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CISI UAE Financial Rules and Regulations Exam Sample Questions (Q98-Q103):

NEW QUESTION # 98

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

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

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 # 99

The statement in a suitability report giving reasons for the recommendation must also indicate:

- A. why the next best product or service was disregarded
- **B. the client's ability to bear any risks and losses**
- C. whether or not the client has accepted this guidance
- D. the extent to which the author is qualified to make this judgement

Answer: B

Explanation:

In CISI UAE Financial Rules and Regulations, suitability reports must include a clear statement addressing the client's ability to bear any risks and losses associated with the recommended financial product or service.

This disclosure ensures that recommendations are made with a full understanding of the client's financial capacity and risk tolerance, protecting clients from unsuitable advice. While explanations about alternative products, client acceptance, and author qualifications are relevant, the ability to bear risk is essential to justify the recommendation and meet regulatory standards for investor protection.

Reference: CISI UAE Financial Rules and Regulations - Client Protection and Suitability Reporting, Section 4.3.11 (2023).

NEW QUESTION # 100

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. The issuing company must sell them within 30 days
- **D. They are totalled up and put in a suspense account**

Answer: D

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 # 101

When a company applies to become a Special Purpose Acquisition Company, its sponsors must prepare proposals to:

- A. reduce the risk to investors
- B. identify potential money laundering
- C. manage conflicts of interest
- D. deal with succession planning

Answer: C

Explanation:

Sponsors of companies applying to become Special Purpose Acquisition Companies (SPACs) in the UAE must prepare detailed proposals that specifically address the management of conflicts of interest. This is mandated under CISI UAE Financial Rules and Regulations to ensure that the SPAC's activities remain transparent and investors' interests are protected. Conflicts of interest may arise from the sponsors' dual roles or relationships with target companies or investors. Addressing these conflicts proactively through proposals and policies supports integrity and market confidence. While risk reduction and anti-money laundering are critical, the regulations explicitly highlight conflict management as a core area for SPAC sponsors.

Reference: CISI UAE Financial Rules and Regulations - Regulatory Infrastructure, SPAC Sponsorship Requirements, Section 6.3.4 (2023).

NEW QUESTION # 102

To qualify as a big block deal on the ADX's E-Trading system, the securities to be traded must be a minimum of what proportion of the issuer's capital?

- A. 2.0%
- B. 1.0%
- C. 0.5%
- D. 2.5%

Answer: B

Explanation:

A big block deal on the ADX's E-Trading system must involve securities that are at least 1.0% of the issuer's capital. This threshold ensures that large transactions, which could significantly affect the stock's market price, are categorized appropriately as big block deals. The rule helps to distinguish between regular trades and larger institutional trades, which often have different liquidity and market impact considerations. This also provides transparency for market participants regarding the size and nature of the transaction.

Reference: CISI UAE Financial Rules and Regulations - Big Block Deal Requirements on ADX, Section 6.1.2 (2023).

NEW QUESTION # 103

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