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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q11-Q16):

NEW QUESTION # 11

If a Special Purpose Acquisition Company fails to complete a business combination, measures to return the funds to investors must be taken within what maximum number of business days?

- A. 0
- **B. 1**
- C. 2
- D. 3

Answer: B

Explanation:

Under CISI UAE Financial Rules and Regulations, if a Special Purpose Acquisition Company (SPAC) does not complete a business combination within the stipulated timeframe, it must initiate measures to return the funds to investors within a maximum of 20 business days. This safeguard ensures that investors are not indefinitely exposed to risks related to unutilized capital in the SPAC, maintaining market discipline and investor protection. The regulations mandate clear timelines for fund returns to prevent misuse or undue delay, aligning with international SPAC best practices. Timely fund returns uphold investor confidence and market integrity, essential in the UAE's evolving financial landscape.

Reference: CISI UAE Financial Rules and Regulations - SPAC Regulations, Investor Protection and Fund Return, Section 6.3.8 (2023).

NEW QUESTION # 12

The minimum paid-up capital requirement for ranking and advice firms is:

- **A. AED 5 million**
- B. AED 50 million
- C. AED 30 million
- D. none

Answer: A

Explanation:

Under CISI UAE Financial Rules and Regulations, firms offering ranking and advisory services in the financial sector must meet a minimum paid-up capital requirement of AED 5 million. This capital threshold ensures that such firms have sufficient financial resources to maintain operational stability, manage risks, and fulfill regulatory obligations. It also reflects the level of responsibility these firms carry in providing investment advice and rankings that impact market participants. Higher capital requirements apply to more systemically significant entities, but the AED 5 million benchmark balances accessibility and prudence for ranking and advice firms.

Reference: CISI UAE Financial Rules and Regulations - Licensing Capital Requirements, Section 3.2.5 (2023).

NEW QUESTION # 13

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

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

Answer: C

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 # 14

The conciliation process allows the Authority to impose what alternative to criminal prosecution?

- **A. Negotiated out-of-court settlement**
- B. Suspension of activities for a specified period
- C. Referral to the Central Bank
- D. Payment of a prescribed amount of money

Answer: A

Explanation:

The CISI UAE Financial Rules and Regulations provide for a conciliation process whereby the Authority may impose a negotiated out-of-court settlement as an alternative to criminal prosecution. This mechanism allows for the resolution of regulatory breaches through mutual agreement, often involving remedial actions and financial penalties, without lengthy court proceedings. It supports regulatory efficiency and offers a less adversarial path to compliance while maintaining enforcement effectiveness. Suspension or referral are different enforcement actions but not part of the conciliation alternative.

Reference: CISI UAE Financial Rules and Regulations - Enforcement and Conciliation Procedures, Section 2.7.5 (2023).

NEW QUESTION # 15

What proportion of the market value of securities owned by a brokerage company are used to increase the value of its guarantee?

- A. 60%
- **B. 70%**
- C. 80%
- D. 50%

Answer: B

Explanation:

According to CISI UAE Financial Rules and Regulations, brokerage companies must use 70% of the market value of securities they own to increase the value of their guarantee. This guarantee acts as a financial safeguard to ensure the firm's stability and protect clients and counterparties against default risk. The 70% proportion strikes a balance between maximizing the leverage of owned securities and maintaining prudent risk management. It reflects the regulatory emphasis on requiring sufficient collateral and guarantees to support brokerage operations, maintaining market confidence and financial soundness within the UAE capital markets.

Reference: CISI UAE Financial Rules and Regulations - Brokerage Firms Guarantees, Section 3.3.9 (2023).

NEW QUESTION # 16

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