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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q70-Q75):

NEW QUESTION # 70

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

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

Answer: D

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 # 71

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

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

Answer: B

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 # 72

Which of the following customer due diligence measures should be taken if a client is a foreign politically exposed person?

- A. Seek Authority approval to proceed
- B. Conduct a prescribed risk / benefit analysis
- **C. Attempt to establish the source of the funds**
- D. Examine the latest Interpol watch list

Answer: C

Explanation:

For foreign politically exposed persons (PEPs), CISI UAE Financial Rules and Regulations require that firms undertake rigorous customer due diligence, including attempting to establish the source of funds. Establishing the legitimacy and origin of funds is crucial to prevent illicit money laundering and terrorism financing. While risk/benefit analyses and regulatory approvals are important, the direct verification of fund sources is a primary control measure against financial crimes involving PEPs. Checking watchlists like Interpol's is supplementary but not sufficient alone. This requirement safeguards the financial system and aligns with Federal Law No. 20 of 2018's anti-money laundering mandates.

Reference: CISI UAE Financial Rules and Regulations - AML Controls and PEP Risk Management, Section 8.2.9 (2023).

NEW QUESTION # 73

The compliance regulation guide, submitted by an applicant for a license from the Authority, must set out procedures and mechanisms which will ensure that the compliance officer:

- A. can report confidentially to the regulator
- B. is able to suspend operations in an emergency
- C. can appoint a deputy during an unplanned absence
- **D. has access to sufficient resources**

Answer: D

Explanation:

Per CISI UAE Financial Rules and Regulations, the compliance regulation guide submitted by licensing applicants must include procedures and mechanisms that ensure the compliance officer has access to sufficient resources. Adequate resources are critical for the compliance officer to effectively oversee adherence to regulatory requirements, manage risks, and implement compliance programs. This includes staffing, technology, training, and authority necessary to fulfill the role's responsibilities. While emergency powers or deputizing may be operationally important, the regulations emphasize resource adequacy as a fundamental compliance enabler.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure and Compliance Officer Requirements, Section 3.3.6 (2023).

NEW QUESTION # 74

Unless otherwise agreed, a broker must submit to the client a statement of account that outlines the client's balance of securities and cash, and all transactions executed every:

- A. 3 months
- B. 12 months
- **C. month**
- D. 6 months

Answer: C

Explanation:

Under the CISI UAE Financial Rules and Regulations, brokers are required to submit regular statements of account to clients. These statements must include the client's balance of securities and cash, as well as details of all transactions executed. The statement must be submitted on a monthly basis, unless a different arrangement is specifically agreed upon between the broker and the client. This ensures transparency, allowing clients to stay informed about their investment portfolios and the status of their accounts. Regular monthly reporting is a fundamental requirement for protecting client interests and ensuring that financial institutions operate with the highest standards of accountability and client service.

Reference: CISI UAE Financial Rules and Regulations - Client Account Statements, Section 4.5.2 (2023).

NEW QUESTION # 75

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