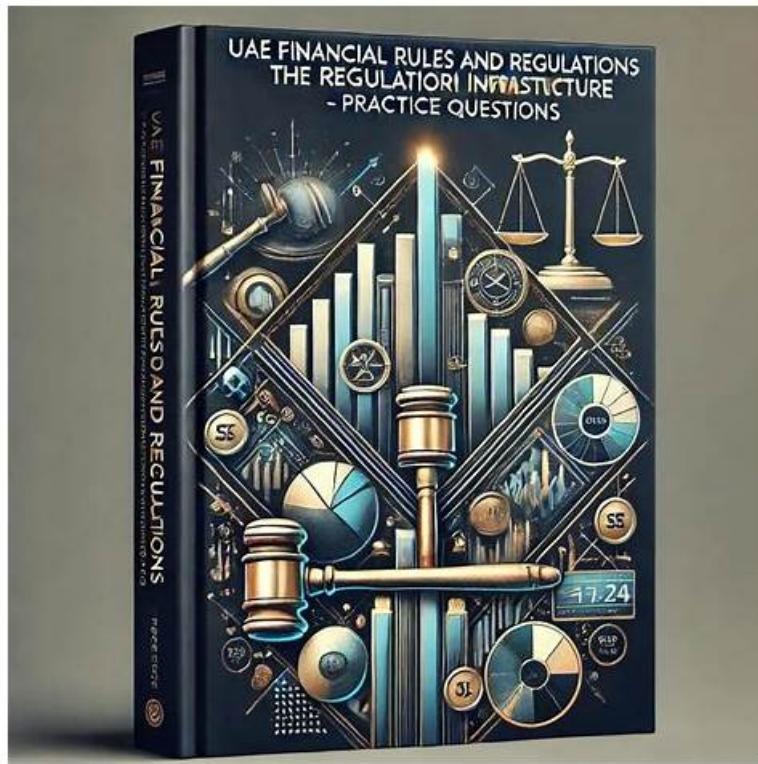


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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q17-Q22):

NEW QUESTION # 17

Which of the following is an administrative penalty that can be imposed on financial institutions that violate the law and regulations in relation to money laundering and terrorism financing?

- A. A penalty of no less than AED 5,000 and no more than AED 1,000,000 for each violation
- B. A penalty of no less than AED 100,000 and no more than AED 10,000,000 for each violation
- **C. A penalty of no less than AED 50,000 and no more than AED 5,000,000 for each violation**
- D. A penalty of no less than AED 15,000 and no more than AED 5,000,000 for each violation

Answer: C

Explanation:

Under Federal Law No. 20 of 2018 and CISI UAE Financial Rules and Regulations, financial institutions that violate anti-money laundering (AML) and counter-terrorism financing (CTF) laws may be subjected to administrative penalties ranging from no less than AED 50,000 and no more than AED 5,000,000 for each violation. These substantial fines underscore the UAE's commitment to stringent AML/CTF enforcement and deterrence. Administrative penalties are imposed alongside other measures such as corrective actions and possible criminal sanctions, ensuring comprehensive regulatory oversight.

Reference: CISI UAE Financial Rules and Regulations - AML Enforcement and Penalties, Section 8.5.4 (2023).

NEW QUESTION # 18

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

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

Answer: D

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 # 19

If the mid-point is used to determine the theoretical auction price for a pre-closing session of the DFM, it is:

- A. rounded down to the nearest price tick
- B. rounded to two decimal places
- C. rounded to one decimal place
- **D. rounded up to the nearest price tick**

Answer: D

Explanation:

The Dubai Financial Market (DFM) utilizes precise rules to calculate the theoretical auction price during pre-closing sessions to ensure market transparency and fairness. According to the CISI UAE Financial Rules and Regulations and DFM official trading manuals, when the mid-point price is used in price determination, it is rounded up to the nearest price tick. This rounding mechanism ensures consistency in pricing and avoids fractional pricing issues that could disrupt the matching of buy and sell orders. The concept

of a price tick is a minimum price movement allowed in trading, defined by the market's tick size schedule. By rounding up, the market supports price stability and protects sellers during the auction process. This is explicitly stated in DFM's trading rules section regarding auction price calculation and tick size adjustments.

Reference:CISI UAE Financial Rules and Regulations - Dubai Financial Market Rules, Auction Price Determination, Section 5.2.3 (2023).

NEW QUESTION # 20

Under what circumstances must licensed entities provide the Authority with copies of appropriateness reports issued to clients?

- A. Routinely on a quarterly basis
- B. Only if a complaint is made
- C. Routinely on a monthly basis
- D. Only if requested by them to do so

Answer: D

Explanation:

Licensed entities in the UAE financial sector, under the supervision of the Securities and Commodities Authority (SCA), are required to maintain and provide documents related to client interactions and suitability assessments when requested by the Authority.

According to the CISI UAE Financial Rules and Regulations, appropriateness reports-used to assess whether certain financial products or services are suitable for clients- are not routinely submitted on a monthly or quarterly basis unless specifically demanded. Instead, the responsibility lies with the licensed entity to retain these reports and submit copies only upon explicit request by the Authority or in case of regulatory investigations. This ensures a balanced approach between regulatory oversight and operational efficiency. The rationale is to allow the Authority to conduct targeted reviews while minimizing administrative burdens on firms, thus enabling a focused compliance regime that protects client interests without unnecessary procedural overload. This is aligned with the regulatory framework designed to ensure transparency, investor protection, and market integrity in the UAE.

Reference:CISI UAE Financial Rules and Regulations Study Guide, Section on Client Protection - Obligations of Licensed Entities Regarding Appropriateness Reports, SCA Compliance Guidelines 2023.

NEW QUESTION # 21

Establishing a local investment fund requires the approval of the Authority, for a public fund this will either be granted or rejected within:

- A. 5 working days
- B. 20 working days
- C. 30 working days
- D. 10 working days

Answer: B

Explanation:

According to the CISI UAE Financial Rules and Regulations, the process for establishing a local investment fund, including a public fund, involves obtaining approval from the relevant regulatory authority, which is usually the Securities and Commodities Authority (SCA). For public funds, the authority is required to either grant or reject the application within 20 working days from the submission date. This time frame ensures that there is adequate time for the Authority to review the application, conduct necessary evaluations, and ensure that the fund complies with all regulatory and legal requirements. The 20-working-day period ensures efficiency while allowing for a thorough review.

Reference: CISI UAE Financial Rules and Regulations - Investment Fund Establishment Process, Section 6.2.1 (2023).

NEW QUESTION # 22

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