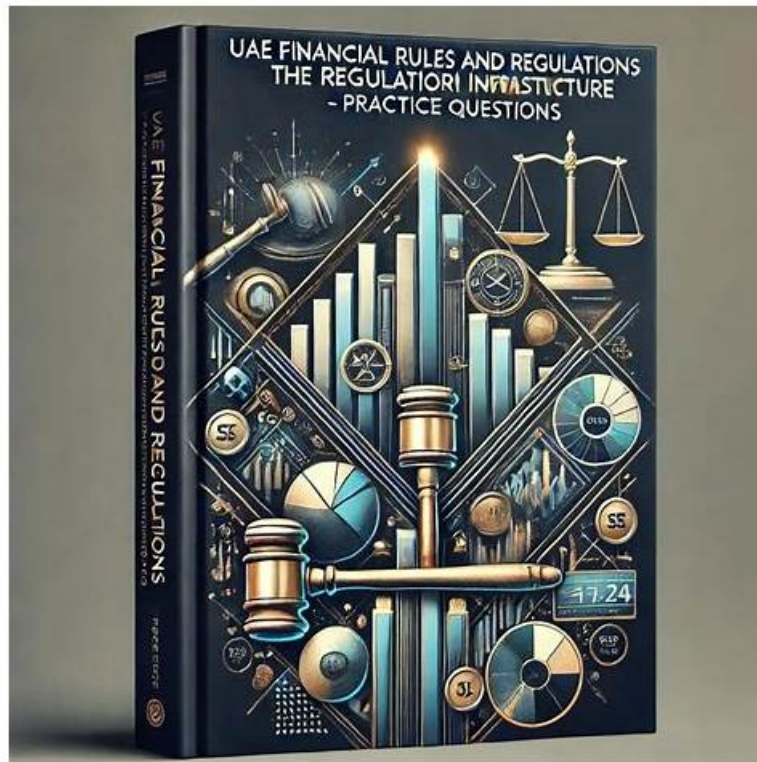


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q31-Q36):

NEW QUESTION # 31

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

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 # 32

Which of the following features of a previous order can be changed with the order remaining valid?

- A. Order type
- B. Share category
- C. Market
- **D. Volume**

Answer: D

Explanation:

In UAE financial markets, certain order attributes can be modified after submission while keeping the order active. According to the CISI UAE Financial Rules and Regulations on Trading, the volume of a previous order is the feature that can be changed without invalidating the order. Adjusting volume allows traders to increase or decrease the quantity of securities to be traded without withdrawing and resubmitting the order.

However, changes to share category, market, or order type typically require cancellation of the existing order and placing a new one, as these changes affect the fundamental nature and execution venue of the order. This flexibility in modifying volume supports market efficiency and helps traders respond swiftly to changing conditions while maintaining order validity.

Reference: CISI UAE Financial Rules and Regulations - Trading Rules and Order Modifications, Section 7.1.5 (2023).

NEW QUESTION # 33

If a discrepancy comes to light when conducting an external reconciliation, what must the firm do?

- A. Immediately suspend operations with the third party
- **B. Investigate and correct it as soon as possible**
- C. Close the client's account by close of business on the same day
- D. Immediately inform the regulator verbally and follow this up in writing

Answer: B

Explanation:

If a discrepancy is identified during an external reconciliation process, the firm is required to investigate and correct it as soon as possible. The CISI UAE Financial Rules and Regulations emphasize that discrepancies, whether in financial data or operational procedures, must be thoroughly examined to determine the root cause and rectified promptly. Immediate corrective action helps to ensure that financial statements and other reports remain accurate and reliable, preventing any further errors or compliance issues. While it may be necessary to inform the regulator or suspend operations in extreme cases, the first priority is to address the

discrepancy through investigation and correction.

Reference: CISI UAE Financial Rules and Regulations - Reconciliation and Error Resolution, Section 8.1.4 (2023).

NEW QUESTION # 34

When promoting private funds, related materials must:

- A. advise that the funds cannot be transferred to a third party
- B. receive prior approval of the content from the Authority
- C. clarify the private fund's specific nature and include the required disclaimer laid down by the Authority
- D. refrain from using public advertisement media of certain types, including audio and video, with the exception of read media

Answer: C

Explanation:

Promotional materials for private funds in the UAE must clearly clarify the fund's specific nature and include the required disclaimer as prescribed by the Authority. This requirement ensures that potential investors receive accurate and compliant information about the private fund's characteristics, risks, and restrictions. The disclaimer serves to limit investor expectations and legal liabilities. While certain media restrictions and content approvals may apply in some jurisdictions, the key regulatory focus is on transparency and proper disclosure within promotional materials to protect investor interests.

Reference: CISI UAE Financial Rules and Regulations - Investment Funds Promotion and Disclosure Requirements, Section 6.3.9 (2023).

NEW QUESTION # 35

A licensed person who conducts financial activities related to security tokens is required to carry out a suitability check only if:

- A. the token falls into the high risk category
- B. the licensed person has less than 3 years' relevant experience
- C. the client is not a qualified investor
- D. the amount being invested exceeds AED 100,000

Answer: C

Explanation:

According to CISI UAE Financial Rules and Regulations, a licensed person dealing with security tokens must conduct a suitability check when the client is not a qualified investor. This requirement protects less sophisticated investors by ensuring that the financial products offered match their investment knowledge, risk tolerance, and financial circumstances. Qualified investors are presumed to have sufficient expertise and resources, thus not mandating suitability checks. The nature of the token or amount invested is not the primary trigger; rather, client qualification status governs the obligation to perform suitability assessments.

This aligns with investor protection principles embedded in UAE financial regulations.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Checks, Section 4.3.9 (2023).

NEW QUESTION # 36

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