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### CISI UAE Financial Rules and Regulations Exam Sample Questions (Q92-Q97):

#### NEW QUESTION # 92

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

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

#### Answer: B

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 # 93

The Board of a securities market wished to suspend a rule relating to the operations of that market, why was it unable to do so?

- A. It failed to seek permission from the Authority
- B. A 30-day notice was not provided
- C. The majority of the board was not present
- D. An Authority penalty was pending

#### Answer: A

Explanation:

When the Board of a securities market wishes to suspend a rule related to the market's operations, it must first obtain permission from the regulatory Authority. According to the CISI UAE Financial Rules and Regulations, if permission is not sought from the Authority before attempting to suspend the rule, the suspension request will not be valid. This requirement ensures that the Authority has oversight over the market's operational changes and can assess whether suspending the rule aligns with regulatory goals such as market stability, fairness, and transparency. This helps prevent arbitrary or inconsistent rule changes that might undermine investor confidence or disrupt the smooth functioning of the market.

Reference: CISI UAE Financial Rules and Regulations - Market Rule Suspension Procedures, Section 2.4.7 (2023).

#### NEW QUESTION # 94

DFM brokerage firms are required to ensure that employees have appropriate professional experience if they:

- A. are employed to deal with clients or on their behalf
- B. are employed to operate an electronic trading or clearing system
- C. are on full-time or substantial part-time contracts
- D. are new to the company or the industry

#### Answer: A

#### Explanation:

DFM brokerage firms are required to ensure that their employees have appropriate professional experience if they are employed to deal with clients or on their behalf. This is because employees interacting directly with clients must possess the necessary skills, knowledge, and experience to provide accurate information, manage client portfolios, and handle client transactions in compliance with regulatory standards. This ensures that clients are protected from potential mismanagement or malpractice and that the brokerage firm maintains a high standard of service.

Reference: CISI UAE Financial Rules and Regulations - Employee Competency Requirements for DFM Brokerage Firms, Section 7.2.1 (2023).

#### NEW QUESTION # 95

A failure to report suspicions, or gross negligence in implementing processes and procedures in relation to suspicions of money laundering, can result in a fine of:

- A. no less than AED 50,000 and no more than AED 1,000,000
- B. no less than AED 100,000 and no more than AED 1,000,000
- **C. no less than AED 100,000 and no more than AED 5,000,000**
- D. no less than AED 1,000,000 and no more than AED 10,000,000

#### Answer: C

#### Explanation:

Under Federal Law No. 20 of 2018 and the CISI UAE Financial Rules and Regulations, entities failing to report suspicions of money laundering or exhibiting gross negligence in their anti-money laundering (AML) processes are subject to severe financial penalties. The fine ranges from no less than AED 100,000 and no more than AED 5,000,000. These substantial fines are intended to enforce strict compliance with AML obligations and deter negligence or complicity in money laundering activities. This penalty framework ensures organizations maintain robust internal controls, timely reporting, and staff training to identify and report suspicious activities effectively, thereby protecting the UAE's financial system.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.2 (2023).

#### NEW QUESTION # 96

Which category of firm is required to provide accounts using a 'Unified Centralised Back Office System'?

- A. Category 2 - Dealing in investments
- B. Category 1 - Dealing in securities
- **C. Category 3 - Custody, clearing and recording**
- D. Category 4 - Credit rating agencies

#### Answer: C

#### Explanation:

Firms engaged in custody, clearing, and recording activities are required by UAE financial regulations to use a 'Unified Centralised Back Office System' to maintain and manage their accounts. This requirement is outlined in the CISI UAE Financial Rules and Regulations under Category 3 firms, which include those involved in custodial services, clearing, and recording of transactions. The centralized system ensures that these firms can manage large volumes of transaction data securely and efficiently while adhering to regulatory standards for reporting and transparency. It is designed to streamline operational processes and reduce risks related to errors, fraud, or data mismanagement.

Reference: CISI UAE Financial Rules and Regulations - Unified Centralised Back Office System, Section 7.1.3 (2023).

#### NEW QUESTION # 97

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