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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q74-Q79):

NEW QUESTION # 74

Where a financial analyst wants to conduct a personal transaction which relates to investment research being undertaken, what additional requirement is normally imposed?

- A. Signing of a guarantee undertaking
- B. Signing of a non-conflict disclaimer
- C. Approval from the firm's legal or compliance department
- D. Approval from the Authority or Central Bank

Answer: C

Explanation:

When a financial analyst wishes to conduct a personal transaction that is related to ongoing investment research, the approval from the firm's legal or compliance department is typically required. This additional requirement helps ensure that there is no conflict of interest and that the analyst's personal transactions do not interfere with their professional duties or the integrity of the research process. The compliance department will review the transaction to ensure it adheres to the firm's internal policies and regulatory requirements, thus safeguarding the analyst's objectivity and maintaining the credibility of the investment research.

Reference: CISI UAE Financial Rules and Regulations - Personal Transaction Requirements for Financial Analysts, Section 9.3.4 (2023).

NEW QUESTION # 75

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

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

Answer: A

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 # 76

The disclosure of a licensed body's legal status, including the fact that it is licensed by the Authority, is important because:

- A. it forces firms to disclose their regulatory status and that they are subject to the Authority's control and supervision
- B. it ensures that no clients suffer from perceived or actual misbehaviour at the hands of a firm which is regulated
- C. it allows third party firms to use, utilise, or copy the Authority's logo for any reason and this reassures clients
- D. it enables those that might suffer from perceived or actual misbehaviour at the hands of a firm to raise their concerns with the regulator

Answer: D

Explanation:

Disclosing a licensed body's legal status and its licensing by the Authority is crucial because it enables clients and others who may suffer from perceived or actual misbehaviour to raise their concerns with the regulator.

This transparency mechanism empowers investors and market participants to seek redress and promotes regulatory oversight. While the disclosure also signifies the firm's subjection to regulatory supervision, the primary benefit is facilitating complaint handling and protection. It does not imply that no misbehaviour occurs, nor does it authorize the unauthorised use of the Authority's branding by third parties.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Regulatory Disclosure, Section 4.1.8 (2023).

NEW QUESTION # 77

If an issuer provides its shareholders with bonus shares, then the CSD Department will deposit the bonus shares issued in the account and will register them as a whole, round number. What happens in the case that there are fractions of shares?

- A. The issuing company must sell them within 45 days
- B. These are also added to the shareholder's account
- **C. They are totalled up and put in a suspense account**
- D. The issuing company must sell them within 30 days

Answer: C

Explanation:

When bonus shares are issued, the Central Securities Depository (CSD) registers shares in whole numbers only. Any fractions of shares that result from the bonus share calculation cannot be credited to individual shareholder accounts. According to CISI UAE Financial Rules and Regulations, these fractional shares are aggregated and placed into a suspense account by the CSD. The suspense account holds these fractional shares collectively until such time as they can be properly managed, such as by being sold off and the proceeds distributed to shareholders in proportion to their holdings. This process prevents fractional shares from being credited inaccurately, ensuring operational clarity and market integrity. The issuing company is not immediately responsible for selling these fractions, but regulatory oversight governs their eventual disposal.

Reference: CISI UAE Financial Rules and Regulations - Securities Issuance and Registration, Section 5.3.6 (2023).

NEW QUESTION # 78

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

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

Answer: D

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 # 79

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