plan. The SWOT analysis helps regulators understand the applicant's operational readiness, competitive environment, risk exposures, and growth potential, ensuring robust due diligence before licensing. Other methods such as operational risk matrices or

stress testing may be used in broader risk assessments but are not the primary evaluation tool for feasibility studies. Reference: CISI UAE Financial Rules and Regulations - Licensing Procedures and Evaluation, Section 3.6.2 (2023).

NEW QUESTION # 47

When a company applies to become a Special Purpose Acquisition Company, its sponsors must prepare proposals to:

- A. reduce the risk to investors
- B. **manage conflicts of interest**
- C. deal with succession planning
- D. identify potential money laundering

Answer: B

Explanation:

Sponsors of companies applying to become Special Purpose Acquisition Companies (SPACs) in the UAE must prepare detailed proposals that specifically address the management of conflicts of interest. This is mandated under CISI UAE Financial Rules and Regulations to ensure that the SPAC's activities remain transparent and investors' interests are protected. Conflicts of interest may arise from the sponsors' dual roles or relationships with target companies or investors. Addressing these conflicts proactively through proposals and policies supports integrity and market confidence. While risk reduction and anti-money laundering are critical, the regulations explicitly highlight conflict management as a core area for SPAC sponsors.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, SPAC Sponsorship Requirements, Section 6.3.4 (2023).

NEW QUESTION # 48

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 # 49

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